ANNEX A: CSR Instruments

CSR Instrument: Codes of Conduct	Description	Organization / Web-site
United Nations Global Compact	The Global Compact (GC) is a voluntary and general framework developed by the United Nations to support organizations around the world with a guideline for business responsible behavior. The GC framework establishes nine principles of corporate behavior in the areas of Human Rights, Labor, and the Environment. The GC principles are derived from The Universal Declaration of Human Rights, The International Labor Organization's Declaration on Fundamental Principles and Rights at Work, and The Rio Declaration on Environment and Development.	United Nations http://www.unglobalcompact.org/Portal/
OECD Guidelines for Multinational Enterprises	The OECD Guidelines for Multinational Enterprises are recommendations on responsible business conduct addressed by governments to multinational enterprises. The Guidelines provide voluntary principles and standards for responsible business conduct. The guidelines covers the following areas: (1) General Policies; (2) Disclosure; (3) Employment and Industrial Relations; (4) Environment; (5) Combating Bribery; (6) Consumer Interests; (7) Science and Technology; (8) Competition; and (9) Taxation. It also establishes an implementation framework through the National Contact Points (NCPs), which are supervised by the Committee on International Investment and Multinational Enterprises (CIME).	Organization for Economic Cooperation and Development (OECD) www.itcilo.it/english/actrav/telearn/gl obal/ilo/guide/oecd.htm
Caux Round Table	The Caux Round Table (CRT) published its "Principles for Business" in 1994, seeking to express a worldwide standard for ethical and responsible corporate behavior. The principles basically include two sections: (1) General Principles: this section includes seven sub-principles including issues such as business behavior, respect for rules, respect for the environment, avoidance of illicit operations, and support for multilateral trade; and (2) Stakeholder Principles: this section describes a set of responsible activities in regards to the most relevant business-related stakeholders including customers, employees, investors, suppliers, competitors, and communities.	Network of business leaders from Europe, Japan, and North America. http://www.cauxroundtable.org
The Keidanren Charter for Good Corporate Behavior	The Keidanren Charter for Good Corporate Behavior underlines the role of corporations as not only economic entities engaged in the pursuit of profit through fair competition, but also as entities useful to society as a whole. According to the Keidanren Charter, corporations should agree to ten basic principles that include general social and environmental aspects, besides respecting the letter and spirit of all domestic and foreign laws.	Japanese Federation of Economic Organizations. http://www.keidanren.or.jp/english/p olicy/pol052.html

CSR Instrument: Codes of Conduct	Description	Organization / Web-site
CERES Principles (i.e. Environment)	The CERES Principles are offered as a comprehensive statement of environmental values for businesses within any industry sector. They are intended to help companies formalize their dedication to environmental awareness and accountability. The ten principles encompass issues such as: protection of the biosphere, sustainable use of natural resources, reduction and disposal of wastes, energy conservation, risk reduction, safe products and services, environmental restoration, informing the public, management commitment, audits, and reports. Companies are asked to publicly demonstrate their commitment to the Principles, address concerns raised by CERES coalition members and other stakeholders, and agree to report their results annually.	The Coalition for Environmentally Responsible Economies (CERES). http://www.ceres.org/
The Global Sullivan Principles	Reverend Leon Sullivan formulated the Global Sullivan Principles in 1997. The Global Sullivan Principles articulate eight general norms for companies including issues such as: Support universal human rights; Respect employees' right to freedom of association; Provide equal opportunity for employees at all levels with respect to color, race, gender, age, ethnicity or religious beliefs; Provide compensation that enables employees to meet basic needs; Provide a safe and healthy workplace; Promote fair competition, respect intellectual and other property rights, and not offer, pay or accept bribes; Work with governments and communities to improve the quality of life; and Promote the application of these principles by those with whom they do business.	International Foundation for Education and Self-Help (IFESH). http://www.globalsullivanprinciples.org/principles.htm
The Social Venture Network (SVN) Standards of Corporate Responsibility	The Social Venture Network (SVN) Standards of Corporate Responsibility was published in 1999, while the Social Venture Network (SVN) was created in 1987 as an association of business and social entrepreneurs dedicated to the idea that business can be a potent force for solving social problems. The Standards identify nine foundational principles for corporate social responsibility represented by: (1) Ethics; (2) Accountability; (3) Governance; (4) Financial Returns; (5) Employment Practices; (6) Business Relationships; (7) Products and Services; (8) Community Involvement; and (9) Environmental Protection. The SVN Standards describe not only principles, but also practices (i.e. means by which an organization can improve its performance relative to a principle), and measures (i.e. indicators of performance).	Social Venture Network (SVN) http://www.svn.org/initiatives/standa rds.html
Ethical Trading Initiative (ETI) (i.e. Labor Issues)	The ETI is an alliance of companies, NGOs and trade unions that share a common interest in the labor issues associated with multinational supply chains. ETI was founded to promote "ethical sourcing", defined as "a company taking responsibility to work with its suppliers to implement internationally accepted labor standards in the workplace." The purpose of ETI is to "identify, develop and promote good practice with respect to implementing codes of labor practice." ETI consists of a "Base Code" plus principles for implementation. The Base Code, agreed upon in 1998, draws from the ILO Conventions on worker and human rights. Companies are expected to require that suppliers meet the Base Code in a reasonable amount of time; otherwise, business is withdrawn from non-compliant suppliers. The ETI does not audit or certify companies.	Ethical Trading Initiative http://www.eti.org.uk/pub/publication s/purprinc/en/index.shtml

CSR Instruments: Management Standards	Description	Organization / Web-site
Social Accountability 8000 (i.e. Labor Issues)	SA8000 is intended to overcome the difficulties associated with monitoring internal corporate codes of conduct. It offers (1) a standard for workplace conditions, and (2) a system for independently verifying a factory's compliance with this standard. The standard addresses issues related to child and forced labor, health and safety workplace conditions, disciplinary practices, discrimination, compensation, working hours, freedom of association and right to collective bargaining. SA 8000 requires facilities to adopt factory-level management systems and perform verification of compliance through independent SAlaccredited auditing bodies in order to become certified.	Social Accountability International (SAI) http://www.cepaa.org/
Fair Labor Association (i.e. Labor Issues)	The Fair Labor Association (FLA) was created to improve working conditions in factories around the world. The FLA developed a workplace code of conduct that includes provisions on forced labor, child labor, harassment or abuse, nondiscrimination, health and safety, freedom of association and collective bargaining, wages and benefits, working hours, and overtime compensation. The FLA also established a framework that covers six important areas: (1) code of conduct implementation, (2) internal monitoring, (3) independent external monitoring, (4) remediation, (5) verification, and (6) public reporting. There are currently 12 large companies participating in the FLA, and most of them are in the apparel and footwear industry.	Fair Labor Association http://www.fairlabor.org/
OHSAS 18001	OHSAS 18001 is an assessment specification for Occupational Health and Safety Management Systems. It was developed in response to the need for companies to meet their health and safety obligations in an efficient manner. To compliment OHSAS 18001, BSI published OHSAS 18002, which explains the requirements of the specification and shows you how to work towards implementation and registration.	British Standards Institution Group http://www.bsi-global.com/Corporate/18001.xalter
Worldwide Responsible Apparel Production Principles (WRAP) (i.e. Apparel / Footwear Industry)	The Worldwide Responsible Apparel Production Principles are core standards developed for production facilities participating in the Worldwide Responsible Apparel Production. The standards objective is to independently monitor and certify compliance with socially responsible global standards for manufacturing companies. Participating companies and respective contractors voluntarily agree to be certified by the WRAP Certification Program. The WRAP Principles include issues such as: compliance with laws and workplace regulations; forced and child Labor; compensation and benefits; hours of work; discrimination; health and safety; freedom of association and collective bargaining; and the environment.	American Apparel and Footwear Association / WRAP (independent non-profit) http://www.wrapapparel.org/

CSR Instruments: Management Standards	Description	Organization / Web-site
ISO 14000 series (i.e. Environment)	The ISO 14000 series is intended as a worldwide approach to management systems that encourage environmental protection. ISO 14001 is the core management systems specification in the series. ISO 14001 and 14004 govern the policies, procedures, and organizational structure for a company's environmental management system (i.e. process standards). Additional standards address auditing (ISO 14010, 14011 and 14012), environmental labeling (ISO 14024), life-cycle assessment, (ISO 14040) and environmental performance evaluations (ISO 14031).	International Organization for Standardization. http://www.iso.ch/iso/en/ISOOnline.f rontpage
Eco-Management Audit Scheme (EMAS) (i.e. Environment)	The Eco-Management and Audit Scheme, is an initiative designed to improve companies' environmental performance. Participation is voluntary and extends to public or private organizations operating in the European Union and the European Economic Area (EEA). EMAS requires participating organizations to implement an environmental management system (i.e. ISO 14001). In addition, it is a requirement of the scheme that participating organizations regularly produce a public environmental statement that reports on their environmental performance, whose accuracy and reliability are independently checked by an environmental verifier.	European Commission http://www.emas.org.uk/aboutemas/ mainframe.htm
Forest Stewardship Council (FSC) (i.e. Forestry Industry)	The Forest Stewardship Council is an international non-profit organization founded in 1993 to support environmentally appropriate, socially beneficial, and economically viable management of the world's forests. The Forest Stewardship Council is introducing an international labeling scheme for forest products, which provides a credible guarantee that the product comes from a well-managed forest. All forest products carrying our logo have been independently certified as coming from forests that meet the internationally recognized FSC Principles and Criteria of Forest Stewardship. FSC supports the development of national and local standards that implement the international Principles and Criteria of Forest Stewardship at the local level.	Forest Stewardship Council http://www.fscoax.org/index.html
Marine Stewardship Council (MSC) (i.e. Fishery Industry)	The MSC was set up to promote sustainable fisheries and responsible fishing practices. It was developed as a joint initiative between WWF and Unilever in 1997. The MSC developed an environmental standard for sustainable and well-managed fisheries. The certification is undertaken by accredited certification bodies and intends to be equally valid for all types of fisheries, irrespective of size and location. The principles and criteria cover marine fish and invertebrates, but exclude harvest of other marine species, aquaculture, and freshwater fisheries.	Marine Stewardship Council http://www.msc.org/

CSR Instruments: Management Standards	Description	Organization / Web-site
Responsible Care (i.e. Chemistry Industry)	Responsible Care is an initiative of the global chemical industry in which companies, through their national associations, commit to work together to improve the health, safety, and environmental performance of their products and processes. The program includes a management system, an independent third party certification process, reporting on performance indicators based on economic, environmental, health and safety, and a security code that helps protect people and society throughout the chemical industry chain. Responsible Care started in 1985 in Canada and is now in 46 countries where more than 85% of the world chemicals (in volume) are manufactured.	The International Council of Chemical Associations (ICCA) http://www.icca-chem.org/section02a.html
GoodCorporation (i.e. Multi-Area Standard)	GoodCorporation is a standard of corporate responsibility that supports organizations of all types and sizes in developing, managing, and monitoring responsible actions. The GoodCorporation framework offers a voluntary accreditation process in which companies must pass through an annual assessment by an independent verifier. During the accreditation process the verifier checks an organization against 65 practices of responsible management in order to make sure that: (1) a policy exists, (2) a system is in place to implement the policy, (3) records exist showing that the system works in practice, and (4) stakeholders agree that the system works and is fair.	GoodCorporation / Institute of Business Ethics http://www.goodcorporation.com/en/
CSR Instruments: Auditing / Reporting Standards	Description	Organization / Web-site
Accountability 1000	The Accountability 1000 (AA 1000) is a voluntary accountability standard, focused on securing the quality of social and ethical accounting, auditing, and reporting. AA1000 comprises a set of process standards that cover different areas related to AA 1000 implementation stages, such as: planning, accounting, auditing and reporting, embedding, and stakeholder engagement. The standard is supported by a set of guidelines and professional qualification programs that together form the AA 1000 framework. AA 1000 is designed for all types of organizations and currently it is not a certifiable standard.	The Institute of Social and Ethical Accountability. http://www.accountability.org.uk
Global Reporting Initiative	The Global Reporting Initiative (GRI) offers a voluntary reporting framework for all types of organizations, addressing the economic, environmental, and social dimensions of their activities. The reporting framework includes: (1) Sustainability Reporting Guidelines (i.e. general reporting principles and report content / sections), (2) Technical Protocols on Indicators Measurement (i.e. guidelines for implementation based on performance indicators), and (3) Sector Supplements (i.e. capturing the unique set of sustainability issues faced by different industry sectors). The GRI does not have any accreditation process / structure in place for verifying compliance with the guidelines and framework. From 1997 until spring 2002, the GRI was a project of the Coalition for Environmentally Responsible Economies (CERES) and the UN Environment Programme. The GRI is now a permanent, independent organization, with headquarters in Amsterdam, Netherlands.	Global Reporting Initiative http://www.globalreporting.org/

ANNEX B: UNILEVER Code of Business Principles

Standard of Conduct: We conduct our operations with honesty, integrity and openness, and with respect for the human rights and interests of our employees. We shall similarly respect the legitimate interests of those with whom we have relationships.

Obeying the Law: Unilever companies and our employees are required to comply with the laws and regulations of the countries in which we operate.

Employees: Unilever is committed to diversity in a working environment where there is mutual trust and respect and where everyone feels responsible for the performance and reputation of our company. We will recruit, employ and promote employees on the sole basis of the qualifications and abilities needed for the work to be performed. We are committed to safe and healthy working conditions for all employees. We will not use any form of forced, compulsory or child labour. We are committed to working with employees to develop and enhance each individual's skills and capabilities. We respect the dignity of the individual and the right of employees to freedom of association. We will maintain good communications with employees through company based information and consultation procedures.

Consumers: Unilever is committed to providing branded products and services which consistently offer value in terms of price and quality, and which are safe for their intended use. Products and services will be accurately and properly labelled, advertised and communicated.

Shareholders: Unilever will conduct its operations in accordance with internationally accepted principles of good corporate governance. We will provide timely, regular and reliable information on our activities, structure, financial situation and performance to all shareholders.

Business Partners: Unilever is committed to establishing mutually beneficial relations with our suppliers, customers and business partners. In our business dealings we expect our partners to adhere to business principles consistent with our own.

Community Involvement: Unilever strives to be a trusted corporate citizen and, as an integral part of society, to fulfill our responsibilities to the societies and communities in which we operate.

Public Activities: Unilever companies are encouraged to promote and defend their legitimate business interests. Unilever will co-operate with governments and other organisations, both directly and through bodies such as trade associations, in the development of proposed legislation and other regulations which may affect legitimate business interests. Unilever neither supports political parties nor contributes to the funds of groups whose activities are calculated to promote party interests.

The Environment: Unilever is committed to making continuous improvements in the management of our environmental impact and to the longer-term goal of developing a sustainable business. Unilever will work in partnership with others to promote environmental care, increase understanding of environmental issues and disseminate good practice.

Innovation: In our scientific innovation to meet consumer needs we will respect the concerns of our consumers and of society. We will work on the basis of sound science, applying rigorous standards of product safety.

Competition: Unilever believes in vigorous yet fair competition and supports the development of appropriate competition laws. Unilever companies and employees will conduct their operations in accordance with the principles of fair competition and all applicable regulations.

Business Integrity: Unilever does not give or receive, whether directly or indirectly, bribes or other improper advantages for business or financial gain. No employee may offer, give or receive any gift or payment which is, or may be construed as being, a bribe. Any demand for, or offer of, a bribe must be rejected immediately and reported to management. Unilever accounting records and supporting documents must accurately describe and reflect the nature of the underlying transactions. No undisclosed or unrecorded account, fund or asset will be established or maintained.

Conflicts of Interests: All Unilever employees are expected to avoid personal activities and financial interests which could conflict with their responsibilities to the company. Unilever employees must not seek gain for themselves or others through misuse of their positions.

Compliance - Monitoring - Reporting: Compliance with these principles is an essential element in our business success. The Unilever Board is responsible for ensuring these principles are communicated to, and understood and observed by, all employees. Day-to-day responsibility is delegated to the senior management of the regions and operating companies. They are responsible for implementing these principles, if necessary through more detailed guidance tailored to local needs. Assurance of compliance is given and monitored each year. Compliance with the Code is subject to review by the Board supported by the Audit Committee of the Board and the Corporate Risk Committee. Any breaches of the Code must be reported in accordance with the procedures specified by the Joint Secretaries. The Board of Unilever will not criticise management for any loss of business resulting from adherence to these principles and other mandatory policies and instructions. The Board of Unilever expects employees to bring to their attention, or to that of senior management, any breach or suspected breach of these principles. Provision has been made for employees to be able to report in confidence and no employee will suffer as a consequence of doing so.

In this Code the expressions 'Unilever' and 'Unilever companies' are used for convenience and mean the Unilever Group of companies comprising Unilever N.V., Unilever PLC and their respective subsidiary companies. The Board of Unilever means the Directors of Unilever N.V. and Unilever PLC.

ANNEX C: CSR QUESTIONNAIRE

Questions (English Version):

- 1) How is your overall perception regarding the viability of implementing existing CSR standards in SMEs in Latin America? What are the common barriers for SMEs to adopt such practices? Is there a clear demand for acquiring such standards? In terms of costs vs. benefits, have these companies experienced tangible outcomes?
- 2) Regarding the issue of supply chain management through large corporations as a means to have access to SMEs and foment their interest in CSR, are you aware of any specific experiences or practical cases of large corporations initiatives in the region? If you have to choose a group of large corporations to implement a project for disseminating CSR practices throughout their supply chain, what strategy would you utilize and what companies would you choose?
- 3) What economic sectors in your opinion have had more incentives to implement CSR initiatives?
- 4) Regarding the supply side have these companies had access to qualified services / outside specialists that offer the CSR know-how? Do companies mainly have to depend on international consultants for such services or are there local qualified consultants?
- 5) How is your perception regarding companies that have already implemented management systems or are already ISO certified (i.e. ISO9000 / 14000) and are looking for implementing other CSR standards (i.e. SA8000 or OSH) do you think it is easier for them to implement new standards comparing to other companies that do not have management systems in place or are not certified?
- 6) If you have to choose CSR standards for the region, what criteria would you take into account for selecting such standards? Do you have any preferences among existing CSR-related standards (i.e. ISO standards, OHSMS 18001, SA8000, Good Corporation, and others)?
- 7) What is your opinion about the AA1000 and the Global Reporting Initiative (GRI)? Do you think they might be compatible with the reality of SMEs in the region? Do you know some statistics about their adoption in the region? How about some sector-related standards (i.e. Responsible Care and sustainable tourism)? Do you think they might be an alternative for specific sectors?
- 8) Regarding the corporate citizenship reporting initiative, what is your opinion about such initiative? Would you suggest any existing CSR-related reporting framework? In your opinion, how would you classify the "level of importance" of reporting / communication systems for SMEs? In that case, what are the main differences between the SMEs and the large corporation's perspective?

- 9) What are your general thoughts on the general codes of conduct (i.e. UN Global Compact, ILO Conventions, OECD Guidelines, and so on)? Do you think they are relevant and feasible for SMEs in Latin America? Do you have any preference among them?
- **10)** How about the issue of trade requirements as incentives for SMEs related to foreign markets to adopt CSR practices, are you aware of any specific experiences or practical cases in the region? Do you think that such requirements might be perceived by SMEs as barriers for participating in international markets? What strategy would you recommend for minimizing SMEs constraints?
- 11) Regarding consumer awareness campaigns or organizations for pressuring corporations to adopt sustainable practices, do you know of any related experience in the region?
- 12) Do you believe that SMEs with CSR practices in place improve their capacity to obtain loans and access to capital in general? In your opinion, how relevant is this argument? In that case, what are the main existing channels that would offer such capital? Are you aware of any specific case in which SMEs have improved their "fund raising" capacity after implementing CSR-related initiatives?
- 13) With respect to public sector initiatives, have you perceived any improvements in terms of setting minimum standards and enabling frameworks for CSR in any specific country / sector in the region?
- 14) What existing institutions would you highlight as potential partners for fostering CSR initiatives throughout SMEs in Latin America? Do you think that such institutions should necessarily have a CSR background? Do you see current business-oriented institutions involved in SMEs training and capacity building, without any CSR-related background, as potential partners for CSR dissemination?
- **15)** Would you suggest other people that I should also talk to about these items?

Questions (Spanish Version)

- 1) Cuál es su percepción general sobre la viabilidad de implementar los estándares existentes de RSE en las PyMEs de Latinoamérica? Cuales son las barreras más comunes para que las PyMEs adopten estas prácticas? Hay algún tipo de demanda para adquirir estándares de RSE? En cuanto a costos vs. beneficios, alguna de estas compañías ha experimentado resultados tangibles?
- 2) Esta al tanto de algún tipo de práctica o experiencia que fomente RSE en las PyMEs que forman parte de las operaciones de grandes corporaciones? Si tuviera

- que elegir un grupo de empresas grandes para que implementen practicas de RSE en las PyMEs, que tipo de estrategia utilizaría y que compañías escogería?
- 3) En su opinión, qué sectores industriales han tenido más incentivos para implementar iniciativas de RSE?
- **4)** En cuanto a la oferta de servicios relacionados a RSE, las empresas han tenido acceso a especialistas y consultores calificados? Las empresas han dependido de consultores internacionales?
- 5) Cuál es su percepción de las compañías que ya han implementado sistemas de gestión o son certificados por ISO (i.e. ISO9000 / 14000) y actualmente están buscando implementar otros estándares de RSE (i.e. SA8000 / OSH)? Piensa usted que va a ser más fácil para estas compañías implementar nuevos estándares comparado con compañías que no tienen un sistema de gestión o no son certificadas?
- 6) Si tuviera que seleccionar estándares de RSE para la región, qué criterio usaría para escoger dichos estándares? Tiene algún tipo de preferencia en cuanto a los estándares existentes (i.e. ISO, OHSMS 18001, SA8000, Good Corporation y otros)?
- 7) Cual es su opinión de AA1000 y la *Global Reporting Initiative* (GRI)? Piensa usted que estos estándares son compatibles con la realidad de las PyMEs en la región? Conoce de algún tipo de estadísticas sobre la adopción de estos estándares en la región? Usted sugeriría algún tipo de iniciativa para reportar los procedimientos relacionados con RSE? En su opinión, como clasificaría el nivel de importancia de reportar / sistemas de comunicación de las PyMEs? En ese caso, cuáles son las principales diferencias entre las PyMEs y la perspectiva de las grandes corporaciones?
- **8)** Cuál es su opinión en cuanto a estándares para sectores específicos (i.e. *Responsible Care* y estándares de turismo sostenible)? Cree usted que pueden ser una alternativa para aquellos sectores específicos?
- 9) Cual es su opinión en cuanto a los códigos de conducta existentes (i.e. UN Global Compact, ILO Conventions, OECD Guidelines y otros)? Piensa usted que son relevantes y viables para las PyMEs de Latinoamérica? Tiene alguna preferencia entre ellos?
- 10) En cuanto al tema de los requisitos de exportación para las PyMEs, su relación con los mercados / tratados internacionales y su adopción de prácticas de RSE, conoce casos específicos o experiencias prácticas en la región? Piensa usted que estos requerimientos pueden ser percibidos por las PyMEs como barreras para participar en los mercados internacionales? Qué estrategia recomendaría para minimizar las dificultades de las PyMEs?
- 11) Está al tanto de actividades para el fortalecimiento de la sociedad civil en la región (i.e. ONG, organizaciones para el fortalecimiento de los consumidores y

- otros) con el objetivo de presionar corporaciones para que adopten prácticas de RSE?
- 12) Cree usted que las PyMEs que han adoptado exitosamente prácticas de RSE han aumentado su capacidad de obtener financiamiento o tener acceso a otras fuentes de capital? En su opinión, cuán relevante es este argumento? En ese caso, cuáles son los principales canales que ofrecerían este capital? Está al tanto de algún caso específico en que las PyMEs hayan mejorado su capacidad de conseguir fondos después de implementar iniciativas de RSE?
- 13) En cuanto a las iniciativas del sector público, ha percibido algún mejoramiento en su capacidad de establecer condiciones mínimas y marcos favorables para la RSE en algún país o sector específico en la región?
- 14) Cuál son las organizaciones existentes en la región que destacaría para fomentar iniciativas de RSE para PyMEs? Usted piensa que es necesario que estas organizaciones cuenten con un profundo conocimiento de RSE? Considera usted que organizaciones relacionadas con PyMEs, pero sin ningún conocimiento de RSE, pueden también ser importantes socios para difundir RSE en las PyMEs?
- **15)** Podría usted sugerir otras personas con quienes podríamos contactarnos para discutir estos temas?

ANNEX D: CSR Related Projects

Project (Environment)	Project Description	Countries	Executing Agency	CSR-Related Areas
1. Cleaner Production Centre Mendoza. (12/2002; ME-8129-AR)	Promote the concept of eco-efficiency for increasing industrial productivity / competitiveness. Develop a demand for CP and local capacity to meet such demand. • Components: concept dissemination; training; technical assistance; and institutional strengthening.	Argentina	Federación Económica de Mendoza (FEM); • Contact: Adolfo Tripodi (President) - Phone: 54 261 429 5245 - E-mail: fem@fem.org.ar	Environment - Internal structure / code of conduct and enabling conditions.
2. Sustainable Development and Ecotourism Program in San Jose de Uchupiamonas. (12/1994; ATN/ME-4757-BO / Completed)	Improve the socio-economic conditions of the Quechua-Tacana community, by establishing SMEs based on the production of non-timber forest products and eco-tourism. • Components: community investment and local capacity development; institutional strengthening of El Chalalan (eco-tourism center); and an experimental fund focused on community enterprises related to local / sustainable activities.	Bolivia	Conservation International - Bolivia (CI Bolivia) Contact: Phone: (202) 912-1000	Stakeholder Engagement - Community Development.
 Agricultural Competitiveness and Socially Responsible Trade. (09/2002; Unknown) 	Improve commercialization services available for small agricultural producers. • Components: institutional strengthening of a commercial intermediary specialized in socially responsible trade; promotion and marketing of sustainable products; and technical assistance to small agricultural producers.	Brazil	Visión Mundial Brasil Contact: Serguem Jessui da Silva (Dir.) - Phone: (55) 31 3273-6248 / 5944 - E-mail: serguem_silva@wvi.org	Corporate Governance / Stakeholder Engagement - Code of conduct vs. access to markets / fair trade.

4. Renewable Energy Service Delivery. (10/1999; ATN/MT-6697-BR)	Technical cooperation seeking to implement pilot projects that demonstrate private-sector-led business models to provide renewable energy services to isolated communities in Brazil. • Components: NGOs to serve as intermediaries in providing information / instruction on renewable energy services; a pilot program to integrate existing renewable energy-related service providers; a pilot concessionaire business model; a fund for business startup; a cross-model information collection and feedback system; evaluation process of proposed programs.	Brazil	Ministério de Minas e Energia do Brasil (MME) - Programa Desenvolvimento Energético Estados / Municípios (PRODEEM); • Contact: Phone: (55-61) 319-501	Stakeholder Engagement - Community Development.
 Cleaner Technologies for Colombian Enterprises. (12/2000; ATN/MH-7269-CO) 	Increase the competitiveness of SMEs through environmental management and clean production culture. Components: training of local service providers and awareness dissemination of CP concept.	Colombia	Corporación para la Investigación Socio- económica y Tecnológica de Colombia (CINSET); Contact: Carlos O. Duque (Project Dir.) - Phone: 57 1 236 3263 - E-mail: carlosd@cinset.org	Environment - internal structure / code of conduct and enabling conditions.
6. Support to the Use of Biodiversity by Small Enterprises. (11/1998; ATN/ME-6255-CR)	Development of small enterprises through sustainable commercial development of biodiversity by the private sector. Components: create installed capacity within INBio to meet specific needs of small enterprises interested in developing new biodiversity-based products; develop commercially viable projects for small enterprises.	Costa Rica	Instituto Nacional de Biodiversidad (INBio); Contact: Phone: (506) 244-0690; E-mail: askinbio@inbio.ac.cr	Stakeholder Engagement - Community Development.
7. Promoting Cleaner Production Among SMEs. (04/2002; ATN/ME-7833-EC)	Assist SMEs to become more efficient, productive, and competitive through technological and environmental management improvements. Promotion of the demand and supply sides. • Components: Awareness dissemination of cleaner production; strengthening the local supply of cleaner production services; implementation of cleaner production processes in enterprises; institutional strengthening.	Ecuador	Centro Ecuatoriano de Producción más Limpia (CEPL); Contact: Angel Matovelle (Project Dir.) - Phone: 593 2 260 673 - E-mail: cepl@andinanet.net	Environment - internal structure / code of conduct and enabling conditions.
8. Promotion of Cleaner Production Processes. (05/2000; ATN/MH-7007-ES)	Promote the adoption of CP processes among SMEs by stimulating supply and demand sides. • Components: training / skills development among local professionals; implementation and demonstration of CP systems; CP promotion and awareness dissemination.	El Salvador	Asociación Salvadoreña de Industriales (ASI); Contact: Hugo Guerra (Project Coord.) - Phone: (503) 279-2488 - E-mail: p+l-bid1@cnpml.org.sv	Environment - internal structure / code of conduct and enabling conditions.

9. Training in Environmental Management Systems. (11/1999; ATN/MH-6742-ME)	Achieve measurable improvements in SMEs performance through EMS. Components: training of trainers / expansion of local specialists; institutional strengthening of IPA for auditing / training services; large companies as cosponsors / mentors of SMEs; credit facility.	Mexico	Instituto de Protección Ambiental (IPA) de Nuevo Leon; • Contact: (1) Fernando Gutiérrez (Director) - Phone: 52 (8) 369-0252 - E-mail: fgutierrez@caintra.com (2) Francisco Espinosa (Project Dir.) - E-mail: Francisco.espinoza@ucar.com	Environment - Internal structure and enabling conditions.
10. Entrepreneurial Participation in Clean Production. (12/2000; ATN/MT-7257-PN; ATN/MH-7258-PN)	Improve the competitiveness of SMEs through development and implementation of environmental management instruments. • Components: regulatory framework / development of environmental management instruments to promote clean production systems; quality and environmental management in industry; institutional strengthening of ANAM / CONEP and information dissemination.	Panama	Consejo Nacional de la Empresa Privada (CONEP) and Autoridad Nacional del Ambiente (ANAM); Contact: Alfredo E. Burgos (Coordinator) - Phone: (507) 211-2677 - E-mail: aburgos@cwpanama.net	Environment - Internal structure / code of conduct and public policy.
11. Mentoring Model Environmental Management Systems. (03/2000; ATN/MH-6919-PE)	Raise the level of efficiency, quality, and competitiveness among a group of SMEs through the introduction of environmental management systems via mentoring of small suppliers by larger companies. • Components: preparation and training of trainers; environmental management systems implementation; institutional strengthening and awareness dissemination.	Peru	Peru 2021: A New Vision; Contact: (1) César Fonseca (Director) Phone: (511) 421-3795 E-mail: cfonseca@peru2021.org (2) Manuel Fernandini (Project Coord.) E-mail: mfernandini@peru2021.org	Environment - Internal structure / code of conduct through supply chain incentives (i.e. large corporations / enabling environment).
12. Environmental Fund (CFA). (03/1996; ATN/ME-5168-RG; EQU/MSF-0005-RG)	Support small private companies that are dedicated to projects that will benefit the environment. • Component: creation of a fund for supporting activities related to renewable energy, energy efficiency, pollution abatement, water treatment, sustainable forestry, recycling, and nature tourism.	Central America	Empresas Ambientales de Centroamérica (EACA/EEAF) • Contact: Ricardo de Matheu - Phone: (506) 257-4717	Environment - Enabling conditions / incentives structure through screening investments / access to credit.
13. Improving Competition and Environmental Performance of SME's in Forestry Sector. (07/2002; ATN/ME-7953-RG)	Increase management and environmental performance of SMEs in the forestry sector through capacity building, market / trade channels, and political support. • Components: strengthen business and technical skills of the forestry-related SMEs; marketing of forest products.	Guatemala, Honduras, Nicaragua.	Centro Agronómico Tropical de Investigación y Enseñanza; Contact: Glenn Galloway (Project Dir.) - Phone: +506 (556) 2703 - E-mail: galloway@catie.ac.cr	Environment - Internal structure (Management Systems); code of conduct and enabling conditions; Public policy and fair trade.

14. The Latin American Energy Services Fund. (06/2001; ATN/ME-7494-RG / EQU/MS-7493-RG)	Promote investments / technical expertise to small and innovative enterprises that function as energy service companies. • Component: creation of a fund focused on alternative methods of energy generation (i.e. renewable energy).	LA Region (Ecuador)	FondElec Group, Inc.; Contact: George Sorenson (Chairman) - Phone: (203) 662-9293 - E-mail: gsorenson@fecleanenergy.com	Environment - Screening investment as a tool (i.e. enabling conditions) to foster good practices.
15. Clean Technology Fund. (11/2000; EQU/MS-7242-RG / ATN/ME-7243-RG)	Promote investments in non-contaminating technologies. • Component: creation of a fund focused on improving industrial processes of SMEs through the adoption of clean technologies (i.e. fossil fuels substitutes).	Regional	Clean Technology Fund (Econergy International Corporation); Contact: Thomas_Stoner - E-mail: stoner@econergy.net	Environment - Screening investment as a tool (i.e. enabling conditions) to foster good practices
16. Equity Investment in the Southern Cone Environment Fund. (09/1998; EQU/MS-6154-RG)	Support activities that have a positive impact on biological diversity. • Component: creation of a fund focused on small-size businesses with solid growth potential and whose activities positively impact the natural environment.	LA Region (Brazil)	Terra Capital Advisors; Contact: John Forgach Phone: 55-11-870-0047 E-mail: john.forgach@axial.com.br	Environment - Financial support to foster good practices.
17. Creation of a Venture Fund for Environmental Services Companies. (12/1997; ATN/ME-5784-RG / EQU/MS-0011-RG)	Offers venture capital to environmentally and socially responsible businesses. Sustainable agriculture, non-timber forest products / sustainable forestry and eco-tourism are some of the target areas. • Component: creation of a fund focused on SMEs that employ sound environmental practices, provide financial benefits to the community, and meet rigorous environmental, social and financial criteria.	Regional	Fondo EcoEmpresas; Contact: Tammy Newmark - Phone: (50-6) 296-5000 - E-mail: tnewmark@tnc.org	Environment - Screening investment as a tool (i.e. enabling conditions) to foster good practices.
18. Energy Investment and Service Enterprise. (03/1996; ATN/ME-5173-RG / EQU/MSF-0006-RG)	Assist small private enterprises in undertaking pilot renewable energy and energy efficiency projects. Component: provision of funds through E&Co-LAC to support small private enterprises in the implementation of renewable energy projects.	Regional	E&Co LAC; ■ Contact: Fernando Alvarado - Phone: (506) 296-3532 - fernando@knowhow.energyhouse.com	Environment - Financial support to foster good practices.

Project (Small Business Innovation)	Project Description	Countries	Executing Agency	CSR-Related Areas
1. Rationalization of Administrative Procedures. (10/2000; ATN/MT-7186-CO)	Promote a more efficient and transparent relationship between enterprises, the government, and private entities that deliver services related to registration and formalization. • Components: streamline legal requirements and formalities to reduce processing periods for entrepreneurs formalizing their activities; set up business service centers [Centros de Atención Empresarial]; expedite the process by which informal sector are brought into the formal sector; improve entrepreneurs' access to information regarding formal procedures.	Colombia	Cámara de Comercio y Alcaldía de Santafé de Bogotá; Contact: Phone: (57-1) 281-9900; E-mail: ccbcentro@ccb.org.co	Corporate Governance - Public and private sectors initiatives.
2. Accounting and Auditing Standards. (11/2002; ATN/8113-JA)	Strengthen the accounting profession and improve annual financial statements of Jamaican business entities by providing investor-desired qualities of transparency, reliability and comparability. • Components: conduct an independent assessment of accounting / auditing services and develop a Country Action Plan; assist in the application of International Accounting Standards (IAS); build adequate mechanisms for the enforcement of IAS and International Standards on Auditing (ISA); establish processes that sustain the implementation of IAS and ISA	Jamaica	Institute of Chartered Accountants of Jamaica (ICAJ)	Corporate Governance - Info disclosure and reporting
3. Standards for Financial Information. (03/2003; Unknown)	Promote the implementation and harmonization of accounting and auditing standards. • Components: development of standards for convergence with the International Accounting Standards; updating of accounting training and certification; dissemination of corporate best practices (i.e. update the Code of Corporate Best Practices, issued in Mexico in 1999).	Mexico	Instituto Mexicano de Contadores Públicos (IMCP)	Corporate Governance - Info disclosure and reporting as well as business priciples.

4. Strengthening Auditing Standards. (10/1999; ATN/MH-6715-NI)	Strengthen the technical / professional skills of public accountants and private independent auditing firms. • Components: modernization of the legal framework governing public accountancy; publication and promotion of new standards; strengthening institutional capacity of CCPN, enabling it to develop continuing education programs; (c) raising the level of professional competence (i.e. graduate program and a program of continuing education); review and update the procedures currently used in the selection of independent auditing firms.	Nicaragua	Colegio de Contadores Publicos de Nicaragua; Contact: Phone: (505) 249-9995	Corporate Governance - Enabling conditions that regulate SMEs (i.e. external auditing)
5. Building cooperative alliances between small and large firms. (02/1999; ATN/ME-6399-PR)	Build cooperative alliances (i.e. inter-firm assistances) between small and large companies to promote technical / managerial / technological improvements and environmentally clean technologies. Components: direct support to companies as well as institutional support to the Paraguayan Industrial Union (UIP) and the Subcontracting Exchange (SE).	Paraguay	Unión Industrial Paraguaya (UIP); Contact: Phone: 595-21 212-55	Stakeholder Engagement / Environment - Supply chain approach as main driving force to spread out CSR practices.
6. Supporting the Competitive Position of Central American Coffees. (04/2003; ATN/ME-82)	 <u>Components:</u> develop and implement a region-wide specific quality management system; provide access to various existing market segments and niches for coffee; implement new market mechanisms such as Internet- based coffee auctions. 	Central America	Technoserve-Nicaragua; • Contact: Ernest van Panhuys (Director) - Phone: +505 (278) 4487 - E-mail: ernest.van.panhuys@tns.org	Corporate Governance - Code of conduct / creation of feasible quality standards (incorporation of sustainable / CSR principles).
7. Business Advisory Services to Small Producers. (12/2001; ATN/ME-7724-RG)	Development of Information Services and Improvement of Business Skills for Small Producers. • Components: creation of an electronic network of market and business information; business management training (i.e. human resource management, project management, accounting, financing, information technology, planning, new market opportunities, new technologies, strategies for harnessing market opportunities, and environmental conservation) and technical assistance.	Regional	Escuela de Agricultura de la Región Tropical Húmeda (EARTH); • Contact: Frank Lam - Phone: (506) 713-0000 - E-mail: franklam@ns.earth.ac.cr	Corporate Governance - Technology transfer and human resource development.

Project (Microenterprise)	Project Description	Countries	Executing Agency	CSR-Related Areas
1. Institutional Strengthening of PROEMPRESA. (03/2000; ATN/ME-6913-PE)	Boost financial management and operational capacity of PROEMPRESA. • Components: strategic planning; credit techniques; process reengineering; design and development of new products; incentive system; environmental and labor safety aspects; adaptation of current management information system.	Peru	ProEmpresa	Corporate Governance, Labor Issues & Environment - All "bottom lines" seem to be considered in strengthening company's internal institutional capacity.
Project (Market Functioning)	Project Description	Countries	Executing Agency	CSR-Related Areas
1. Institutional Strengthening for Consumer Protection. (08/1998; ATN/MH-6096-AR)	Consumer education and training. Components: disseminate information on consumer rights and build a consumer rights information system.	Argentina	Acción del Consumidor (ADELCCO); Contact: Claudia Costagutta Phone: 54-11 4371-2662 E-mail: Adelco@wamani.apc.org	Stakeholder Engagement - Enabling conditions / stakeholders rights awareness (i.e.human rights)
2. Strengthening of Consumer Protection. (11/2001; ATN/MT-7674-PR)	Improve the capacity of the country's consumer protection system. • Components: promote awareness of consumer rights; disseminate information on standards, regulations, international codes and markets; foster the development of consumer groups; support municipal offices with necessary human capital and systems to service local communities.	Paraguay	Ministerio de Industria y Comercio (MIC)	Stakeholder Engagement - Enabling conditions / stakeholders rights awareness (i.e.human rights) that works as driving forces for good practices / natural regulators.

Project (Financial & Capital Markets)	Project Description	Countries	Executing Agency	CSR-Related Areas
1. Employee Stock Ownership Program (ESOP). (12/1993; ATN/MT-4408-JA - Completed)	Launching the Employee Share Ownership Plan (ESOP) initiative and promoting the establishment of ESOP's among private companies. • Components: institutional strengthening of government agencies; educational and dissemination program for employees, employers, and local consultants; special funds to promote and facilitate ESOP implementation.	Jamaica	National Investment Bank of Jamaica - ESOP Secretariat; Contact: Phone: (876) 960-9690	Labor Issues & Corporate Governance - Employee considerations, introduction of a new concept.
3. Strengthening Financial Sector Transparency and Microfinance Supervision. (06/2002; ATN/MT-7926-PR)	Facilitate the financial system to operate properly by tackling the following areas: the transparency and integrity of the system as a whole; the system of non-banking financial entities; and the general oversight capability of the SB. • Components: action against money laundering; promote balanced growth of non-banking financial entities so as to facilitate the supply of financial services to micro-entrepreneurs; support the SB to improve its connectivity with financial intermediaries.	Paraguay	Banco Central del Paraguay	Corporate Governance - Public sector intervention so that SMEs can get access to credit / financial resources.
4. International Standards Accounting and Auditing. (11/2002; ATN/MT-8114-TT)	Strengthen the accounting profession and improve annual financial statements of business entities by providing investor-desired qualities of transparency, reliability and comparability. - Components: conduct an independent assessment of accounting / auditing services and develop a Country Action Plan; assist in the application of International Accounting Standards (IAS); build adequate mechanisms for the enforcement of IAS and International Standards on Auditing (ISA); establish processes that sustain the implementation of IAS and ISA.	Trinidad Tobago	Institute of Chartered Accountants of Trinidad and Tobago	Corporate Governance - Training and capacity building for SMEs.
5. Ensuring The Integrity of Financial Markets. (04/1998; ATN/MT-5909-RG)	Implement a pilot program to train financial regulators and the regulated entities in borrowing member countries of the Bank in best practices for the detection and prevention of money laundering. - Components: establish a consistent framework for anti-money laundering training that meets the demand of the target population; sustainability through train-the-trainer and other mechanisms.	Regional	Inter-American Drug Abuse Control Commission (CICAD); Contact: Phone: (202) 458-3809	Corporate Governance - Corruption / bribery prevention through a regulatory framework / auditing schemes.

Project (Investments)	Project Description	Countries	Executing Agency	CSR-Related Areas
Investment Fund for Small Enterprise of the Environment. (12/1997; EQU/MS-0010-ME)	Support the development of small Mexican firms in the environmental sector. • Component: expand the financial capacity of the Risk Capital Fund of the North American Environmental Fund to finance companies in the environmental market.	Mexico	North American Environmental Fund (NAEF) en asociación con Ventana; • Contact: Carlos de Rivas - Phone: 52-5 596-9795 - Email: cderivas@ventanaglobal.com	Environment - Screening Investment / Capacity for Spreading CSR / Partners in Mexico.

Project (Building Worker Skills)	Project Description	Countries	Executing Agency	CSR-Related Areas
Occupational Health and Safety Program. (07/2000; ATN/MH-7063-AR)	Reduce the incidence of occupational accidents by encouraging businesses, workers, occupational risk insurers (ARTs), and the competent authorities to pool their efforts to promote a safe and healthy workplace environment. • Components: sector diagnoses of occupational health and safety; training for workers, employers and instructors of the Ministry of Labor; awareness dissemination.	Argentina	Fundación para la Promoción de la Salud y Seguridad en el Trabajo (FPSST); Contact: José María Puppo - Phone: 54-11 4349-0200	Labor Issues - Workplace safety and "enabling conditions" initiatives (i.e. public policy / regulatory framework).
2. Modernization of Labor Relations. (04/1997; ATN/MH-5524-BO; Completed)	Raise the issue of modernizing labor relations to the national agenda. Components: develop a process of dialogue between the participants from the different areas of society that would give national priority to discussion of major labor issues, including the need to modernize labor legislation; prepare and seek modernization of labor legislation; enhance the institutional government capacity in charge of designing and implementing labor policies.	Bolivia	Ministerio de Trabajo y Microempresa; Contact: Phone: (591-2) 407 740	Labor Issues & Stakeholder Engagement - Public Policy (i.e. convergence between financial and social bottom-lines)