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Doing Good While Doing Good Business:
**Laying a Cornerstone for Social Responsibility by
Fostering Personal Development and Prosocial Behavior in the Workforce**

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[It is] what seems to me the chief function, the real service, of business: to give an opportunity for individual development through the better organization of human relationships. … I think it offers a larger opportunity than any single profession in the possibilities of those intimate human interweavings through which all development of man must come.

—Mary Parker Follett, 1940

Abstract

This thesis explores growing demands on commercial enterprises to conduct business in a socially responsible manner, and how enterprises might best respond to this pressure by focusing on their own workforce. More particularly, it examines principles behind making workplace-focused social responsibility an integral aspect of every business organization's mission, purpose, and operations. It advocates for fostering personal development and prosocial behavior among the workforce to lay a cornerstone for these obligations, while concurrently enhancing employee development and engagement. Sources of contemporary demands to be socially responsible are examined including deep roots in ethics and morality, constructs for socially responsible business practices found in law, policy, and business norms, and current research in human biology and organizations. Implementation of workplace-focused socially responsible measures is also considered. Traditional approaches are outlined, and innovative programs focused on workforce well-being are surveyed. A secular, science-backed program to cultivate compassion, mindfulness, and resilience in the workforce is analyzed in detail. Lessons from organizations that have adopted similar approaches to workforce culture and well-being are shared. Laying a cornerstone for organizational social responsibility in the workplace is smart and effective business practice, best accomplished by actively fostering personal development and prosocial behavior among the workforce. Such an approach can improve profits, enhance motivation, commitment, and engagement among jobholders, and promote significant societal benefits inside and outside the organization.

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Introduction

For over a century it has been proposed that commercial enterprises have an obligation to look beyond maximizing profits as their sole reason for being, to acknowledge and embrace concurrent responsibilities to act for the benefit of society at large. In recent decades this idea has quickened, evolving from fringe proposal, to tacit expectation, to arguably an imperative for contemporary organizations to remain viable and competitive. This trend continues to accelerate, particularly in the context of large multinational corporations (MNCs).

The growing demand for commercial enterprises to acknowledge and embrace their role as powerful actors and potential change-makers in the world, and to promote sustainability and social justice in all aspects of their business activities, coincides with a worldwide crisis of employee disengagement. According to Gallup's 2017 "State of the Global Workplace" report, on average across the 155 countries surveyed, less than 15% of employees are actively engaged in their work and enthusiastic about the workplace.[1] Businesses around the globe are challenged by an alarming lack of motivation and commitment within the workforce.

This alleged business duty of social responsibility has been extensively explored for decades in the scientific literature as well as popular media. Recent discussions tend to revolve around issues of environmental sustainability or stakeholder interests and impacts. The stakeholder roster includes the workforce, suppliers, partners, clients/customers, shareholders and investors, and local/national/international communities. Among this roster, interests of and impacts on the workforce are all too often overlooked beyond basic compliance with workplace regulations. However, there is a growing chorus in the business and health communities advocating for a workplace that cultivates, empowers, and sustains people rather than slowly bleeding them of time, energy, connection, and commitment. Gallup's dismal engagement figures illustrate the logical outcome of the latter approach. Far too many contemporary workplaces represent lost opportunities to grow and benefit people, businesses, economies, and society.

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[1] Gallup, "Global Workplace," 22.

This thesis proposes that organizations do in fact bear social responsibilities to their workforce, and that meeting these responsibilities presents a significant opportunity for enhancing performance and adding value both to an enterprise and to its people. It further proposes that fostering personal development and prosocial behavior among their workforce is the most efficient and effective place to lay the cornerstone of the organization's broader social responsibility efforts. Most importantly, it provides concrete examples of how this can be accomplished.

First explored are the "Whys," the fundamental principles of this purported institutional duty of social responsibility, and why these principles matter in the workforce context. Obstacles and objections to embracing such a duty are also noted. We consider the deep roots of people's rights, duties, and responsibilities to one another found within ethics and morality. We then analyze various constructs based in law, policy, and business norms that compel commercial enterprises to embrace social responsibilities, both generally and within the workplace. Constructs addressed are Corporate Social Responsibility (CSR), Business and Human Rights (BHR), Labor and Employment Law, the Sustainable Development Goals (SDGs), and the OECD Guidelines for Multinational Enterprises. We also examine contemporary scientific findings in human biology and organizations that inform and support a socially responsible role for businesses vis-à-vis their workforce. Science disciplines reviewed include neuroscience, contemplative science, evolutionary biology, developmental psychology, and business administration and management. This confluence of science and good business practice is at the heart of why we propose an institutional duty of social responsibility, and why it should be grounded first and foremost in the workforce.

In the second part of the thesis we move to "Hows," the actual practice of social responsibility in the workplace. Many organizations currently have workforce-focused measures in place and a broad range of traditional approaches are surveyed. We then explore novel and innovative programs designed to foster personal development and prosocial behavior, and how implementing such programs can result in significant positive outcomes for individuals, organizations, and society. A promising program aimed at cultivating compassion is analyzed in detail. Lastly, we share eight business leaders' discerning ideas, insights, and lessons learned

from adopting and integrating into their own organizations measures targeting human flourishing and workplace wellness.

Several key terms used herein require more precise definition:

"Jobholder" is used in the most inclusive and expansive sense to encompass all those engaged by a commercial enterprise or directly vested in the success of the enterprise including traditional employees, temporary, part-time, or contract labor (on-site and remote), all levels of management, and corporate owners and/or leaders. In the context of our examination it is appropriate to consider jobholders in functionally and geographically broad terms.

"Personal development" applies to individual aspects of human well-being. Here it encompasses job skills training as well as physical, mental, and emotional traits and resources necessary for jobholders to be healthy, equipped to weather personal and professional challenges, and to feel safe, valued, and supported to do their best work.

"Prosocial behavior" refers to volitional behavior aimed at helping others such as sharing, cooperating, giving, and supporting. Such behaviors exemplify and enhance the broader social connections vital to human flourishing and feed directly back into health and well-being of individuals, organizations, and communities.

"Social responsibility" in the context of this thesis references the nature of the relationship between businesses, large and small, and the society, local and extended, in which those businesses exist. We will consider the scope and character of that relationship from a basic assumption that, in addition to maximizing profits, business has a positive obligation to act in a manner that benefits society. In current scholarship all aspects of social responsibility are occasionally subsumed under the heading of "sustainability." More particularly, social responsibility includes elements of human rights, environmental protections, and corporate citizenship, and incorporates concepts such as stewardship, equality, intergenerational equity, and shared humanity. All reflect a common ethical perspective on how humans interact and behave with each other in the world around us.

This paper is a qualitative study using phenomenological methodology to present the principles supporting a social responsibility role for organizations, and to evaluate programs focused on the workforce with specific attention paid to science-backed relational interventions.

Few of the issues examined herein represent discrete areas of thought or study and this paper is therefore highly interdisciplinary. Perspectives adopted include the legal, commercial, scientific, and humanistic, and existential questions for individuals and organizations are considered. The goals of such interdisciplinary research, analysis, and reporting are twofold: 1) enable the reader to recognize him/herself and his/her world within the issues presented, and 2) encourage the reader to see and understand these same issues through the experiences of others who are, in many fundamental ways, "just like me."

Complexity, uncertainty, and challenge are hardly new to commercial enterprises. This is as it should be. Obstacles present opportunities and serve as a positive force for motivation and innovation. But business used to be simpler, and the current scope and pace of demands on enterprises can be dizzying.

Recent decades have seen expanding globalization ratchet up competition as well as the stakes of doing business in larger and more diverse markets. The rise and continued advance of digitalization profoundly impacts the nature and organization of labor, as well as the future of work. Efforts to responsibly obtain, use, and dispose of necessary resources and supplies grow increasingly more difficult and complicated. The "war for talent" sparks fierce and costly battles to attract, recruit, and train "the best people" and keep those positions filled. Businesses are also expected to confront and engage with daunting global challenges such as environmental degradation, displaced peoples, and climate change. In addition to their own workforce, stakeholders to whom an organization owes an alleged duty of social responsibility include partners, suppliers, clients/customers, anyone collaterally affected by the organization's activities and choices, and the local, national, and global communities. All of these challenges co-occur with demands that businesses stay connected and relevant while being socially responsible inside and outside the organization.

This thesis aims to investigate why and how commercial enterprises should "do good" and embrace a socially responsible role, beginning with their own workforce. A fundamental premise herein is that embracing social responsibility can lead to significant economic and non-economic rewards, i.e. "doing good business." An essential element of "doing good while doing good business" is mobilizing the workforce in the venture. Research and application

consistently demonstrate that fostering personal development and prosocial behavior in the workforce is a potent method for motivating, engaging, developing, and supporting jobholders. This leads in turn to both greater profits, and deeply meaningful personal and social benefits for individuals, organizations, and society at large.

Part I

Whys: The Principles behind Social Responsibility in the Workplace

We begin with Whys, the principles for laying the cornerstone for an organization's socially responsible culture and practice in the workplace. Our rationale encompasses traditional employer duties of safety, fair dealing, and equitable remuneration, but extends beyond to include issues of individual well-being, organizational performance, and healthy societies.

Social responsibility for commercial enterprises is generally divided into four broad targets of attention: workplace, marketplace, community, and environment. We propose a focus on the workplace for several reasons:

- personal and professional benefits to individual jobholders,
- internal and external organizational advantage when socially responsible jobholders work together on behalf of an employer, and
- societal gains when a business and its entire workforce embrace and manifest engagement with and responsibility for their co-workers, as well as local, national, and global communities.

Embracing social responsibility is assumed to mean attracting more customers, better talent, and the most advantageous financing and investment. This paper digs deeper. Growing people internally that are professionally competent, mentally healthy, and emotionally strong has tremendous benefits to each individual, but also benefits the organization. Ripple effects spread outward even further to families, communities, and society.

As a threshold benefit, it is difficult to imagine developing an authentic culture of social responsibility if those closest to the organization are overlooked or neglected. Creating a strong and healthy workforce benefits individual jobholders, but also serves the organization's interest in a vital and flourishing workplace, which in turn can directly impact jobholder engagement.

In many ways, interactions between co-workers represent a macrocosm of family relationships, and a microcosm of individual relationships with the community and world. Relationship skills learned and developed in the workplace can impact how jobholders relate to clients/customers and other business contacts, which can directly impact organizational success.

Those same skills can influence how jobholders relate to their friends and families. As anyone who has ever shared an office with someone else well knows, how things are going at home has a significant effect on how things go at work.

A further benefit to grounding social responsibility within the workforce is that owners and/or upper management effectively enlist tens, hundreds, maybe thousands of bright minds in their efforts to be creative and successful. Empowering individual jobholders to participate in tackling big issues inside and outside the organization is likely to result in more thoughtful, creative, and ultimately effective ideas and solutions.

Gallup's 2019 "State of the Global Workplace" report states that on average worldwide, 85% of employees are either not engaged or actively disengaged from their jobs.[2] Only 15% of employees are actively engaged. In Western Europe only 10% are actively engaged, and in East Asia it's 6%. The U.S. average is 34%, although one engaged employee in three is still unimpressive. As the report points out, overall these figures represent a "stunning amount of wasted potential."[3] This critical lack of employee engagement further points to the workplace as an overlooked aspect of social responsibility, not to mention a virtually insurmountable obstacle to doing and sustaining good business.

The Gallup report names untapped human capital as "The Next Great Global Resource."[4] Companies performing best in the Gallup poll show 70% or more of employees engaged with their job and workplace.[5] So how to attract, motivate, and retain great people in the workforce, locus of vital ideas, energy, innovation, transformation, the very embodiment of any organization's purpose and meaning in the world? Gallup's research found that "Businesses that orient performance management systems around basic human needs for psychological engagement—such as positive workplace relationships, frequent recognition, ongoing performance conversations and opportunities for personal development—get the most out of their employees."[6] When jobholders were asked what most contributed to their engagement, the

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[2] Gallup, "Global Workplace," 5-6.
[3] Gallup, 5.
[4] Gallup, 12.
[5] Gallup, 8.
[6] Gallup, 6.

most cited response was, "There is someone at work who encourages my development."[7] Gallup makes several specific suggestions for increasing employee engagement based on their research: shift leader goals from employee satisfaction to employee development, move to strengths-based management practices, and shift workplace mission from pay to purpose.[8]

Many companies view compliance with workplace regulations as the extent of their obligations to jobholders rather than the floor. Certainly a workplace focus raises controversial political issues, especially in countries with more capitalist-leaning economies. Many traditional workplace concerns fall squarely within partisan battles over regulation, social welfare, and related contested political issues. Interestingly, globalization has driven increased unity of workplace practices inside and outside of home country jurisdictions, with the result that corporate and political perspectives may diverge in one country but align in others. And yet, egregious examples of corporate irresponsibility continue to play out in the workplace. Clearly, mere regulatory compliance is insufficient.

As with all social responsibility measures, social responsibility in the workplace may smack of self-serving public relations, branding, or even damage control. It may be used or misused to project a corporate human face for hiring or marketing purposes. For this very reason, social responsibility programs and measures are often viewed with skepticism and perceived as hypocritical, deceptive, or outright fraudulent. While an intention to collectively prioritize and pursue social responsibility should be articulated and spearheaded by a CEO and upper management, they cannot fulfill that intention alone. CEOs and upper management retire or move on to other organizations, roles, or interests. Programs presented as socially responsible and good for the organization, but perceived as pet projects or focused on narrow personal interests, are likely to be suspect or resented by others in the organization including the workforce and shareholders. All the more reason for social responsibility programs, particularly those focused on the workforce, to be integrated into corporate culture, vision, and mission at the highest levels and throughout the organization, rather than shunted off into marketing departments that develop goals and programming for the CEO to bless. Every jobholder should

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[7] Gallup, 2.
[8] Gallup, 2-3.

be prepared and committed to conducting company business in compliance with the organization's socially responsible culture.

The concept of social responsibility in the workplace, or anywhere else, is not without critics. While contemporary thinking about business obligations supports the idea of social responsibility, this is not the only historic or current view. One perspective posits that social benefits are the proper responsibility of governments rather than commercial enterprises. However, this fails to consider the often vast influence and impacts of today's very large commercial interests. Prominent economists have also argued that the sole social function of business is to make as much money as possible for shareholders.[9] Within that view, an enterprise should benefit society in the only way it truly can: meeting market demands for goods and services, providing employment opportunities, and paying taxes. As is often the case, theory doesn't always fit with reality. When businesses evade/avoid taxes, reduce rather than expand employment opportunities, or avoid their fully loaded costs of doing business (e.g. externalities and "tragedy of the commons"), all of which are common contemporary business practices, they have failed in meeting even those basic duties to society.

Support for these narrower perspectives on business and social responsibility is dwindling. No doubt some economists will continue to object to the idea that commercial enterprises have social responsibilities, but the majority admit they have lost this particular battle of ideas. Examples abound of companies adopting this perspective and enhancing their own economic value while also benefiting society, and they're not just those perceived as flaky do-gooders. The concept that enterprises have social responsibilities and must think, strategize, and act accordingly has been mainstreamed worldwide and appears to be entrenched. We therefore ground our examination in the situation and expectations in which businesses presently find themselves, and likely will increasingly find themselves in future: In the contemporary global business climate, organizations are expected to embrace and manifest socially responsible business practices in dealings with all of their stakeholders, and a primary stakeholder is their workforce.

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[9] Friedman, 177.

Chapter 1

Roots — Ethics and Morality

The roots of a duty of social responsibility are found in ethics and morality. For most of recorded history, power and privilege in human society were frequently a function of birth, gender, race, class, property ownership, or other arbitrary indicators. Completely contrary to this state of affairs, yet existing at the same time, were underlying beliefs about universal and inherent human rights. Basic elements of shared moral and ethical considerations, and articulations of perceived fundamental rights and responsibilities of people within society, can be traced back across many cultures over thousands of years. The Golden Rule, i.e., "Do unto others as you would have them do unto you," appears in virtually every wisdom tradition in the world. Related concepts of equity, justice, and fair dealing, particularly in the face of significant power disparities, can be found in multiple ancient oral or written sources such as the Babylonian Code of Hammurabi (1700 BCE), the Hindu Vedas (1500 BCE), the Bible (1200 BCE), the Quran (600 BCE), and the Analects of Confucius (500 BCE).[10] Inca and Aztec codes of conduct and justice predate all of these sources by over 1000 years, and the Constitution of the Iroquois Nation included similar provisions 600 years ago, well before the arrival of Western Europeans in North America.[11] Each of these sources from cultures around the world addresses issues of people's rights, duties, and responsibilities to each other.

The above early sources focused on moral or ethical responsibilities largely in the context of membership within a particular group, e.g. family, class, religion, community, or state. Extending these same concepts to individuals by virtue of their own unique and inviolate humanity and rights is a more recent development. The Magna Carta (1215) was the first formal assertion of the rights of the individual in the Western world.[12] Almost 500 years later the English Bill of Rights appeared (1689), followed a century later by the French Declaration on the

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[10] Nancy Flowers, ed., "Using Human Rights Here & Now," Univ of Minnesota Human Rights Resource Center, accessed July 11, 2019, http://hrlibrary.umn.edu/edumat/hreduseries/hereandnow/Part-1/short-history.htm.

[11] Flowers.

[12] Flowers.

Rights of Man and Citizen (1789) and the U.S. Constitution and Bill of Rights (1791). The ethical and moral aspirations expressed in these documents have inspired and motivated oppressed peoples around the world for centuries. They also laid the groundwork for contemporary modern democracy and human rights instruments and institutions. It is noteworthy, however, that while they cite and strongly promote key "inalienable" individual human rights, at the same time, they also specifically exclude members of certain groups such as people of color, women, and particular religious, economic, political, or social classes. They are all poignant reminders that humans tend to be tribal and fallible, even when endeavoring to manifest our highest and best aspirations.

Modern human rights law grew from these same ethical and philosophical roots. Early ideas posited human rights as universal, inalienable, or existing independently of legal enactment as justified moral norms.[13] Today these positions are still controversial and debated, including whether universal moral rights truly exist, and if they do, which particular rights make the list. One perspective asserts that humans are born with natural or God-given rights, and these rights are innate and inherent to our humanity.[14] Another idea is that all human groups have developed similar moralities in the form of imperative norms of interpersonal behavior backed by reasons and values, although a lack of unanimity about human rights tends to undermine this position.[15] A more pragmatic view suggests that rather than being based in a pre-existing moral consensus, modern human rights are our attempt to create that global consensus by forging a justified political morality for the planet.[16] Even when arguing for inherently right and wrong human behaviors throughout the world, we struggle to mutually name and agree on exactly which behaviors apply.

Regarding responsibilities of employers towards their workforce, the start of the Industrial Revolution in the mid-1700s led to the first attempts to address master-servant relationships including slavery and later abolition laws. At the same time early labor laws,

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[13] James Nickel, "Human Rights," Stanford Encyclopedia of Philosophy, April 11, 2019, accessed July 08, 2019, https://plato.stanford.edu/entries/rights-human/.
[14] Nickel.
[15] Nickel.
[16] Nickel.

detailed under Labor and Employment Law in the Constructs chapter below, ushered in some of the original human rights provisions in the form of workplace safety statutes.

Attempts continue today to understand, articulate, and agree upon alleged universal ethical and moral principles. Much of this contemporary effort stems from recent research demonstrating the importance to human wellness and well-being of good physical, mental, and emotional health, and of establishing and maintaining strong and positive social connections. This research and its relevance, both inside and outside the workplace, is explored more fully in the Science chapter below.

Chapter 2

Constructs — Law, Policy, Norms

We continue our examination of principles bolstering the idea of social responsibility in the workplace with constructs based in law, policy, and evolving business norms. Ideally, all of these constructs are informed by and rest on at least minimal standards of morality. However, our constructs are not intrinsically moral. Humans have a long history of veering away from our presumed moral standards, usually out of fear or self-interest, and often our codes of conduct shift with us. We are certainly capable of choosing to act because it's the right thing to do, but we often benefit from guidance and persuasion, even coercion, found in constructs such as the following.

Legality is not the only reason for embracing an organization's social responsibilities, and often such actions aren't statutorily imposed. Many nations find heavy-handed regulation of business to be anathema and prefer to rely upon voluntary compliance with policy and norms. Even if mandatory legal frameworks are not directly and immediately applicable to an organization, it is valuable to understand relevant constructs in the event the rules change, new laws or regulations are adopted, or business expands into new locations.

Applicability of the laws of various countries and entities to business social responsibilities can be confusing. An organization may have no direct statutory obligations, but the government under whose jurisdiction the organization operates might. States are increasingly being held responsible for the activities and consequences of businesses operating within their jurisdiction, and those governments may exert pressure to implement their own requirements. Many legal and policy instruments pertain to various aspects of business social responsibilities. They may be directed to public vs. private enterprise, apply on an international/regional/national basis, focus on a specific industry or issue, or include broadly aspirational or narrowly tailored provisions. Depending on location, a complex network of law, policy, guidelines, codes of conduct, and/or norms may apply to business operations, or an enterprise may voluntarily choose to adopt and comply with all or part of this network. It's beyond the scope of this paper to

engage in an exhaustive review, analysis, and discussion of every currently effective law or policy related to the social responsibilities of organizations within their workplace. We focus instead on several of the most widely recognized and applied.

The three primary over-arching contexts within which commercial enterprises worldwide consider their social responsibilities are Corporate Social Responsibility (CSR), Business and Human Rights (BHR), and Labor and Employment Law. Organizations often look to CSR or BHR when crafting concrete policy and plans for their social responsibility efforts, and both CSR and BHR are heavily informed by Labor Law principles. In CSR/BHR, the optimal role of business in the wider society is viewed in aspirational but also practical terms. Both provide guidance on engaging with various stakeholder populations including customers/clients, jobholders, suppliers, business and trading partners, and communities at the local, national and global level. Both constructs include specific elements related to engaging with an organization's own workforce. These workplace-focused provisions, however, are often ignored or minimized.

We also briefly examine the Sustainable Development Goals (SDGs) drafted by the United Nations Development Programme, and the Organization for Economic Co-operation and Development (OECD) Guidelines for Multinational Enterprises. Both constructs may be included and incorporated into an organization's social responsibility programming, often within the broader context of a comprehensive CSR/BHR plan.

Corporate Social Responsibility (CSR)

At present, CSR is the most widely accepted and applied construct within which commercial enterprises comprehensively organize and implement their social responsibilities. Unlike some of the other constructs we will consider, there are no statutory provisions underpinning CSR (yet). It remains a voluntary and self-regulated business model.

CSR developed throughout the last century and has distant ties to the philanthropy, stewardship, and paternalism of individual business owners that arose with Western industrialization in the 19th century.[17] At that time business owners often considered it their

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[17] Moon, 7.

responsibility to care for workers and their families by providing housing, education, recreational facilities, and other benefits and opportunities.[18] These notions are rooted in ancient ethical and religious tenets such as an obligation to treat each other fairly and with respect, the fortunate have a duty to support those less fortunate, and we must all commit to be good stewards of the resources with which we have been blessed.[19]

Objectives most commonly associated with CSR include a business responsibility to society to fairly compensate for the organization's impacts on other people and/or the environment, and an obligation to operate ethically, responsibly, and sustainably within society.[20] CSR is dynamic, and integrated with other relevant and related concepts including sustainability, business ethics, and corporate culture and citizenship. The face of CSR varies depending on context or culture, and its policies, practices, and norms continue to evolve, always maintaining elements of societal expectation and human aspiration. As an example and speaking generally, CSR in the U.S. is most prominently expressed in community involvement, and companies are generally more concerned with domestic rather than international issues. CSR in Europe tends to focus more on the workplace, marketplace, and environment.[21]

CSR has been embraced by MNCs as well as small and medium-sized businesses. The broad range of business entities involved in or engaging with CSR supports an expectation that all of society must step up and take responsibility for the full range of societal concerns. This is particularly important for today's MNCs as many may be larger, wealthier, more secure, possibly more aggressive, than some nation states, making their potential scope of influence and impact enormous. Beyond operational issues, socially responsible organizations are expected to consider the broader social, environmental, and economic conditions within which their business can thrive. It is widely recognized that the media and civil society are also paying close attention and actively attempting to participate in these discussions.

CSR first developed in the U.S. Consequently, it was initially imbued with aspects of American cultural, economic, and political themes combining individualism and

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[18] Moon, 9.
[19] Moon, 8.
[20] Moon, 4.
[21] Moon, 54.

community-mindedness, as well as skepticism of government in general and business regulation in particular.[22] "Responsible" stewardship of resources was another original aspect of CSR drawn from Americans' dual commitments to 1) utilizing resources and business profits to build and expand the nation, and 2) the precept that "with great power comes great responsibility," i.e. those blessed with great wealth and privilege should use it to benefit their communities.[23] These ideas were initially applied to individual business owners, and later extended by implication to commercial entities.

As CSR moved from the U.S. out into the world over the last century, it encountered other ethical traditions with their own distinct connotations of responsible business behavior. In some countries, CSR was largely adopted in its American form. In others, it was adapted and integrated into local ethical traditions and existing regulatory frameworks.[24]

In Europe, CSR was uncommon until approximately the 2000s when it emerged as a core component of business practices in the U.K. and Northern Europe.[25] In these countries it retained many U.S. themes, but also adapted to deeply rooted European traditions related to government's responsibility for social welfare and worker protections. In addition, the strong presence of business associations and labor institutions in Europe meant that initially CSR was often more implicit than explicit, i.e. integrated collectively into national political and policy measures related to economic activity, labor, communities, and environmental protections, rather than individualized policies within particular companies.[26] This collective approach is changing largely due to standardization of management practices around the world and the resultant expectations of more explicit engagement and reporting by individual companies. Businesses want to be recognized for the uniqueness and legitimacy of their policies and actions. Increased attention from international media and civil society, the so-called "social gaze," also contribute

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[22] Moon, 47.

[23] Precept variously attributed to, among others, an unknown writer at the 1793 French National Convention, Scottish Reverend John Cumming, Winston Churchill, Theodore Roosevelt, Franklin D. Roosevelt, and Marvel's Spider-man comic book.

[24] Moon, 46.

[25] Moon, 50.

[26] Moon, 54.

to European companies increasingly adopting more explicit and individualized CSR programming.[27]

CSR continues to emerge and develop in nations and institutions around the world, most rapidly in Asia and the Middle East where it has taken on many different forms based on diverse cultural values across the region. India provides an interesting example as they are attempting to move beyond the voluntary business model and introduce mandatory CSR regulations.[28] Many of the most fascinating developments, including micro-financing, ICT (information and communication technologies) applications in development, and ethical trade, all have roots in Africa and Asia.[29] Ideas and innovations are appearing and flowing in all directions, and American CSR is no longer the only or primary template for global CSR.

Despite the increasing omnipresence of CSR, there is no global CSR system. Instead, it continues to grow and exist as a multinational patchwork where national or regional CSR systems reflect the distinct cultural inheritances of the area.[30] The diversity of national political structures, regulatory systems, and civil societies also influence local shaping of CSR. This can be complicating for individual companies as they may find themselves subject to one version of CSR at home and another elsewhere. Their decisions and actions may comply with one set of policies while violating another, which can contribute to a perception of CSR as inauthentic and self-serving.[31]

The United Nations' venture into CSR is the most conspicuous international and institutional development to date. The centerpiece of these efforts is the UN Global Compact (the Compact) launched in 2000.[32] Then-UN Secretary General, Kofi Annan, proposed that the spread of globalization in the 1980-90s and resultant increasingly open and free trade, production, finance, etc., necessitated closer relationships and increased cooperation between the UN and the business community. The Compact is the primary international soft law document under which companies can directly pledge themselves to promote corporate social responsibility. The

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[27] Moon, 53.
[28] Moon, 65.
[29] Moon, 70.
[30] Moon, 71.
[31] Moon, 71.
[32] Mary Lou Keller, "Global Compact Comes of Age," 1-2.

Compact calls itself, "The world's largest corporate sustainability initiative," and advocates a "call to companies to align strategies and operations with universal principles on human rights, labour, environment and anti-corruption, and take actions that advance societal goals."[33] Since 2000 business membership has grown to over 10,000 companies worldwide.

The Compact sets out ten principles of good corporate citizenship addressing four main themes: human rights, labor rights, the environment, and anti-corruption. The four labor principles include freedom of association and the right to collective bargaining, elimination of forced and compulsory labor; abolition of child labor; and non-discrimination in the workplace. The Compact's human rights principles, i.e. protection of international human rights and no complicity in human rights abuses, broadly implicate workforce issues as well. Business members of the Compact are expected to integrate these principles into their practices and report annually on progress in implementation. In addition to supporting and promoting these principles, member organizations are obligated to pursue the UN's Sustainable Development Goals (SDGs).[34]

Like CSR generally, the Compact is voluntary.[35] There is no official external monitoring or verification, and the data collected is wholly dependent on self-reporting and self-policing. Self-reporting is inherently unreliable and prone to manipulation and deceptive self-aggrandizement, and the Compact has been criticized for its lack of enforcement capacity. In recent years, however, it has shown an increasing willingness to downgrade or delist members that fail to provide adequate reporting of their social responsibility efforts. Critics worry the Compact will never be truly effective or even credible without stronger mechanisms to ensure corporate entities are fully transparent and accountable for their actions and decisions.[36] The Compact is valued as a forum for high level interactions between companies, civil society, and international governmental organizations, but there is no real consensus on how much innovation or sustainability it has actually fostered. At the least, most agree the program has successfully increased networking, awareness and debate among members.

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[33] "United Nations Global Compact."
[34] "United Nations Global Compact."
[35] Mary Lou Keller, "Global Compact Comes of Age," 3-5.
[36] Knight, 256.

CSR is not without its critics. It invites skepticism, cynicism, sometimes even disdain, from detractors as well as supporters. However, many of the reasons behind the criticisms are more related to outcomes than CSR as a rationale or construct. There are disagreements about which values should be prioritized and how best to implement programs. CSR has been charged with not adequately addressing key issues, e.g. gender inequality or exploitation of indigenous peoples. It has also been accused of complicity with oppressive governments when allegedly ethical companies choose to do business in such countries.

More systemic critiques include that CSR represents corporate excess at the expense of shareholders, or that it is inappropriately used as a vehicle for resolving social issues when that is the proper role of government. CSR programs may be perceived as inauthentic, hypocritical, and/or self-serving, particularly if the program resides in a marketing department. Accusations of cause marketing or "pick-a-color-washing" are frequently levied when marketing or promotional strategies falsely paint policies or products as socially/environmentally responsible. It may be perceived as an effective vehicle for rehabilitating reputations after missteps, or as camouflage for actual lack of corporate social responsibility.

This negative perception is reinforced when organizations largely look outside themselves for ways to be socially responsible, or pat themselves on the back too publicly and vigorously for any minor, even questionable, good they may manifest in the world. Such behavior contributes to ongoing doubts about CSR and a widely held sentiment that businesses use social responsibility for window dressing, branding, enhancing marketing opportunities, and increasing their attractiveness to desirable new hires, particularly millennials. Activists in particular are skeptical of self-reporting, relationship building, and CSR strategies, viewing them as shallow self-promotion at best, and at worst, utterly bereft of substance, solutions, and often even facts.[37] Many believe the world is running out of time and even socially responsible companies are not doing enough quickly enough to confront looming global crises including income inequality, population growth, food scarcity, climate change, pollution, and loss of habitat and biodiversity.

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[37] Knight, 257.

The depth and breadth of CSR's image problem might surprise the presumably well-intended thousands employed in CSR programs around the globe. These criticisms argue even more powerfully for why the content and scope of CSR programming should be set and defined with substantive involvement of the workforce, allowing them to differentiate and motivate themselves, their social responsibilities, their departments, and their organization.

Aspects of the "business case for CSR," or bottomline benefits as distinguished from justifications based more in ethics or social values, have also been used to undermine the authenticity of social responsibility efforts. While CSR originally developed from a more altruistic perspective, in recent decades much has been researched and written about whether CSR initiatives make economic sense and lead to measurable returns such as reduced costs and risks, increased competitive advantage, and enhanced reputation and legitimacy.[38] For business owners and leaders, provided CSR is reasonably approached and implemented, a large body of research shows that case has largely and convincingly been made.[39]

Some CSR critics deride and dismiss any "business case" considerations whatsoever. This attitude is short-sighted. At the World Economic Forum in 2008, Bill Gates shared his thoughts on Creative Capitalism: "As I see it, there are two great forces of human nature: self-interest, and caring for others."[40] Rather than battle over relative importance or priority, Gates advocates that we integrate and hybridize both forces of human nature for the greatest benefit to individuals and society.

There is nothing inherently suspect about a commercial agenda or goals that drive CSR or publicizing CSR efforts. Provided they're not misleading or deceptive, marketing and promotion serve legitimate informational purposes for all sorts of organizations and efforts. Whether for organisms or organizations, survival is always a fundamental drive, and there is no shame in

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[38] Carroll, 101.

[39] Matteo Tonello, "The Business Case for Corporate Social Responsibility," *The Harvard Law School Forum on Corporate Governance and Financial Regulation,* The Business Case for Corporate Social Responsibility, Comments, January 6, 2015, https://corpgov.law.harvard.edu/2011/06/26/the-business-case-for-corporate-social-responsibility/.

[40] Bill Gates, "Creative Capitalism," *2008 World Economic Forum*, January 24, 2008, https://www.gatesfoundation.org/media-center/speeches/2008/01/bill-gates-2008-world-economic-forum.

looking out for oneself and one's rights provided the survival and rights of others are correspondingly respected. Invariably some rationales for social responsibility will be more heavily weighted toward self-interest, and others more toward social good. Claiming the moral high ground is unhelpful, as is face value criticism simply because a company is rewarded for its CSR. Profits, and what can be accomplished with them, are a legitimate social good. A failed commercial enterprise produces no goods or services, provides no employment, pays no taxes, and presents no opportunities for social responsibility.

Even more compelling, moral and well-being arguments for CSR are increasingly merging with traditional business arguments making ethical considerations an integral part of the business case. In this new scenario, shareholders remain active stakeholders in company success, but in evolving roles. The rise of ethical investing is precisely due to shareholder influence and their choice to exercise it in a wise, profitable, and socially responsible manner.[41] New business norms arise once CSR is deemed "business as usual" and a vital element in addressing social and environmental risk. Jobholders remain vital, albeit often overlooked, stakeholders in the success of any enterprise. As we will discuss in the Science chapter, fostering personal development and prosocial behavior in the workforce directly impacts the soft skills capacity, health, and well-being of the workforce, which translates directly into reduced costs of healthcare, reduced workplace incivility, less litigation, and less turnover. Greater loyalty in the workforce means greater jobholder engagement and satisfaction, which improves retention and hiring, which leads to better customer service, which produces better results for people, planet, and profits. The ethics case and the business case for CSR appear to be converging.

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[41] Moon, 106.

> Where, after all, do universal human rights begin? In small places, close to home – so close and so small that they cannot be seen on any maps of the world. Yet they are the world of the individual person; the neighbourhood he lives in; the school or college he attends; **the factory, farm or office where he works** [*emphasis added*]. Such are the places where every man, woman and child seeks equal justice, equal opportunity, equal dignity without discrimination. Unless these rights have meaning there, they have little meaning anywhere. Without concerned citizen action to uphold them close to home, we shall look in vain for progress in the larger world.
>
> —Eleanor Roosevelt

Like CSR, BHR has deep roots in labor and early human rights law. CSR and BHR share similar aims to promote safe, fair, and mutually respectful relationships in the workplace. Unlike CSR, however, BHR rests within a solid framework of international jurisprudence.

19th century concerns about the slave trade, discrimination against minority groups, dangerous working conditions, and the horrors of war provided much of the impetus for creating the League of Nations following World War I.[42] Article 23 of the League of Nations mandated "fair and humane conditions of labour for men, women, and children," which led to creation of the International Labour Organization (ILO) in 1919. The overarching vision of the ILO was a belief in "the premise that universal, lasting peace can be established only if it is based upon social justice," and it has served as a powerful advocate for labor rights and protections ever since.[43] The ILO also was instrumental in repairing massive post-World War I economic damage across Europe.

By the end of World War II several decades later, the League of Nations had floundered and failed. It was replaced by the United Nations whose primary missions included maintaining international peace and security, and promoting respect for human rights. The ILO survived and was incorporated into the UN, becoming its first specialized agency.

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[42] Nancy Flowers, ed., "Using Human Rights Here & Now," Univ of Minnesota Human Rights Resource Center, accessed July 11, 2019, http://hrlibrary.umn.edu/edumat/hreduseries/hereandnow/Part-1/short-history.htm.

[43] ILO, "About the ILO," ILO.org global, accessed August 9, 2019, https://www.ilo.org/global/about-the-ilo/lang--en/index.htm.

The UN Charter was drafted in 1945. One of the UN's earliest official acts was establishing the Commission on Human Rights with Eleanor Roosevelt as chair, and charging the Commission with drafting a document spelling out the fundamental rights proclaimed in the Charter.

In 1948, the Universal Declaration of Human Rights (UDHR) was unanimously adopted by the UN.[44] While the UN Charter made no reference to the fundamental rights of persons in the workplace, it was clearly one of the guiding principles behind the UDHR as evidenced by the Eleanor Roosevelt quote above. While not legally binding, the UDHR has come to be recognized and accepted as customary international law. The Preamble calls upon "every individual and every organ of society" to promote respect for human rights. Additional pertinent UDHR provisions include:

Preamble: [R]ecognition of the inherent dignity and of the equal and inalienable rights of all members of the human family is the foundation of freedom, justice, and peace in the world.

Article 1:   All human beings are born free and equal in dignity and rights.

Article 23:   (1) Everyone has the right to work, to free choice of employment, to just and favourable conditions of work and to protection against unemployment.

(2) Everyone, without any discrimination, has the right to equal pay for equal work.

(3) Everyone who works has the right to just and favourable remuneration ensuring for himself and his family an existence worthy of human dignity, and

supplemented,   if necessary, by other means of social protection.

(4) Everyone has the right to form and to join trade unions for the protection of his interests.

Article 24:   Everyone has the right to rest and leisure, including reasonable limitation of working hours and periodic holidays with pay.

After adoption of the UDHR, the Human Rights Commission began drafting two Covenants to the UDHR intended to be legally enforceable treaties, the International Covenant on Civil and Political Rights (ICCPR) and the International Covenant on Economic, Social and

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[44] United Nations, "Universal Declaration of Human Rights."

Cultural Rights (ICESCR). ICESCR Article 6 articulates the right to work and the State's obligation to provide training and opportunities to maintain employment. Article 7 enumerates the requirements to ensure just and favourable conditions of work. Article 8 address trade unions, and Article 10.3 prohibits child labor.[45]

Unfortunately, Cold War politics complicated adoption of the Covenants. The US and other Western nations strongly promoted civil and political rights, while Communist Eastern bloc countries prioritized economic, social, and cultural rights. Since the end of the Cold War most nations have recognized the principle that human rights are interrelated, interdependent, and indivisible. The U.S. remains one of very few nations that has not ratified ICESCR. As a consequence, U.S. businesses operating on U.S. soil are not bound by the covenant, but any business operating in a nation that has ratified ICESCR must comply with the covenant's provisions.[46] Both covenants were published in 1966 and entered into force in 1976. Together, the UDHR, ICCPR, and ICESCR comprise the International Bill of Human Rights.

Provisions addressing workplace rights and responsibilities have also been included in multiple regional human rights instruments. For example, the right to work is addressed in Article 1 of the European Social Charter, Article 15 of the African Charter on Human and People's Rights, Article 6 of the Additional Protocol to the American Convention on Human Rights, Article 1 of the Revised European Social Charter, Article 15 of the Charter of Fundamental Rights of the European Union, Article 30 of the Arab Charter on Human Rights, and, albeit not a legally binding international treaty, Article 27 of the Association of Southeast Asian Nations Human Rights Declaration.

The 1970s ushered in several decades of increasing economic globalization. The international human rights community was compelled to acknowledge the new and expanding roles of non-state actors, including transnational corporations, in promoting, facilitating, and/or directly contributing to human rights issues. In 2005 the UN Secretary General appointed Special Representative John Ruggie to research and draft a policy instrument examining adverse impacts

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[45] UN General Assembly, ICESCR.
[46] The U.S. often takes a position that its human rights obligations are largely a function of U.S. domestic law and therefore international standards do not become effective unless and until enacted through local, state, or federal law.

on human rights linked to business activities.[47] Ruggie presented his findings in 2008, at which time his mandate was renewed to turn his findings into an operational framework to address the impacts of business on human rights.[48] In June 2011, the UN Human Rights Council unanimously endorsed the Guiding Principles on Business and Human Rights (UNGP). Page one states:

> "These Guiding Principles apply to all States and to all business enterprises, both transnational and others, regardless of their size, sector, location, ownership and structure. These Guiding Principles should be understood as a coherent whole and should be read, individually and collectively, in terms of their objective of enhancing standards and practices with regard to business and human rights so as to achieve tangible results for affected individuals and communities, and thereby also contributing to a socially sustainable globalization."

Although the UNGP refers in several places to BHR "stakeholders", there are no explicit references to jobholders or the workplace. However, Part II: The Corporate Responsibility to Respect Human Rights, Foundational Principles, paragraph 12 states:

> The responsibility of business enterprises to respect human rights refers to internationally recognized human rights – understood, at a minimum, as those expressed in the International Bill of Human Rights and the principles concerning fundamental rights set out in the International Labour Organization's Declaration on Fundamental Principles and Rights at Work.

Commentary following paragraph 12 expands on that language:

> Because business enterprises can have an impact on virtually the entire spectrum of internationally recognized human rights, their responsibility to respect applies to all such rights…. An authoritative list of the core internationally recognized human rights is contained in the International Bill of Human Rights (consisting of the Universal Declaration of Human Rights and the main instruments through which it has been codified: the International Covenant on Civil and Political Rights and the International

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[47] "UN Secretary-General's Special Representative on Business and Human Rights," *Business and Human Rights Resource Center: Introduction*, https://www.business-humanrights.org/en/un-secretary-generals-special-representative-on-business-human-rights/introduction, accessed August 9, 2019.

[48] "UN Secretary-General's Special Representative on Business and Human Rights," *Business and Human Rights Resource Center: UN "Protect,Respect and Remedy" Framework and Guiding Principles*, https://www.business-humanrights.org/en/un-secretary-generals-special-representative-on-business-human-rights/un-protect-respect-and-remedy-framework-and-guiding-principles, accessed August 9, 2019.

Covenant on Economic, Social and Cultural Rights), coupled with the principles concerning fundamental rights in the eight ILO core conventions as set out in the Declaration on Fundamental Principles and Rights at Work.

The UNGP details three pillars of human rights responsibility:

1) the duty of State governments to protect human rights,

2) the duty of business enterprises to respect human rights, and

3) the obligation to make effective remedies (judicial, non-judicial, State and non-State) available to those harmed by human rights violations.

The expectations of both State governments and business enterprises to promote human rights are described in the UNGP. Requirements of communication, transparency, and accountability, are emphasized.[49]

The UNGP approach is novel in that human rights obligations traditionally have rested with States rather than private entities. It's clear that business enterprises bear full responsibility for the UNGP's second pillar of respect for human rights. This means avoiding infringing on the rights of others, as well as addressing (preventing, mitigating, and/or remediating) any adverse human rights impacts with which the business may be involved.[50] If national laws are inconsistent with internationally recognized human rights standards, enterprises must comply with whichever standard is higher. If national law and international standards conflict, companies must endeavor to honor both sets of principles. Internationally recognized human rights are, therefore, relevant for all enterprises beyond mere compliance with the law.

Companies often choose to focus their attention and efforts on the UNGP's third pillar, remedy, rather than engage substantively with respect for human rights.[51] Businesses and nations share responsibility for this pillar, and both have a duty to ensure effective remedies are available for those harmed by human rights violations. Remedies may be judicial, administrative, legislative, or through any other appropriate means including alternative dispute resolution and grievance mechanisms.[52] Focusing company efforts and assets on remedies is clearly preferable

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[49] United Nations, "Guiding Principles," para. 21.
[50] United Nations, "Guiding Principles," para. 11.
[51] Mary Lou Keller, "Search for a Corporate Philosophy," 3-4.
[52] United Nations, "Guiding Principles," para. 25.

to completely evading responsibility for abuses or harms, but this approach never fully confronts or addresses core causes of corporate human rights issues and violations.

Litigation is a particularly expensive and time-consuming remedy.[53] Annual revenues of MNCs can exceed the GDPs of many nation States, and accused business enterprises have in the past utilized protracted arbitration or litigation to attempt to avoid liability for human rights abuses. This strategy appears to be fading in popularity as companies are more reluctant to wage war over violations, and shareholders are increasingly resistant to the prospect of years of protracted litigation or arbitration.

Focusing corporate energies and assets on remedies is not a thoughtful or viable long-term strategy.[54] It dehumanizes victims of human rights violations, alienates the organization from true accountability, and will never result in a socially responsible corporate culture or philosophy that prioritizes and promotes human rights.

The UNGP is non-binding soft law, has no signatories, and includes no sanctions.[55] Soft law can become hard law, however, and forcing business enterprises to respect human rights through direct legislation has been proposed. In July 2018, the UN's intergovernmental working group on business and human rights (IGWG) released their first official attempt at a proposed treaty on business and human rights.[56] The group met again in Geneva in October 2018. Officially entitled "Legally Binding Instrument to Regulate, in International Human Rights Law, the Activities of Transnational Corporations and Other Business Enterprises," this so-called "Zero Draft" plus its Optional Protocol addressing complaints mechanisms, would shift the human rights responsibilities of business enterprises beyond voluntary guidance to a binding statutory framework.[57]

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[53] Mary Lou Keller, "Search for a Corporate Philosophy," 3-4.

[54] Mary Lou Keller, 3-4.

[55] Mary Lou Keller, 2-3.

[56] Maysa Zorob, "New business and human rights treaty takes shape," *Open Global Rights*, 11 December 2018, accessed August 9, 2019, www.openglobalrights.org/new-business-and-human-rights-treaty-takes-shape/.

[57] "Fourth session of the open-ended intergovernmental working group on transnational corporations and other business enterprises with respect to human rights." *United Nations Human Rights Council*, 2018, accessed August 9, 2019, www.ohchr.org/EN/HRBodies/HRC/WGTransCorp/Session4/Pages/Session4.aspx.

Though the UNGP is non-binding, many investors and NGOs have encouraged private business interests to act in accordance with its provisions. Corporate responsibility and sustainability practices are extensively monitored and verified. One well-regarded measure of business performance is the Corporate Human Rights Benchmark (CHRB), a non-profit collaboration of investors and civil society organizations which has established BHR benchmarks across various industries. Per CHRB's 2018 Key Findings focused on 105 of the largest companies in the world, de facto respect for human rights is sadly lacking.[58] A handful of the monitored companies scored well, and a few more have improved their scores in recent years. However, the vast majority of the world's largest MNCs score zero or barely above and to date appear to have little or no corporate culture or philosophy of respect for human rights.

Another source of information on BHR performance is the Shift Project database. The nonprofit Shift Project was founded by the professional team responsible for researching and drafting the UNGP. They now actively consult and educate around the world on BHR issues.[59] Their UNGP Reporting Database is available to investors and researchers, and compiles primary information on BHR disclosures, reporting, and impacts for over 100 companies in 11 sectors. To encourage greater BHR engagement and compliance, the Shift Project has created their own list of potential benefits and opportunities for businesses that respect human rights including:

- Improved risk management with less chance of business disruptions, public campaigns and criticism, litigation, reputational harm, and harm to employee retention and recruitment;
- Greater access to business opportunities with governments, financers and business customers and buyers, who increasingly recognize the reduced risk to themselves when working with a company that effectively manages risks to human rights;
- Positive recognition, including from socially responsible investors and civil society organizations, of the company's improving human rights performance and its efforts to address challenges;

[58] "2018 Corporate Human Rights Benchmark," *Institute for Human Rights and Business*, 13 November 2018,
https://www.ihrb.org/focus-areas/benchmarking/2018-corporate-human-rights-benchmark.
[59] "Our Story," *Shift: Who We Are*, accessed August 9, 2019,
https://www.shiftproject.org/who-we-are/.

- Improved relationships with workers, communities and other stakeholders in societies, resulting in greater trust and a stronger social licence to operate;

- Improved ability to preserve their reputation when negative impacts occur, given better public understanding of their overall efforts to avoid such incidents;

- Improved ability to recruit the next generation of young leaders, who are increasingly focused on companies' performance in this area;

- A comparative advantage with a growing number of stock exchanges and public and private financial institutions scrutinizing companies' non-financial performance, including with regard to human rights.[60]

Independent business and human rights monitoring, verification, and documentation efforts are extensive and sophisticated. Global media are awash in stories of human rights abuses by business enterprises, and subsequent inadequate, failed, or non-existent responses.[61] In the absence of judicial recourse, or sometimes in parallel with it, activists have successfully employed social pressures to force companies to respect human rights, especially when the language of commitment is present but the requisite engagement and substance is not. Tarnishing the reputation of a business organization can have dramatic effects on corporate profitability. Recovery, if possible, may be costly and take years.

Efforts to date to galvanize respect for human rights in corporate cultures and philosophies have yielded uninspiring results. A statutory framework requiring corporate respect for human rights, if possible, will take a very long time and may never effectively bind the bad actor targets of such legislation. A focus on remedies means reacting to rather than engaging with human rights concerns. Extrinsic negative pressures including shame, force, and avoidance have never been optimal movers or motivators of human beings and are no more likely to be successful with business entities.

Like CSR, BHR has been accused of being inauthentic, particularly regarding complicity with oppressive regimes when enterprises operate in countries engaging in systematic human rights violations. Similar criticisms are also made about cause marketing and window dressing.

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[60] "The UN Guiding Principles on Business and Human Rights," *Shift: Reporting Framework*, accessed August 9, 2019, https://www.ungpreporting.org/resources/the-ungps/.

[61] Mary Lou Keller, "Search for a Corporate Philosophy," 2-3.

Research into UNGP compliance indicates that companies bypass genuine respect for human rights principles in numerous ways.[62] Governance and policy commitments often include appropriate language, and due diligence efforts may be extensively staffed, researched, and documented. The guiding principle of "respect for human rights" is often a recurring theme in BHR programs and may feature prominently in marketing and investor communications. Unfortunately, the rhetoric often doesn't match reality.

Respect for human rights could, however, be inspired, modeled, and even cultivated.[63] Extrinsic positive motivators including reduced tax rates, positive publicity, or other tangible benefits to corporations, could encourage businesses to factor human rights into their policies and actions. Intrinsic motivation also may be developed and fostered within the workforce as proposed in this thesis. Such efforts could include primary focus on jobholders and their families with respect to living wages, healthcare, parental leave, stress management, training and education, and collaborative and supportive work environments. As with social responsibility broadly, organizations will struggle with perceptions of inauthentic human rights policies and programs unless and until they engage with their own workforce.

Business enterprises face challenges and opportunities in their search for strategies to promote and respect human rights.[64] There is confusion about what "respect for human rights" means and what it looks like in practice. Topics implicating human rights concerns are becoming broader and more complicated. More progress faster is essential, yet corporations make little attempt to be proactive and continue to behave as if responding to allegations is preferable to identifying and dealing with core issues. Without genuine belief in and commitment to the value of BHR, programs are vulnerable to elimination. Meanwhile, civil society and investors will continue to use monitoring and benchmarks to pressure corporations to respect human rights and be socially responsible.

Many in the labor and international human rights communities have grown disillusioned with CSR as a vehicle for businesses to implement meaningful human rights protections and

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[62] Mary Lou Keller, "Search for a Corporate Philosophy," 2-3.
[63] Mary Lou Keller, 5.
[64] Mary Lou Keller, 6-7.

social responsibility into their culture, policies, and activities. There are high hopes that the BHR construct will prove more successful.

Labor and Employment Law

Codification of the initial concepts of social responsibility in the workplace began with Labor Law, which predates and informs both CSR and BHR. The start of the Industrial Revolution in the mid-1700s led to the first attempts to address master-servant relationships including slavery and later abolition laws. At the same time, early labor laws ushered in some of the original human rights provisions in the form of workplace safety laws to improve working conditions and decrease threats of serious injury. The broad field of Labor Law facilitated, and developed out of, a shift from paternalistic traditions to recognition of the inherent dignity of work and those who perform it, informed by mutual respect between employer and jobholder. The fundamental purpose of Labor Law continues to be promoting decent work for all in the belief that everyone — jobholders, employers, communities, government — benefits from a safe, dynamic, and healthy workplace and market.

The scope and practice of Labor Law varies between nations and regions. Most broadly, labor law addresses rights and responsibilities between employers and jobholders. In some jurisdictions, however, regulation is divided between Employment Law, related to the rights and responsibilities of individuals in the workplace including terms of employment and dismissal, and various wage, hour, and leave laws, and Labor Law, which is limited to relations between employers and unions including collective bargaining regarding working conditions and various aspects of remuneration. The U.S. is a prime example of this dichotomy where labor law is separate from and narrower than employment law. Relatively speaking, contemporary U.S. labor and employment law is less protective of individual jobholders, more employer friendly, and significantly less concerned with laws pertaining to organized labor unions, while European laws provide jobholders with more benefits as well as greater employment and workplace protections.

While contemporary human rights thought and jurisprudence largely evolved post-World War II, jobholder rights and protections were included in the missions of the UN and its agencies

from the start.[65] With the failure of the League of Nations, the ILO became the UN's first specialized agency. Under the ILO's 1998 Declaration on Fundamental Principles and Rights at Work (ILO Declaration), all member States commit to four fundamental principles: freedom of association and the right to collective bargaining, the elimination of forced labor, the abolition of child labor, and non-discrimination in employment and occupation.[66] These principles are addressed within eight core conventions. All ILO conventions are binding on member States although their legality relies on the States' domestic law to enact and enforce the various conventions's terms. There are 195 countries in the world, and 187 are members of the ILO.

The ILO has long promoted social responsibility in the workplace through the belief that providing safe, healthy, and fair opportunities for employment, or "decent work," is the single most socially responsible action business can take.[67] Many economists would agree. At ILO's June 2003 International Labor Conference, then-Director-General Juan Somavia articulated an ILO core belief that "Work is the best route out of poverty." In support of this belief, the ILO actively addresses broad themes related to international labor including safety and health in the workplace, social security, employment security, and economic and social development generally. The ILO Declaration makes it clear that these workforce rights are universal and apply to all people in all nations, regardless of the level of economic development.[68] It particularly mentions groups with special needs, including the unemployed and migrant workers, and recognizes that economic growth alone is not enough to ensure equity and social progress and to eradicate poverty.[69]

Over the last century, most governments have enacted regulations aimed at traditional workplace issues including health and safety, collective bargaining, equal pay and treatment, working age, remuneration, discrimination, training, leave, and unemployment, health, and retirement insurance. Some of that regulation has been weakened or repealed in recent years. At

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[65] Joyce Apsel, "The Right to Work in Dignity: Human Rights and Economic Rights," *The Price of Fashion*, 2016, http://www.nyu.edu/projects/mediamosaic/thepriceoffashion/article.php?a=apsel-joyce.

[66] ILO Declaration, para. 2.

[67] "Working Out of Poverty," 2.

[68] ILO Declaration, para. 1.

[69] ILO Declaration, Whereas 2, 4.

the same time, new and challenging issues of concern and prospective regulation have arisen, largely connected to globalization and digitalization and their dramatic effects on commercial enterprises and jobholders over the last several decades. Examples include work-life balance, harassment, whistleblowing, immigrant workers, and the explosion of non-traditional jobholders in the platform or "gig" economy.

2019 marks the ILO's 100th Anniversary, or first Centenary. To mark this occasion, the Global Commission on the Future of Work was created in 2017 by the ILO to review and consider issues facing "all aspects of the world of work, identifying key challenges and opportunities and trying to come up with recommendations for action by all stakeholders, including governments, employers' and workers' organizations."[70] The Commission was composed of 27 independent international members appointed from government, business, academia, trade unions, think tanks, and NGOs. Aspects of workplace security and social responsibility studied by the Commission included technology and the changing nature of work, meaningful increases in equality and inclusivity, the role of universal social protections for workplaces of the future, and the aims and assessment of enhanced work and human well-being.

In January 2019, after 15 months of research and deliberation, the Commission released its report entitled "Work for a Brighter Future." The report is not written in purist labor law terms, but considers the economy and business and social policy more broadly. It posits that what is needed is "a human-centred agenda for the future of work that strengthens the social contract by placing people and the work they do at the centre of economic and social policy and business practice. This agenda consists of three pillars of action, which in combination would drive growth, equity and sustainability for present and future generations."[71] The Commission's three pillars mandate increased investment in 1) people's capabilities, 2) the institutions of work, and 3) decent and sustainable work.[72] Within these three pillars, the report makes ten recommendations, including and most relevant to this thesis:

- Universal entitlement to lifelong learning that enables people to skill, reskill and upskill

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[70] "ILO Work for a Brighter Future," 4.
[71] "ILO Work for a Brighter Future," 10.
[72] "ILO Work for a Brighter Future," 11-13.

- Stepping up investments in the institutions, policies and strategies that will support people through future of work transitions

- Implementing a transformative and measurable agenda for gender equality

- Guaranteed social protection from birth to old age that supports people's needs over their lifetime

- A universal labour guarantee that protects fundamental workers' rights, an adequate living wage, limits on hours of work and safe and healthy workplaces

- Expanding time sovereignty to give workers greater autonomy over their working time

- Ensuring collective representation of workers and employers through social dialogue as a public good, actively promoted through public policies

- Reshaping business incentive structures for longer-term investment approaches and exploring supplementary indicators of human development and well-being

The Work for a Brighter Future report proposes a significant shift in commercial enterprise mission from shareholder to stakeholder values, as well as a long-term transformation to focus on workforce well-being. It acknowledges that this likely requires changes in corporate governance and structure, and definitely requires an altered viewpoint to include focusing on human rights in the workplace, a renewed social contract and commitment to democratic underpinnings of the labor market, and a shift from a mindset guided by competitive advantage to one grounded in the wisdom of investing in a public good.[73] The report is clear in its concern that the future of work requires significant changes to traditional definitions, protections, and ways of doing business, and that failing to be engaged with and responsive to the needs of jobholders in this challenging time poses a threat to peace and security.

The Labor and Employment Law community continues to advocate for decent, meaningful work with dignity and self-determination for jobholders, while informing and leading developments in thought and practice related to social responsibility in the workplace.

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[73] "ILO Work for a Brighter Future," 13.

Sustainable Development Goals (SDGs)

The UN's Sustainable Development Goals (SDGs) present yet another law/policy framework within which commercial enterprises may consider and ground social responsibility in the workplace.

Reflecting on the state of the world in preparation for the turn of the century, the UN decided to tackle social responsibility in the context of international development. In 2000, they convened the Millenium Summit to address sustainability issues of global concern. The Summit led to the adoption by every UN nation plus leading development institutions of eight Millenium Development Goals (MDGs) targeted for resolution by 2015. The MDGs set forth State responsibilities to address poverty and hunger, education, gender equality, child mortality, maternal health, HIV/AIDS and other diseases, environmental sustainability, and international development.[74] More developed countries agreed to support less developed countries with a goal of all progressing together as a planet. Progress on the MDGs was inconsistent. By 2015, some States had actively engaged but not others, and significant progress was achieved on some goals but not others.

In 2015, the UN adopted the 2030 Agenda for Sustainable Development, replacing the eight MDGs with seventeen Sustainable Development Goals (SDGs) and moving target dates out to 2030.[75] According to the 2030 Agenda's Preamble, it is intended to be "a plan of action for people, planet and prosperity," and the seventeen SDGs "are integrated and indivisible and balance the three dimensions of sustainable development: the economic, social and environmental."[76] The term "sustainable development" was first used and defined in 1987's *Our Common Future* as "development that meets the needs of the present without compromising the ability of future generations to meet their own needs."[77] The SDGs build on but expand the MDGs to address the full range of global development issues. In addition to the MDGs' focus on

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[74] United Nations, "We Can End Poverty," https://www.un.org/millenniumgoals/.

[75] United Nations, "Sustainable Development Goals," https://www.un.org/sustainabledevelopment/.

[76] UN General Assembly, "Transforming our world."

[77] Brundtland, 1.

poverty, hunger, education, and gender equality, the SDGs added issues such as water, energy, decent work, inequality, climate change, and peace.

Like the MDGs, the SDGs set forth State responsibilities. Businesses and civil society also participated in drafting the SDGs, and while they are not obligated as States are, they too are expected to embrace and engage in ways that benefit society.

All seventeen SDGs have potential direct application and impact on employers and jobholders personally and/or professionally, but the goals most directly related to workplace protections and issues within this thesis include Goal 3: Good Health and Well-Being, Goal 8: Decent Work and Economic Growth, Goal 9: Industry, Innovation and Infrastructure, Goal 10: Reduced Inequalities, and Goal 17: Partnerships for the Goals.[78] Actions in areas such as business ethics, corporate governance and stewardship, stakeholder relations, job creation and security, access to healthcare, technology innovation, and use of resources, energy, and water can directly implicate the SDGs. Actively engaging with the SDGs can benefit an organization's reputation, social license to operate, actual licensing, and financial performance. Cultivating a prosocial workforce can help. A socially responsible workplace will further encourage all jobholders to personally and professionally engage more deeply and fully with the SDGs.

The SDGs have been criticized on a variety of grounds including for being too ambitious as to be paralyzing, and employing concepts that are ill-defined or inappropriately measured. One issue particularly relevant to this paper relates to Goal 8's pursuit of "Decent Work and Economic Growth." Concerns have been raised that decent work and economic growth may be mutually inconsistent, also that a primary focus on economic growth might well undermine decent work as well as all sixteen other SDGs. Laying the cornerstone of an organization's social responsibility efforts in the workforce as proposed in this thesis is one possible method to effectively address such concerns.

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[78] UN General Assembly, "Transforming our world."

OECD Guidelines for Multinational Enterprises

OECD's Guidelines for Multinational Enterprises (OECD Guidelines) are a highly regarded construct relevant to the social responsibilities of businesses to their workforce.[79] The original OECD Guidelines were part of OECD's broader 1976 Declaration on International Investment and Multinational Enterprises (OECD Declaration).[80] As described in the introduction to the 2011 revisions to the OECD Declaration, "The 1976 Declaration is a policy commitment by the governments of OECD countries on International Investment and Multinational Enterprises to improve the investment climate, encourage the positive contribution multinational enterprises can make to economic and social progress, and minimise and resolve difficulties which may arise from their operations. All parts of the Declaration are subject to periodical reviews. The most recent review - completed in May 2011 - concerned the Guidelines for Multinational Enterprises."[81]

The OECD Guidelines are not legally binding. Instead, they contain recommendations on responsible business conduct from OECD Member countries to all multinational business enterprises operating within their jurisdiction. The goal was to set out comprehensive, internationally agreed upon, and multilaterally endorsed principles and standards of ethical business practice to "build an atmosphere of confidence and predictability among business, labour, governments and society as a whole."[82] The OECD Guidelines are the first international instrument to adopt and integrate the corporate responsibility to respect human rights as set out in the UN's Guiding Principles on Business and Human Rights. Multinational enterprises are expected to reference the Guidelines to understand their obligations and draft appropriately compliant codes of business conduct.

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[79] OECD, "Guidelines for Multinational Enterprises," http://www.oecd.org/corporate/mne/.

[80] OECD, "Declaration and Decisions," https://www.oecd.org/daf/inv/investment-policy/ConsolidatedDeclarationTexts.pdf.

[81] OECD, "Declaration and Decisions," https://www.oecd.org/daf/inv/investment-policy/ConsolidatedDeclarationTexts.pdf.

[82] Gordon, http://dx.doi.org/10.1787/302255465771.

Workplace specific issues appear under several titles in the OECD Guidelines. The General Policies state that Enterprises should:

II.A.4: Encourage human capital formation, in particular by creating employment opportunities and facilitating training opportunities for employees.

II.A.8: Promote awareness of and compliance by workers employed by multinational enterprises with respect to company policies through appropriate dissemination of these policies, including through training programmes.

II.A.9: Refrain from discriminatory or disciplinary action against workers who make bona fide reports to management or, as appropriate, to the competent public authorities, on practices that contravene the law, the Guidelines or the enterprise's policies.

II.A.14: Engage with relevant stakeholders in order to provide meaningful opportunities for their views to be taken into account in relation to planning and decision making for projects or other activities that may significantly impact local communities.

Additional relevant provisions appear under Human Rights, while labor and employment principles are included within Employment and Industrial Relations.

OECD's recent initiative, "I am the Future of Work," is also informative regarding social responsibility in the workplace. They interviewed students, jobholders, job seekers, employers, and business leaders to gather a diversity of ideas, opinions, and concerns about the changing world of work, new risks and opportunities, and what it all might mean for the future of work. In early 2019, their data and conclusions were published under "A Transition Agenda for a Future that Works for All."[83] They conclude generally that globalization, demographic shifts, and technology/digitalization have profoundly impacted societies and labor markets, and impacts are likely to continue. These changes present major challenges as well as significant opportunities within the world of work. It is important to craft policies aimed at maximizing workplace and workforce benefits, while supporting societies, businesses, and jobholders through the inevitable

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[83] OECD, "The Future of Work," https://www.oecd.org/employment/Employment-Outlook-2019-Highlight-EN.pdf.

transitions. More particular findings for individuals, businesses, and societies are available within the many issues addressed and explored in the report, including Employment Outlook, Skills and Work, and New Forms of Work.

Chapter 3

Science — Human Biology and Organizations

I think time and time again, in reality, psychological notions and economic notions interplay, and the man who doesn't understand both is a damned fool.
—Charlie Munger, Berkshire Hathaway

The confluence of science and good business practice provides the final major principle supporting an organization's social responsibility to the workforce. Contemporary research, particularly in neuroscience and psychology, reveals significant benefits to individuals, families, organizations, and communities tied to fostering personal development and prosocial behavior in the workforce. These benefits derive largely from two sources: development and enhanced functioning of human brains and nervous systems, and the profound impacts and implications of deeper social connections.

Twenty-five years ago it would have been impossible to fully examine and consider the value of cultivating personal development and prosocial behaviors and their connection to social responsibility in the workplace. The body of science to back up these ideas had just begun to develop. Since that time advances in imaging technology have yielded findings in diverse scientific disciplines that provide fascinating and compelling insights into the interplay between human nature, our institutions, and social connection and responsibilities. If an informed shift in perspective and values is required for companies to authentically care for and about their jobholders, this cutting edge science illuminates both how to catalyze such a shift, and the prospective benefits. We consider some of this recent science below, focusing on diverse but interrelated discoveries within the fields of neuroscience, contemplative science, evolutionary biology, developmental psychology, and business administration and management.

Neuroscience

For a long time it was believed that the brain and associated nervous system structures grew and developed rapidly through infancy and early childhood, the pace of new connections slowed and eventually stopped in mid-late childhood, those connections gradually dulled, became scrambled, and inexorably failed over the course of adulthood, and then we died. Not a happy prospect.

Fortunately, advancements in imaging technology over the last several decades have permitted us to observe the human brain and its discrete structures as it grows and learns new information. Functional Magnetic Resonance Imaging (fMRI) has given us detailed real-time portraits of how we process information and emotions, how our pre-programmed nervous system "nature" interacts with our subsequent existential "nurture" in complex and powerful ways. Quite literally, when we pay attention to something, we write and rewrite our neural programming with each and every thought. Over time these new pathways get stronger, and eventually they become new default ways of thinking, feeling, and responding.

We have confirmed that our brains have an innate capacity to grow and change as long as we live. This discovery of "neuroplasticity" changed everything. It means our mental and emotional states are *trainable*, which means much of our mental health and well-being are also trainable. Researchers continue to unearth discoveries in this area and develop new practices to promote positive mental, emotional, and physical health.[84] These practices have deep applications for individuals, communities, and the workplace.

A quick neurobiology primer may prove helpful to lay the groundwork for further discussion. The autonomic nervous system controls the unconscious and largely involuntary bodily functions of humans (and other species) such as breathing, digestion, and heart rate. The autonomic nervous system has two main parts:

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[84] In clinical psychology, cognitive behavioral therapy (CBT) has developed from these same findings.

1) the sympathetic nervous system: the network of neurons throughout the brain and body tasked with keeping us alive in times of threat or injury by activating our fight/flight/freeze responses

2) the parasympathetic nervous system: neurons throughout the brain and body responsible for conserving energy and keeping us calm and relaxed, sometimes called the "rest and digest" or "feed and breed" system

Neurons from both systems are in contact and communication with each other so they are not wholly separate and discrete. The trick, and the focus of much current research, is understanding and learning to modulate the two systems' oppositional activities to manage health and optimize well-being.

When safety or survival are threatened, the sympathetic nervous system activates almost immediately, primarily through our amygdala. Our fight/flight/freeze response triggers hormonal and physiological changes including muscle tension, increased heart rate and blood pressure, and shallow rapid breathing. Blood is sent to the heart and extremities in preparation for running or doing battle, also to those brain structures responsible for alertness and heightened sensory input. This has significant implications in the workplace. Jobholders experiencing worry and stress over deadlines, job security, or workplace incivility can easily trigger a fight/flight/freeze response. Once that happens, they are simply not capable of being creative, thinking clearly, or performing at their best. If the response is triggered too often or remains active for too long, they may experience deleterious mental and physical effects associated with chronic stress and anxiety. For an employer, that translates directly to higher healthcare costs, absenteeism and turnover, and decreased productivity.

When danger is not present, humans have an equally efficient parasympathetic nervous system to help us remain calm, steady, and physically, mentally, and emotionally healthy. Pictured below is the vagus nerve. It is the longest cranial nerve in the body and largely responsible for controlling the parasympathetic nervous system. As is clear from the illustration, the vagus nerve extends from the brainstem to touch virtually every area and organ in the body: face, throat, heart, lungs, intestines, liver, spleen, all the way down into the bowels and
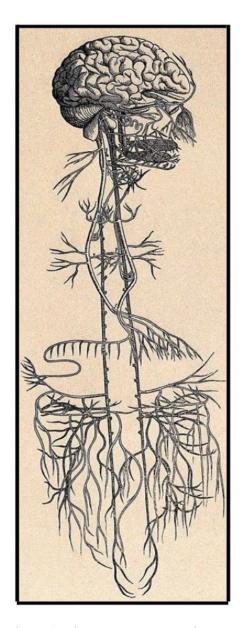
Figure 1: *The vagus nerve wanders everywhere*. Image by Christopher Bergland, "How Does the Vagus Nerve Convey Gut Instincts to the Brain?" *Psychology Today*, May 23, 2014, https://www.psychologytoday.com/us/blog/the-athletes-way/201405/how-does-the-vagus-nerve-convey-gut-instincts-the-brain.

reproductive system. The vagus nerve sends and receives communications between the brain and organs to help us stay in touch with our sensations and emotions. This is how and why we may experience strong emotions throughout the body. Activating the vagus nerve tells the entire body all is well, it's safe to calm down and relax. The better we are at activating the vagus nerve, the better our "vagal tone." Research has associated increased vagal tone with enhanced immune

system function, decreased inflammation, and positive mental and emotional health. Clearly, it behooves employers to hire—or foster—a workforce with good vagal tone.

The knowledge and skills to better manage and engage our vagus nerve, and thereby attain and maintain emotional self-regulation, are key to our ability to remain calm and clear-headed, particularly during challenging times. Several relatively simple and quick interventions have been discovered to communicate directly to our vagus nerve that it's time to engage and there's no need to be triggered by distress. These include humming, splashing cold water on the face, and deep breathing from the abdomen instead of shallow chest breathing. Learning and practicing such interventions can benefit any individual, inside the workplace or elsewhere.

Contemplative Science

Contemplative practices, i.e. meditation or mind training, have also been shown to contribute to improved vagal tone, also to interrupt or deactivate the fight/flight/freeze response, and wire our nervous system along healthier and more positive pathways via neuroplasticity. Practices include informal meditations, meaning brief, in-the-moment observations or habits intended to calm and focus thoughts in the present, as well as formal meditations involving more traditional, structured, and sustained focused attention for many minutes, or even hours.

Meditation comes to us from ancient Eastern spiritual traditions. In the West, meditation practice has been modified and largely secularized to support positive psychological health and wellness goals such as stress management, decreased depression and anxiety, and reduced emotional reactivity and personalization. Skills practiced in meditation can be of tremendous benefit in the workplace where composure and self-control are valued strengths. When moods don't easily shift based on someone else's attitude or actions, it's less common for emotions to distract or overwhelm.

One of the most basic but invaluable skills contemplative practice can help practitioners master is settling the mind. The human nervous system is always active, never still. Researchers have discovered that even when we are not engaged in any focused cognitive or thinking tasks

and our brains are ostensibly at rest, the mind wanders. We experience this as remembering, reflecting, thinking forward into the future, background monitoring of our surroundings, wondering, daydreaming, or any of the other myriad thoughts that pass through our minds when we're not focused on anything in particular. This is the brain's "default mode network" (DMN). When left to its own devices, our brain jumps around from seemingly random thought to seemingly more random thought. There are positive aspects associated with mind wandering including enhanced creativity and problem-solving. There are also negative aspects to mind wandering including distraction, disconnection, unhappiness, and rumination.[85] We know that minds wander frequently, regardless of what a person is doing.[86] We also know that rumination, or allowing worry or regret to replay over and over again in the mind, contributes significantly to depression and anxiety. Mind wandering is essentially a cognitively disembodied state, like mental time travel. Because it's our mind's default, it takes conscious effort to make another choice and achieve a different outcome. Contemplative practice cultivates an ability to rein in the random mind wandering and step out of ruminating on events from the past or worries about the future. Such skills help practitioners modulate strong emotions, amplifying when appropriate, dialing down when that would be more helpful.

Meditation is best conceived as a disciplined inner reflective exercise. Brain imaging and other controlled research into traditional and contemporary contemplative techniques have contributed dramatically to advancements in contemplative science. Every year we learn more about the science of contemplative practice and why/how such practices are of benefit.

Research has consistently shown that meditating strengthens connections between neurons. More importantly, it also makes new nerves and connections, or "gray matter." It may also decrease gray matter in the most emotionally reactive parts of our brains which makes us less easily triggered or spooked, calmer and more thoughtful, less defensive, more resilient to change and challenge. Fundamentally we know that meditation is essentially brain training. Positive mental and emotional states, and the habits and behaviors that grow out of them, are trainable due to neuroplasticity. Everyone can get better at these traits if they work at it. This is

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[85] Kam, 293.

[86] Killingsworth, 932.

true whether the goal is improved concentration, greater composure, pain management, or the capacity to generate feelings of love or compassion. And we have discovered that meditation doesn't have to be an ideal experience, or even a calm and quiet one. Intending to focus the mind in a contemplative manner, aspiring to "be meditative" for a time, and showing up to actually practice, are sufficient to produce benefits. Feeling like a poor meditator or that the mind wanders incessantly is the single greatest reason many people never try meditation or quickly abandon it.

Contemplative practices help improve both focus on the here and now, often termed "mindfulness," and expansive awareness of our thought processes, known as "metacognition" or "thinking about thinking." Imagine the mind is like a zoom lens on a camera when attempting to photograph a forest. The ability to zoom in and focus intently on the immediately present trees, then zoom out to take in and process the entire expansive forest, and continue the back and forth, is a sign of positive, secure mental and emotional health. This facility contributes to emotional self-regulation, critical thinking, equanimity and composure, resilience, and other desired capacities. Contemplative science offers tremendous potential for personal discipline and accomplishment, and at the same time connection. All are highly valued competencies in the workplace and directly influence faculties such as learning capacity, curiosity, communication, problem-solving, collaboration, and adaptability.

In 2018, psychologist Daniel Goleman and psychology professor Richard Davidson released *Altered Traits: Science Reveals How Meditation Changes Your Mind, Brain, and Body*. For their book they surveyed over 6000 peer-reviewed articles on meditation, then selected about 60 they deemed particularly well done and scientifically solid. The collected research demonstrates that "altered traits" are a lasting consequence of regular meditations.[87] By their definition, altered traits are lasting changes or transformations of thinking, processing, and being. These shifts come from cultivating shorter and more transient "altered states," or shifts in consciousness or awareness that take us out of our ordinary sense of ourselves and the world around us, e.g. deep concentration, or total immersion in a physical, cognitive, or creative task often termed "flow" or "the zone," also fever, drugs, or alcohol. When circumstances change or

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[87] Goleman and Davidson, *Altered Traits*, 6.

the mind shifts away from its focus, an altered state fades and the mind returns to prior baseline. Contemplative practice is the most common pathway to altered states, and also to solidifying states into long-term traits. The more you meditate, the stronger and more lasting these new traits become.

Early in their book research, Goleman and Davidson realized that there are many different kinds of contemplative training, and different types of meditation produce different results.[88] For instance, meditation incorporated into clinical therapy has shown success in treatments of anxiety and depression disorders, trauma, and PTSD (post traumatic stress disorder).[89] Contemplative practice can reduce triggers of inflammation in the body and increase the enzyme telomerase which slows cellular aging.[90] More telomerase in the body means improved health and longevity. It also appears that long term meditation can beneficially grow or shrink brain structures.[91] The authors focused at length on two types of meditation particularly applicable to the workplace, mindfulness and compassion.

Mindfulness is one of the earliest areas of contemplative study introduced, accepted, and practiced in Western countries. It is essentially an alert, aware, and nonreactive state of attention, or as Jon Kabat-Zinn has defined it, "the awareness that arises through paying attention, on purpose, in the present moment, non-judgmentally."[92]

Decades of research into mindfulness practices has yielded very solid data. We know that mindfulness has proven effective at significantly reducing amygdala activation. This reduced stress reactivity happens quickly, even for novice meditators, and the changes appear to become traitlike over time.[93] Subsequent benefits include higher pain tolerance, better emotional regulation due to increased neural connectivity, improved focus and attention, and faster

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[88] Goleman and Davidson, *Altered Traits*, 68-69.

[89] Goleman and Davidson, 207.

[90] Goleman and Davidson, 189.

[91] Goleman and Davidson, 190.

[92] Jon Kabat-Zinn, "Defining Mindfulness," January 11, 2017, http://www.mindful.org/jon-kabat-zinn-defining-mindfulness/.

[93] Goleman and Davidson, *Altered Traits*, 98-99.

recovery from stress.[94] Of specific interest in the workplace, mindfulness strengthens attention, helps maintain concentration even when multitasking, and improves working memory.[95]

Mindfulness practices have been offered in organizational settings for over 40 years and are now familiar and fairly common in the business community. Hundreds of classes and programs are available to teach jobholders how to be mindful in the way they think about and treat each other at work. Application of mindfulness techniques are often at the core of common workplace programs such as sensitivity training, diversity training, unconscious bias training, and respectful workplace training. Programs in the workplace, and mindfulness courses in general, rarely stay within the literal and traditional bounds of mindfulness. Paying attention in the present moment has been shown to be profoundly calming and centering, but there is no inherent moral or ethical component to that focus. Consequently mindfulness training also frequently includes meditations to cultivate positive mental states such as loving-kindness or compassion. Also closely tied to mindfulness is equanimity practice, or cultivating composure, calm, and mental and emotional stability, especially in difficult circumstances. The capacity to maintain equilibrium in a professional environment can be immensely valuable. Rather than deny or repress difficult emotions such as hurt, frustration, or disappointment, mindfulness and equanimity support engaging with negative states, while providing resources to manage and work through stressful situations. Imaging has confirmed benefits to additional variations on mindful contemplative study including meditations involving walking, music, coloring, flow, and others.

Compassion meditation is particularly compelling in our investigation because it encompasses and evokes many of the elements and traits we've identified as valued and valuable in the workplace, i.e. soft skills, EQ, empathy, connection, resilience, and agency. The Latin root of compassion literally means, "to suffer with." Compassion is a foundational concept in all ethical, moral, religious, and spiritual traditions around the world. As we discover in this thesis, it is also a foundational concept in social responsibility, human rights, and the human biology and business administration science herein. The neural systems that activate in an fMRI when

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[94] Goleman and Davidson, *Altered Traits*, 99.
[95] Goleman and Davidson, 145.

someone is engaging compassionately are the same ancient and powerful structures and processes that compel us to care for our children. A large body of research with very young children and animals, especially primates, illustrates that we are pre-wired for compassion, although we are also very prone to socializing it out in early development.

The full definition of compassion is not always understood. It's not simply caring or being kind, although it contains caring, kindness, and other prosocial traits. Compassion is more process than discrete feeling, an arc through which thoughts and emotions must travel to end in compassionate acts. For compassion to arise, we must first notice someone is suffering. "Suffering" is interpreted broadly and encompasses varying degrees of human struggle or dissatisfaction from deep pain, sorrow, or loss, to mild frustration, irritation, disappointment, or even boredom. Sometimes the person struggling is you. From there, connection, concern, and empathy for the sufferer and his/her experience is accessed. The third step generates aspiration and motivation to alleviate the suffering. Compassion culminates in the fourth and final step, our willingness to act on behalf of another person to relieve their struggle. The goal is to move through this arc more consciously, smoothly, and swiftly with practice, and in the end reach an embodied readiness to act compassionately to support and benefit someone that struggles.

Cognitive understanding of compassion is insufficient to enable compassionate behavior. It requires active practice, moving through all steps of the arc of compassion, avoiding the many potential distractions and wrong turns along the way. For example, empathy is a vital capacity and step in the process, but there are pitfalls. If we over-empathize and become overwhelmed, we may shut down or become mired in the suffering ourselves, termed "empathy fatigue." We may be ambivalent about alleviating someone's suffering. Does the person perhaps deserve to suffer? Do we have the time, energy, or financial resources to adequately respond?

The individual brain structures involved at each step along the arc can be seen and traced in fMRIs. Neurologically, empathy can be exhausting and draining, while compassion tends to be elevating and empowering. Interestingly, neural imaging shows that compassion increases amygdala activity due to heightened sensitivity to suffering and distress, while at the same time, it increases capacity to accept and manage those feelings to avoid overwhelm. In his book, *A Fearless Heart: How the Courage to Be Compassionate Can Transform Our Lives*, Thupten

Jinpa terms compassion our hard-wired "response to the inevitable reality of our own human condition — our experience of pain and sorrow."[96] The capacity for compassion primes us to respond to suffering with strength, warmth, understanding, and patience, rather than turning away or shutting down in disgust or fear. Even more importantly, compassion is active rather than passive. It provides tools to turn positive regard and concern into *acts* on behalf of someone in need.

With attention, dedication, and practice, compassion can improve in as little as 8-16 hours of training.[97] The rapidity and strength of the response is presumed to be tied to how powerfully pre-wired humans are for caring and connecting. Workplace stress, social pressures, and everyday life challenges may make it difficult to maintain and fully express the innate human capacity for compassion, but repeated studies indicate that it can be a significant personal and professional resource in the face of distress. Specific to the workplace, it can also promote perspective-taking, purpose and meaning, civil and respectful interactions, team building, creativity, and innovation. Compassion helps tone vagal response in a healthy manner so we can manage emotions, ours and others', appropriately.

Bottom line results are also promising. In one study, compassion and other virtuous traits were integrated into the corporate culture and workplace of 40 financial institutions and 29 healthcare institutions.[98] Results were measured at year one and year two. The financial institutions saw significant benefits in six measures of financial performance: average assets, sales, lost customers, cash flow, revenues, and expenses. Non-financial measures also improved including voluntary turnover, employee engagement, customer retention, and top management evaluations.[99] The healthcare institutions experienced similar improvements in patient satisfaction, willingness to recommend, voluntary turnover, support of nurses, climate,

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[96] Jinpa, xxi.
[97] Goleman and Davidson, *Altered Traits*, 121.
[98] Cameron, "Effects of Positive Practices," 3.
[99] Cameron, "Thriving Leaders & Employees: Compassion & Individual Flourishing," http://ccare.stanford.edu/videos/compassion-and-business-conference-2013-panel-3-o-4/.

participation, quality of care, manager support, hospital affairs, resource adequacy, physician-nurse relationships.[100]

Compassion in the workplace has been shown to reduce stress while increasing trust, positive emotions, the quality of interpersonal connections, and facilitating and understanding of shared values. It also fosters development of interpersonal competencies including active listening, emotional awareness and regulation, and improved conflict resolution skills. Additional real world examples of cultivating and practicing compassion in the workplace are shared in the Insights chapter below.

The neuroscience research data on cognitive and behavioral changes due to contemplative practice is only getting more robust. It strongly suggests the theorized dose-response relationship, i.e. the more you meditate, the greater the benefits. Even beginning practitioners experience substantive benefits in attention, coping, and stress management. These benefits become more striking in longer-term meditators, who also gain a greater capacity for concentrating, being present and aware, not getting lost in distraction, and noticing and correcting when they do get distracted even in a stressful environment. Noticing the mind has wandered, attention returns to focus; repeat. The more it happens the easier it becomes, like a workout for the mind. Because the amygdala, primary trigger point for stress reactions, is less easily activated, longer-term meditators get better at managing stress in the moment and also snap back more easily and quickly from an upset. The time it takes to return to baseline after experiencing distress or a setback is a measure of resilience, yet another beneficial trait in the workplace. Contemplative practice can similarly enhance dynamic states such as creativity, equanimity, connection, and compassion. With time, effort, and diligence, cultivated momentary states can become long-lasting traits. These enduring personal qualities are more stable and secure, harder to dislodge, and easier to return to.

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[100] Cameron, "Thriving Leaders & Employees: Compassion & Individual Flourishing," http://ccare.stanford.edu/videos/compassion-and-business-conference-2013-panel-3-o-4/.

Evolutionary Biology

Evolutionary biology also informs, and is informed by, the science cited above, and it too has yielded insights important to the workplace. We know humans are born pre-wired for certain mental and emotional states, responses, and drives. Like most organisms on the planet, one of our most fundamental drives is survival, which programs us with a strong predisposition to self-interest and self-preservation. However, humans are also profoundly pre-wired for social connection, and it appears our wiring for social connection may be even stronger.

In 1871 Charles Darwin wrote in *The Descent of Man* that he believed "sympathy" is our strongest instinct, stronger even than self-interest, because it best enables humans to flourish. Darwin's definition of sympathy is closer to what we would define today as compassion, a natural sense of concern that arises in us when we encounter someone struggling or in pain, with a co-occuring wish to see the struggle or pain relieved, plus a willingness to do whatever we can to be of help or support. Darwin viewed sympathy/compassion as an adaptive and evolved instinct that has been around from the earliest times of human development.

Dacher Keltner is an author, psychology professor, and founder and faculty member of the Greater Good Science Center (GGSC) at the University of California Berkeley. In a GGSC video presentation from July 2012, Keltner addresses these evolutionary roots of compassion, caring, and connection.[101] Keltner explains that humans are "a profoundly caretaking species" due to our very large prefrontal cortexes. This area of the brain is big because it's linked to our higher-level cognitive processes such as self-control, long-term planning, problem-solving, and decision-making, also music, language, and symbolic representation. Because human offspring need large heads to hold their big prefrontal cortexes, they are still very underdeveloped when we give birth, making them dependent for extremely long periods of time. Parents need to be strongly programmed for caretaking to stick around long enough for their vulnerable offspring to survive. Consequently, our nervous systems were extensively pre-wired for connecting and caretaking, especially in mothers. We also arranged our social structures into cooperative

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[101] Keltner, "The Evolutionary Roots of Compassion," https://greatergood.berkeley.edu/video/item/dacher_keltner_the_evolutionary_roots_of_compassion.

extended family networks for caretaking. Our oversized skulls turned us into super-caregivers, and compassion and connection are at the root of our instincts to care for and about one another. Because compassion promotes connecting with and caring for others, it strengthens cooperation in communities, both within and without the immediate family.

As with many of the predispositions with which we are born, however, there is a pitfall built into this pre-wiring. It involves a concurrent tendency toward bias, prejudice, or even dehumanization. Consider that humans evolved over many thousands of years in small extended family groups. We were born and raised with people who looked and behaved like us. Because human populations were low, these family groups or tribes were few and far between, so when we unexpectedly encountered someone from a different group, our protective brains instantly registered the unknown person as "other" and possibly dangerous. Conversations about race, bias, or discrimination become a bit less fraught if we begin from the knowledge that we are hard-wired to more easily trust and connect with people we find similar, and it is basic human nature to have alarm bells go off in our brains when encountering someone who looks or behaves different from what we are accustomed to. A large body of research into "implicit bias" explores these very human tendencies, as well as how they might be addressed. Encouragingly, this ancient pre-wiring can be rewritten by early exposure to people who look dissimilar but inspire in us feelings of trust and safety. It can also be rewritten by conscious practice and mental retraining. This issue is relevant to the workplace because it can help us understand and address innate bias towards certain groups in the workplace and the world.

Studies in body language, facial expressions, even subtle and involuntary micro-expressions, also reveal a common language across cultures for communicating compassion. Neuroimaging has confirmed the power of human caring, connection, and compassion, demonstrating that prosocial behaviors activate the reward structures in our brains. We are wired for it, we seek it, and we respond positively to it physically, mentally, and emotionally. Without social connection we are bereft; loneliness and lack of attachment are widely associated with significant negative mental and physical health outcomes.

Developmental Psychology

Various subfields of study and theory in psychology are inherent aspects of the other science discussed herein. So too is developmental psychology, or the study of how human thoughts, feelings, and behavior change over the course of a lifetime.

One relevant area of study involves self-determination theory (SDT) which explores personality and motivation, or why people make certain choices or act in a particular way. SDT considers both external or extrinsic motivators such as money, status, or fear of what other people might think, as well as internal or intrinsic motivations including our values, interests, and the things we care about and are curious about.[102] SDT has concluded that the three most important things people require to support an ability to make their own choices, act on them, and experience enhanced well-being and higher quality performance of those choices, are 1) autonomy, 2) competence, and 3) relatedness or connection. In our personal and professional lives, SDT posits that more of each of these three elements leads to higher and more stable functioning.

Another area of relevant research relates to psychological safety, defined by researchers twenty years ago as "a shared belief held by members of a team that the team is safe for interpersonal risk-taking."[103] When Google launched a two-year search for keys to their highest performing teams, the one thing they found indispensable for effective teams and personnel was psychological safety.[104] Worrying about being embarrassed or punished for asking a dumb question or making a mistake triggers the fight/flight/freeze response, instantly shutting down higher level cognitive processes including perspective, creativity, and divergent (out-of-the-box) thinking. In contrast, healthy and positive emotional states such as self-confidence and trust help to open, broaden, and stimulate the mind while boosting physical, psychological, and social

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[102] "Theory," Center for Self-Determination Theory, https://selfdeterminationtheory.org/theory/.

[103] Edmondson, 350.

[104] Delizonna, https://hbr.org/2017/08/high-performing-teams-need-psychological-safety-heres-how-to-create-it.

resources. Psychological safety allows and inspires curiosity, motivation, persistence, and boldness. These in turn lead to stronger teams, better solutions, and more successful outcomes.

Another pertinent sub-field involves emotional regulation and contagion. How we are guided, influenced, and impacted by our emotions ties directly to our capacity for self-regulation, composure, resilience, and stress management. All of these qualities are highly relevant and valuable in the workplace.

Emotions serve dual purposes: to guide our actions in a certain direction, and to signal our internal states to others. As expected, positive emotional states generally steer us in a healthy direction. Interestingly, so-called "negative emotional states" also exist to help us survive, even those we try very hard to conquer or avoid such as fear and anger. Fear's fundamental job is steering us quickly away from threats to our safety. A perceived threat may be physical or emotional, which is why we are hard-wired for a fight/flight/freeze response when we see a snake or spider, or jump at a noise in the dark, or are asked to present at a meeting. Anger is different. Its role is to propel us forward when an important goal requires us to not back away, and instead engage with something daunting, frustrating, or frightening. Anger can be triggered by physical threat, disrespect, hurt feelings, or moral injustice, any of which may be present in the workplace. No one gets anxious or upset about things they don't care about, and negative emotions serve a valuable purpose by drawing attention to something important that may have been avoided or overlooked, but needs to be addressed. The trick is to recognize the inherent goals our emotions are attempting to help us achieve without unleashing an unmanageable and emotionally flooded response. There is room for flexibility and movement in emotions, and emotional regulation practices aim to develop the capacity to access that space between. In that space we can intentionally choose our actions rather than fall into reactive behaviors. When properly understood and rendered more tractable, negative emotional states no longer feel so negative.

Because humans are such highly social creatures, our survival as a species has required that we be expert at signalling our internal states to others. We do this verbally, and also through body language and facial expressions. Our signals may be overt and unmistakable, or very subtle and not even consciously registered.

Another result of our human hard-wiring for connection is that our emotional states are contagious. We have all experienced when someone walks into a room and their emotional state is communicated immediately and without saying a word. If it's a good day and the person is in a positive mood, everyone feels it. If it's not a good day and he/she is feeling edgy, preoccupied, sad, or unhappy, everyone feels that too. We broadcast our thoughts, feelings, and intentions silently outward as we move through the world.

A fascinating neurobiological contribution to this phenomenon involves mirror neurons. The brains of humans (also primates, and likely other species) contain a small circuit of highly specialized cells called mirror neurons.[105] These cells activate when we perform an action that could communicate our intentions or feelings, e.g. smiling or slamming a door. The cells also activate when we see someone else perform an action that might communicate their intentions or feelings. In other words, mirror neurons do not distinguish between direct personal action with associated feelings, and another's actions with associated feelings. It appears that our brain attempts to mirror what the other is doing and feeling by processing what it has seen in the same way it would process the self doing and feeling the same thing, directly facilitating a social connection. Mirror neurons are believed to be involved in such things as empathy, yawning when someone else yawns, or picking up an accent when speaking to others with that accent.

Mirror neuron activity is also implicated in research into "theory of mind."[106] This is a psychological and philosophical theory that suggests when we observe another person, we use our own knowledge, emotions, intentions, and beliefs to infer and understand the other's thoughts. This ability to read others' emotions is an aspect of emotional intelligence and further supports the idea that humans are powerfully pre-wired for social connection.

The capacity to affect others with our dynamic emotional states is both helpful and challenging. In the workplace it becomes our responsibility to choose how we show up and interact with others. Fortunately, as has been discussed, regulating our emotional responses can be learned, practiced, and enhanced. And while emotional states are contagious, they're not like a virus and we are not helpless victims. Very recent research shows that we retain some ability to

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[105] Iacoboni, para. 1.

[106] Schulte-Rüther, 1370.

choose how we will be influenced by others' emotional states.[107] If we're motivated to feel calm and composed, we are more likely to be influenced by those around us who are calm and composed. If we lean towards feeling anxious or distressed, we're more likely to be influenced by other anxious or distressed people. Our ability to choose our response also can be learned, practiced, and improved.

Another area of current research explores the idea that how we think and feel about things helps determines how we experience those things, extending even into our physical reality. For example, there is a growing body of research to suggest that our visual and sensory perceptions of the world are highly subjective. One fascinating study focused this question on how our perceptions might be affected by our state of mind.[108] Subjects walked to the foot of a hill and were asked to estimate how steep it was. Before the walk, however, they each wrote about an incident in which they were seriously offended by another person, including whether or not they had forgiven the offender. When estimating the steepness of the hill, those who were still upset estimated the hill to be significantly steeper than did those who had forgiven their offenders. The same researchers conducted another test with different subjects. Participants again wrote about an incident in which they were offended and whether or not they had forgiven the offender. They were then asked to jump as high as they could five times. Results were similar. Those who had forgiven their offenders performed significantly better on the test of physical fitness than those who still held a grudge. The results suggest that we viscerally perceive holding grudges or feeling unforgiving as heavy and burdensome, and perhaps feel robbed of strength and power. This directly impacts how we physically move through the world. These results are consistent with prior research suggesting that the world is perceived as less demanding when we feel loved, supported, and connected, and psychosocial resources such as feeling understood and encouraged help to lighten our load.

A robust ability to choose our thoughts and therefore our feelings also relates directly to stress management, another in-demand workplace skill. Research increasingly indicates that the harmful effects of stress may largely be a consequence of our perception that it is bad for our

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[107] Goldenberg, General Discussion.

[108] Zheng, 7.

health.[109] In one study, over 28,000 people were asked to rate their levels of stress over the past year as well as how much they believed this stress influenced their health — a little, a moderate amount, or a lot. Public death records over the next eight years were searched to record the passing of any subjects. Researchers found that those reporting high levels of stress combined with a belief that stress had a large impact on their health experienced significantly worse physical and mental health outcomes, as well as a 43% higher risk of premature death. Those who reported high levels of stress but did not believe stress negatively impacted their health were among the least likely to die across all study participants.[110]

Other research has found that occasional short term stressors actually enhance immune system function, presumably because the immune system fires up in preparation for changes like wounding or infection.[111] It can be healthy and protective to do this occasionally. Contrary to popular belief, stress doesn't always lead to illness and it doesn't have to be harmful. When we reframe our perception of common stress responses such as a pounding heart or sweaty palms from warning signs, to thoughts that the body is energized and preparing to meet an important challenge, those stress responses can actually make us smarter, stronger, and more successful. Stress can help us learn and grow. It can even inspire courage, compassion, and connection when we unite with others to meet challenging circumstances.[112] When we rethink our attitude about and approach to stress, a different biological reality is created in mind and body. By cultivating composure and resilience, jobholders can become good at stress rather than a casualty of it.

Business Administration and Management

Many scientific disciplines are directly relevant to issues in business administration, organization, and management, including Business Ethics, Group Processes, Behavioral Economics, Leadership, Human Resources Management, Marketing, Organizational Behavior, Sociology of Work, and more. Research across many of these fields has significant implications

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[109] Abiola Keller, "Stress affects health," 684.

[110] Abiola Keller, 686.

[111] Dhabhar, "Compassion & The Bottom Line," http://ccare.stanford.edu/videos/compassion-and-business-conference-2013-2/.

[112] McGonigal, ch. 6.

for the business benefits of embracing a socially responsible role, and also for the value in efforts to foster personal development and prosocial behavior in the workplace. This is particularly true when the work environment is particularly challenging or mentally/emotionally demanding. Supporting jobholders in gaining professional skills, exploring their values and purpose, and providing them with opportunities to enhance self-awareness, self-regulation, autonomy, competence, and connection to others, can fuel their fortitude and resilience, as well as a commitment to *this* job with *these* co-workers for *this* company. That motivation can be the key to a workforce that is actively engaged, flourishing, highly productive, and socially responsible inside and outside the organization, offering firms a significant competitive advantage in the long term.

It is noteworthy that many of the trainable capacities and traits described in the prior science findings appear prominently on lists of "soft skills" and EQ traits so prized by hiring managers due to their proven value in the workplace. Management studies and organizational science are informed by these findings and what they reveal about how businesses and their people can thrive.

Daniel Goleman defines EQ as the ability to recognize, understand, and manage our own emotions, and to recognize, understand, and influence the emotions of others, particularly when under pressure.[113] Goleman views EQ as a broad array of skills and competencies, and describes five aspects of EQ that influence personal well-being as well as job performance and leadership ability: self-awareness, self-regulation, social skills, empathy, and motivation. Decades of research clearly point to EQ as the key distinguishing feature of exceptional performers in the workplace.

Soft skills are diverse and highly relational personality traits and behaviors that arise in personal interactions. They contribute to an ability to truly see and understand others, recognize what motivates them, connect with them, and nurture and support that connection. Key examples include communication, adaptability, patience, personal integrity, compassion and empathy, open-mindedness, creativity, curiosity, and gratitude. EQ and soft skills have been shown to contribute positively to a variety of vital workplace tasks including critical thinking, planning,

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[113] Goleman, *Emotional Intelligence*, ch. 1.

collaborating, decision-making, managing and coaching, persuasive communication, difficult communication, and giving and receiving feedback.

Businesses seek EQ and soft skills because they fuel creativity, engagement, motivation, and success for their jobholders, the workplace, and the organization. In a successful workplace, business leaders master and model these skills themselves, and a primary goal is hiring people with strong EQ and soft skills. But these traits and capacities are not just innate. Cultivating and training them in the existing workforce may be an even wiser strategy.

Research on mentoring in the workplace may be illuminating for business managers and leaders. Studies consistently demonstrate better professional and psycho-social outcomes for both mentors and mentees arising directly from the relationship.[114] Implementing a mentoring program in the workplace significantly alleviates stress and distress at all levels of an organization, and can engender and facilitate greater compassion in a work environment that lacks it.

Other recent studies have focused on the significant negative consequences of workplace incivility. Civility implies treating others with basic courtesy, consideration, regard, and respect. Civility at work is an accepted norm of behavior; it presumes and promotes mutual empathy, connection, and relationship building. Workplace incivility, i.e. rudeness, mistreatment, or hostility from a co-worker, erodes/upends this norm. Feeling unsafe in one's place of work triggers the fight/flight/freeze response and may lead to insomnia, high blood pressure, even cardiovascular disease. It can have devastating effects on workforce cohesiveness, mood, and morale, and be a precursor to office aggression, bullying, or even violence.

Victims of workplace incivility routinely report disrupted concentration due to anxiety over past incidents coupled with worry about possible future encounters. Trust and connection are eroded, victims struggle just to show up and function much less excel, and their commitment to the organization deteriorates. The costs in management time are huge. A study reported by Fortune magazine found that managers and executives at Fortune 1000 firms spend approximately 13% of their work time dealing with fallout from incivility.[115] That's seven weeks

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[114] Martin, "Happy Organizations,"
http://ccare.stanford.edu/videos/compassion-and-business-conference-2013-panel-2-of-4/.
[115] Weiss, 100.

every year. Ultimately performance, productivity, and profits are all adversely affected by workplace incivility. Mindfulness and compassion training can reduce incidences of rude behavior, temper reactivity and harm for those on the receiving end, and help facilitate conflict resolution.

Burnout is a huge workplace issue worldwide and currently the focus of much research. Burnout was first defined in 1976 as a syndrome involving exhaustion, cynicism, and inefficacy, the polar opposite of engagement elements of energy, involvement, and efficacy.[116] According to a three-part Gallup analysis of employee burnout, 67% of employees say they are sometimes, very often, or always burned out at work.[117] Those who very often or always experience burnout are:

- 63% more likely to take a sick day
- 23% more likely to visit the emergency room
- 2.6 times as likely to leave their employer
- 13% less confident in their performance

Burnout has deleterious and costly impacts on employee health, relationships, career development, and productivity, yet many employees experience burnout regularly on the job.

Burnout is closely related to perfectionism, and has been variously characterized as a moral injury, PTSD, and "poorly managed stress." The five factors most highly correlated with burnout in the Gallup study were unfair treatment at work, unmanageable workload, lack of role clarity, lack of supervisor communication and support, and unreasonable time pressure.[118]

Fortunately, research has also identified burnout protective factors that may be of support including compassion in the workplace. As we have seen, one primary strength compassion generates is a willingness and capacity to approach rather than avoid struggle, and a sense of positive balance in the face of suffering. Compassion can be a highly effective tool to mitigate stress and prevent burnout and vicarious trauma.

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[116] Lastovkova, 160.
[117] Gallup, "Employee Burnout, Part 1," https://www.gallup.com/workplace/237059/employee-burnout-part-main-causes.aspx.
[118] Gallup, "Employee Burnout, Part 1."

Healthy work-life balance also can be a powerful protective factor to prevent burnout. Several elements in labor law's concept of "decent work" are also viewed as important aspects of work-life balance including time sovereignty (greater jobholder control over scheduling and working hours) and the right to disconnect (escape from work-related communication and technology). Even with good intentions, it would be virtually impossible for employers to mandate or impose a healthy work-life balance on the workforce. Individual circumstances are unique, personally and professionally, therefore jobholders will always bear most of the responsibility for manifesting their own version of work-life balance. However, employers that are creative, flexible, and supportive can prioritize providing their jobholders with the skills, tools, resources, and autonomy they require to shape work-life balance for themselves.

Agency or personal autonomy is a third burnout prevention factor. Leah Weiss, in *The Little Book of Bhavana*, defines agency as "the ability to take action to influence our situation…[and] a core component of resilience." The sense of agency means when we act we have a sense of independence, freedom, and control over our actions; we reclaim our efficacy. Having the ability to act and exercising that ability can be helpful in preventing and even reversing burnout.

Research on mindsets by Carol Dweck offers a provocative perspective on the workplace value of training thoughts to enhance motivation and performance. Mindset is essentially the lens through which one views self and world. Dweck contrasts "fixed mindsets" and "growth mindsets." A fixed mindset assumes that personal abilities and characteristics such as intelligence, athleticism, or musical ability are pre-ordained and static, a person is either born with them or not. When settled in a fixed mindset, efforts to learn or improve are largely pointless, challenge is discouraged, feedback becomes demoralizing, and limited accomplishment is presumed from the start. By contrast, a growth mindset makes no assumptions. We all have abilities and characteristics, our present expertise falls somewhere on a spectrum, and there is always room for improvement. Effort and commitment are worthwhile, challenge is embraced, and feedback is valuable information. Failing becomes a lesson on the path to mastery.

Dweck's research on mindsets was initially applied in education to how students viewed themselves as learners, their abilities, competence, opportunities, and aspirations. It has since been extended and applied in virtually all domains including relationships, sports, and the workplace. One recent study focused on bias and diversity in the workplace and how mindset shifts can improve outlooks and outcomes for women and minorities.[119] Another area of study explores applying peak performance mindsets developed for sports training to promote excellence in the workplace.[120] Research suggests that companies that foster and model a growth mindset are likely to be more open, innovative, committed, and diverse. Jobholders will feel supported and encouraged to embrace hard work and challenge, accept feedback, and learn and grow from mistakes rather than be devastated by them. A workplace that leads with encouragement rather than judgment or blame is a workplace where people and business can flourish.

Studies in business leadership clearly call for upper management to include themselves within the workforce, and to count themselves recipients as well as providers of organizational programming to foster personal development and prosocial behaviors. Rank and file jobholders are hardly the only ones struggling with anxiety, depression, divorce, addiction, illness or loss, or even job dissatisfaction. Everyone can benefit, personally and professionally, from enhanced capacity for traits such as emotional regulation, connection, compassion, and resilience.

For many years corporations, particularly their leaders, have been compared to psychopaths, or at least antisocial deviants. This likely is based on a vague notion that successful business leaders must be cold and manipulative, devoid of empathy, conscience, or remorse. While such sweeping generalizations do not apply to most organizations or their leaders, particularly those espousing socially responsible cultures, a similar issue relates directly to those in leadership and is worthy of scrutiny and reflection.

Recent studies have looked at the neurobiology of how people attain power, and potential consequences of that power to neural systems. Most people rise to positions of power through what we have defined as highly effective and successful EQ and soft skills. They are very good

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[119] Rattan, 676.
[120] Hallett, 212.

at rallying the support, engagement, and participation of others and they bring everyone together to accomplish great things. Occasionally, there are ruthlessly focused and driven exceptions that serve only their own egos, dreams, or demons and can capture people in their manic vision for awhile. In general, however, organizations (and social groups) tend to get rid of such people as soon as possible. Most people in power got there because other people enthusiastically aided and supported them on their journey, and those supporters were treated well and rewarded for their help and loyalty.

Interestingly, once in power, people's brains often change. The neural structures and processes that previously generated the excellent people skills that brought them to power may cease to operate in the same manner. Brains shift to new pathways of disconnection and dehumanization, and lose those connections that helped them reach the top. John Dalberg-Acton's insight that "power tends to corrupt, and absolute power corrupts absolutely," is a concise and apt summary of the disconcerting interplay between human nature and power dynamics.

Dacher Keltner has spent several decades studying what power is and how it affects individuals and impacts communities. The title of his book, *The Power Paradox: How We Gain and Lose Influence*, contains his term for this neural processing shift. As Keltner describes it:

> "The power paradox is this: we rise in power and make a difference in the world due to what is best about human nature, but we fall from power due to what is worst. We gain a capacity to make a difference in the world by enhancing the lives of others, but the very experience of having power and privilege leads us to behave, in our worst moments, like impulsive, out-of-control sociopaths.
> How we handle the power paradox guides our personal and work lives and determines, ultimately, how happy we and the people we care about will be. It determines our empathy, generosity, civility, innovation, intellectual rigor, and the collaborative strength of our communities and social networks. Its ripple effects shape the patterns that make up our families, neighborhoods, and workplaces, as well as the broader patterns of social organization that define societies and our current political struggles..."[121]

This mental rewiring may occur by disrupting mirror neuron activity.[122] Repeatedly making decisions that discount or disregard others can reduce empathy and connection, and we may stop caring as much. But this reduced connecting and caring capacity isn't confined to faceless others.

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[121] Keltner, *Power Paradox*, 1-2.
[122] Hogeveen, 759.

When our neural pathways for understanding and connecting with others fade, it can affect all our relationships including those with colleagues, friends, and family.

As we have discussed, neuroplasticity enables perpetual rewiring of our neural pathways, so this process can be reversed. If lost capacity for traits such as communication, adaptability, patience, personal integrity, compassion, empathy, open-mindedness, creativity, curiosity, and gratitude is the likely result of running a successful business, then actively cultivating and preserving these traits becomes vital. Fostering personal development and prosocial behaviors in the workplace can help counteract the negative effects of great power in people as well as organizations.

Part II

Hows: The Practice of Social Responsibility in the Workplace

From exploring the diverse rationales and underpinnings of social responsibility in the workplace, we now consider how such measures have been, and most effectively could be, applied and practiced in organizations.

A shift toward increased social responsibility and a more compassionate organization and culture tends to happen in one of two ways: 1) financial pressures indicate that being a better corporate citizen of the world will be good business, or 2) new leadership decides meaning is important and will now drive how business is done. Both paths are valid and legitimate, and both reflect a belief that jobholders will be more engaged and the organization's reputation and bottom line will be enhanced if the business adopts a long-term, systemic perspective on how to make a positive impact in the world.

Integrating a socially responsible ethos throughout the workforce often poses a challenge. Organizations with less vertical or hierarchical business structures tend to accomplish this more readily, perhaps because jobholders are, or perceive themselves to be, more autonomous and empowered. An authentic corporate culture of social responsibility runs deeper and ripples further when instilled into every person at every level of the organization, rather than imposed from on high or crafted by outside consultants. As stated in a Gallup perspective paper, "Your employee experience *is* your employment brand."[123] Integrating social responsibility into the workplace may be challenging, but the potential benefits can be immense.

Social responsibility programs targeting the workforce may be perceived as self-serving or bare bones, but they needn't be. They can reflect a genuine and substantive investment in people when focused on providing jobholders with opportunities to cultivate personal and professional development, build healthy social connections, and serve as respected ambassadors in the community. People foster vital personal and professional connections at work, spending

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[123] Gallup, "Designing Your Organization's Employee Experience," download at: https://www.gallup.com/workplace/242252/employee-experience.aspx.

many if not most of their daily hours with co-workers. Unless people work very hard to maintain some distance, they invariably develop some of their most emotionally salient relationships with co-workers. We form tribes in our workplaces. Actively cultivating personal development and prosocial behavior for the workforce implicates fundamental issues about how we treat those closest to us and how people respond to the way they're treated. When authentic care and concern for the workforce emanates from the top, that care and concern spreads throughout the workforce. That same care and concern emanates from everyone in the organization, and people who care attract other people. When clients or customers interact with employees that care about their experience, they sense it, it makes a difference to them, and it becomes a powerful reason to return.

The best social responsibility programs are unique to a particular organization, its vision, its mission, and its stakeholders, and do not echo or resemble those of others in the same industry or some other award-winning program. While new hires or outside consultants can be helpful in guiding and implementing a program, ideally it will spring from and be thoroughly integrated into the lifeblood of the organization: the workforce. The goal is a workplace-wide attitude of, "This is *our* company, *our* products/services, *our* mission and purpose, and it will be *our* singular approach to social responsibility." This only happens when it comes from your people.

Chapter 1

Implementation — Traditional Approaches

Companies employ a number of traditional approaches to implementing socially responsible programs, supports, and benefits in the workplace. The most basic and foundational efforts involve complying with labor and employment laws regarding issues such as healthy and safe workplaces, fair wages and working hours, prohibitions on forced labor and child labor, non-discrimination, and worker rights to freedom of association and collective bargaining. Most commercial enterprises worldwide are legally obligated to comply with some form of regulatory framework mandating safe, fair, and humane working conditions. And yet, violations still occur, often with tragic results. A genuine and comprehensive commitment to and compliance with core labor principles should be a baseline requirement of all socially responsible business operations.

Another form of social responsibility in the workplace involves corporate culture and governance. Instruments that explicitly articulate and embed key values and principles in the organization's purpose and vision, then translate that purpose and vision into specific practices to support and benefit jobholders, lay the groundwork for significant positive impacts for the workforce and the organization. Many companies draft one or more such policy instruments to set out guiding values and principles, perhaps a Code of Business Principles, Charter of Sustainability, Statement of Responsibility, or Policy Commitment to Human Rights. Values statements may include such things as working with integrity and for the long term, fostering safe, healthy, diverse, and fair work environments, treating jobholders and all stakeholders with dignity, honesty, and respect, valuing jobholders for who they are and what they bring to the organization, or supporting jobholders to achieve their full potential. These instruments often go further to articulate the intended means of transforming these values into desired outcomes for the workforce and other stakeholders, e.g. reporting guidelines for transparency and accountability, confidential and effective grievance mechanisms and dispute resolution procedures, diverse and independent board and management, or policies on salient issues such as non-discrimination, ethical leadership, whistleblower protections, executive compensation,

energy goals and carbon footprints, or prohibitions on workplace harassment or bullying. The form of such corporate statements varies widely, but the substance is an organization's best opportunity to distinguish who they are, articulate where they are going, and integrate key values and principles into each jobholder by enlisting every member of the organization in the shared effort of doing good and doing good business.

Aspirational purpose and vision statements may be broken down further into specific measures to be implemented within the workplace. This is where true social responsibility to jobholders can emerge. Companies may adopt thoughtful policies regarding popular benefits including healthcare, paid time off, family leave, and remote work or flex time. They may implement targeted supports for the workforce including carpooling, recycling, fleet autos or bicycles, or health and wellness programs. Learning and training opportunities are important to support personal and professional development in the workforce, and also to promote and foster organizational values such as diversity, integrity, and mutual respect. Activities and events provide opportunities for jobholders throughout the organization to relax, socialize, and recreate together. Such events are essential to individual and organizational well-being because they connect leadership with all jobholders, and enable everyone's contributions to be validated and appreciated. They also reaffirm corporate values, principles, and culture, boost morale and strengthen workplace social bonds, and promote greater creativity, engagement, and teamwork.

One classic and widely used approach to social responsibility in the workplace relates to business philanthropy. Many cultures have a long history of wealthy individuals, families, and business entities creating foundations to share the wealth for the benefit of their people and communities. Some of today's most prevalent socially responsible practices aimed at the workforce include local grant-making programs administered by local jobholders, initiatives matching jobholders' own philanthropy with corporate funds, and paid time off for volunteering.

Organizations may also choose to focus on preserving or enhancing the communities and/or environments in which the business operates and their jobholders reside to manifest a socially responsible obligation to their workforce. This could include providing services or infrastructure such as schools, daycare, local water or energy projects, hospitals or clinics, or workforce housing. It may involve environmental protections and investments including large

scale species protection or reclamation projects, or smaller scale efforts such as gardening, litter pickup, or beautification. Some companies open their educational opportunities to the whole community for vocational training or skills development, or they offer scholarships for education elsewhere to jobholders, their families, or other locals. One positive aspect of this approach is that it implies and requires a long-term view and commitment to the sustainability and well-being of entire communities and their residents.

Chapter 2

Innovations — Fostering Well-Being and Connection

> Today, I vow to regard my co-workers serenely, with
> Loving-kindness and without judgment.
> This one, who appears not to bathe and has a pungent odor,
> That one, who leads the e-mail clique trash-talking the rest of us,
> Are merely creatures caught in dukkha, or suffering.
> May they one day be made whole and not so messed up,
> Or at least be transferred to another department.
>   —Jenny Allen, "At the Workplace"

Thoughtfully developed corporate governance, structures, and programs can help instill and integrate social responsibility into organizations and their jobholders. Relational interventions within the workforce can be a powerful tool to swiftly and effectively prime jobholders and organizations for a shift in values and culture to a more human-centered workplace.

The Science chapter above outlined research in human biology and organizations that supports the principle of social responsibility in the workplace. These contemporary findings offer significant potential benefits to organizations and their people. Some businesses have begun to introduce and implement creative science-backed programs to promote personal well-being and social connection in the workplace. While humans come into the world wired for motivation and self-control, we often don't exercise those abilities skillfully. Training can help jobholders tackle challenges with skills drawn and honed from the latest science and practice. Measures may be short classes or workshops to introduce tools and resources promoting self-care, wellness, or connection. Other measures target particular interests or activities. And some interventions, particularly when the goal is a lasting shift toward positive mental/emotional traits, involve longer term study and practice.

Short classes or workshops to learn about interventions that foster well-being and connection may be offered to the workforce regularly or on occasion. Following are several

programs that have been shown to benefit jobholders individually, as well as the workplace and organization.

Gratitude Practice

Research in neurophysiology and endocrinology shows that practicing gratitude boosts the connection-promoting hormones dopamine and serotonin, priming participants to be more open, social, and joyful.[124] Gratitude practices compel a focus on the positive aspects of life and create a positive feedback loop in relationships. It's not necessary to identify anything concrete for which one is grateful; benefits arise from searching for things to be grateful for and being open to the possibility of finding them.

Labelling Negative Feelings Aloud

Neuroimaging demonstrates that cognitively acknowledging our emotions aloud reduces their impact, facilitating self-regulation.[125] It shifts neural processing from emotionally reactive brain structures and the limbic system (command center for the fight/flight/freeze response) to the prefrontal cortex for analysis and consideration. When we switch from feeling through emotions to thinking through them, we decrease our emotional reactivity. It's not a magic on/off switch, but sending blood to activate the thinking parts of the brain means there is less blood available for the emotionally reactive structures. It doesn't involve suppressing emotions, which doesn't work and can backfire, but actively trying to overwrite emotions that may feel overwhelming. An even more cognitively demanding variation is to visualize emotions using symbols rather than words.

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[124] Zahn, 282.
[125] Lieberman, 426.

Make a Decision

This workshop has huge implications for workplace situations when a decision is required but people struggle to make it, perhaps because they don't feel safe enough to take the risk. It includes setting an intention and creating goals, then making the best decision and trying to implement it. Simply making a decision substantially reduces worry and anxiety, steers away from negative impulses and routines, and evades rumination.[126] Deciding changes one's perception of the world and boosts pleasure, which helps sustain through most struggles. The goal is learning to make a "good enough" decision because good enough is almost always good enough. To promote psychological safety, managers need to recognize and encourage this as well. Speculating about the future, overanalyzing, or trying to make the perfect decision may overwhelm the brain with emotions and lack of control. No one produces their best work under such circumstances. Simply making a decision and taking action to achieve it feels better than when good things happen by chance. We don't just choose things we like, but we also like the things we choose.

Heroic Imagination Project

Psychologist and Stanford University professor emeritus Dr. Phil Zimbardo began his career trying to understand what leads seemingly ordinary people to behave in shockingly immoral, even evil, ways. He is well known for the 1971 Stanford Prison Experiment.[127] In recent decades, Dr. Zimbardo has shifted his focus to understanding the circumstances under which seemingly ordinary people choose to commit heroic acts. The nonprofit Heroic Imagination Project was created to promote heroism in everyday life.[128] They offer workshops and short courses to train people of all ages in the knowledge, skills, and strategies necessary to step up, not be a bystander, and act with wise and effective heroism when confronted with a challenging situation.

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[126] Iyengar, 148.

[127] "Stanford Prison Experiment," Social Psychology Network, accessed August 9, 2019, https://www.prisonexp.org/.

[128] "Train Everyday Heroes," Heroic Imagination Project, accessed August 9, 2019, https://www.heroicimagination.org/.

Longer term programs have also been developed and applied, some in subject or culture specific contexts or locations that may make them less well known and/or available in other parts of the world. Examples include:

Humor in the Workplace

On average infants laugh spontaneously over 400 times per day. Adults over age 35 average only 15 laughs per day. Humor is an immensely powerful but largely neglected tool for enhancing social connection. It also tends to be very popular in the workplace. Dwight D. Eisenhower said, "A sense of humor is part of the art of leadership, of getting along with people, of getting things done." Laughter is humanizing and puts people at ease. It encourages people to relax, make new connections, and play around with different ideas and novel perspectives, facilitating greater creativity and innovation. Humor in the workplace can build trust, boost morale, and increase productivity. A large body of research shows that with laughter, whether genuine or forced, people can experience increases in optimism, sense of agency, and connection to social groups.

Art in the Workplace

Art springs from a universal desire to communicate and connect with others. The research is still developing but studies suggest that making art and music in the workplace can reduce blood pressure, decrease stress, improve communication, encourage thoughtful observation and creativity, help process emotions, and enhance focus, memory, positive outlook, and performance.[129] In addition to personal and social benefits, workplace-based art programs can transform the work environment into a warm, open, welcoming and inspiring space. Art in the workplace programs may include studio art, gardening and landscaping, an inhouse gallery, workplace music system, or live performances inside or outside the workplace.

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[129] Stuckey, 261.

Biodanza

Developed in the 1960s in South and Central America, Biodanza has spread to more than 50 countries.[130] It builds on proven principles that physical engagement and synchrony in movement can enhance personal wellbeing and social connection. Classes include singing, music, movement, and group encounters designed to help connect with self, others, and nature, and express related emotions. Goals of the program include promoting self-esteem and joy in life, and deepening self-awareness by developing a holistic link between the self and emotions.

Shinrin yoku

Shinrin yoku originated in Japan in the 1980s and is known colloquially outside Japan as "forest bathing." It is based on the belief that human health, particularly mental and emotional health, can be significantly enhanced through contact with and reconnection to the natural world.[131] Japanese residents can obtain a medical prescription for forest bathing sessions with a trained provider. The practice is growing and is now available throughout the world. The basic premise is that calming and restorative benefits may be gained by simply walking through a natural area in a relaxed and contemplative manner. Research primarily from Japan and South Korea affirms "health benefits of spending time under the canopy of a living forest."[132]

More comprehensive relational interventions involve longer training, important for shifting positive states to more stable and long-lasting traits. One highly promising such intervention is Compassion Cultivation Training (CCT), explored more fully below as a template for fostering well-being and connection, and thereby social responsibility, in the workplace.[133]

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[130] "Poetry of the Encounter," International Biocentric Foundation, accessed August 9, 2019, https://www.biodanza.org/en/.

[131] "Shinrin-yoku," Association of Nature & Forest Therapy Guides & Programs, accessed August 9, 2019, http://www.shinrin-yoku.org/.

[132] "Shinrin-yoku," Association of Nature & Forest Therapy Guides & Programs, accessed August 9, 2019, http://www.shinrin-yoku.org/shinrin-yoku.html.

[133] The author is a certified teacher of Compassion Cultivation Training.

Compassion Cultivation Training (CCT)

> Have compassion for everyone you meet,
> even if they don't want it. What seems conceit,
> bad manners, or cynicism is always a sign
> of things no ears have heard, no eyes have seen.
> You do not know what wars are going on
> down there where the spirit meets the bone.
>   —Miller Williams, "Compassion"

CCT was developed by neuroscientists, clinical psychologists, and contemplative scholars affiliated with the Stanford University School of Medicine's Center for Compassion and Altruism Research and Education (CCARE).[134] CCARE was founded by Dr. James Doty, a clinical professor of neurosurgery at the medical school. His Holiness the Dalai Lama learned of Dr. Doty's early work at CCARE and actively supported development of the CCT course because of his commitment to encouraging and spreading universal secular ethics and human values including compassion. Thupten Jinpa, academic, professor at McGill University in Montreal, Canada, and His Holiness's English language translator of over thirty years, was one of CCT's principal creators.

CCT is a secular eight week program that explores compassion as a value, a process, and an active practice. Each class includes the latest science, plus small group interactions and exercises. Formal and informal meditations are integral components of the program although no previous meditation experience is necessary. Key aspects of compassion-related traits are integrated into the course, including attention, empathy, emotional regulation, forgiveness, gratitude, agency, resilience, and common humanity. Research shows that all of these traits and capacities represent elements and catalysts of well-being, connection, human flourishing, and authentic social responsibility, and all have important implications and applications in the workplace. The program was designed and created for anyone wishing to cultivate compassion, personally and/or professionally, for themselves and for others.

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[134] "About Compassion Cultivation Training (CCT)," Stanford Medicine, The Center for Compassion and Altruism Research and Education, accessed August 12, 2019, http://ccare.stanford.edu/education/about-compassion-cultivation-training-cct/.

CCT begins with instruction and practice in settling the mind, grounded in mindfulness. It then moves to compassion for a loved one as that is usually the easiest form of compassion for people to understand and access. Early classes consider concepts discussed in the Science chapter above, i.e. that our thoughts largely create our reality and our struggles, and we are pre-wired with a strong innate capacity to care about and respond to the suffering of those closest to us. From there, the program moves through increasingly challenging aspects of compassion cultivation, including compassion for self, strangers, difficult people, and ultimately all humanity and all beings. Each stage has a distinct objective and explores that objective through various elements and qualities inherent in compassion.

Significant early course time is spent on self-compassion and self-lovingkindness, both because they are foundational, and also because students often find them difficult to accept and embrace when inaccurately conflated with selfishness, self-pity, or self-indulgence. The work of Kristin Neff at the Univ. of Texas at Austin is particularly relevant and illuminating. Neff has identified three core elements self-compassion:

1. Mindfulness: Learning to notice, approach, and manage our thoughts, not turn away, but also not over-identify. Our thoughts are just our thoughts.

2. Common humanity: We make mistakes just like everyone else in the world, and we all have faults and imperfections. We are not alone and isolated, but connected.

3. Self loving-kindness: Relating to ourselves like a friend or mentor rather than with harshness and criticism. Kindly acknowledging that we're all doing the best we can. Neff has developed an extensive website on her self-compassion findings including self-compassion scales for researchers and interested parties to evaluate current status and where improvements could be made.[135]

The course explores and experiences self-compassion in contrast to "tough love," or the idea that we should ignore our pain and struggles or be hard on ourselves. The effectiveness of tough love is not supported by research. On the contrary, a large body of evidence illustrates that self-criticism and negative self-judgment tend to lead to self-loathing and self-directed hostility.

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[135] Kristin Neff, "Self-Compassion," accessed August 12, 2019, https://self-compassion.org/.

Self-compassion involves embracing humans' natural and pre-wired aspirations for connection and happiness instead, including gratitude for all you have and where you are, and also those who helped make it possible.

Some of Neff's most compelling research contrasts self-compassion with self-esteem. The last several decades have seen a push to develop better self-esteem, especially in children. However, many of the anticipated positive outcomes have not materialized. When considered more closely, significant downsides and pitfalls have been found to be associated with self-esteem. Self-esteem is values-laden and tends to make self-worth conditional on achievement, which inevitably involves comparisons to others. It creates a moral dilemma because boosting self-esteem often requires putting down others. In pursuit of high self-esteem, self-worth becomes dependent on external criteria largely judged by others. It's difficult to attain, but even more difficult to maintain in the face of setbacks or disappointment. It's believed the self-esteem movement has been a significant contributor to an increase in narcissistic disorders in recent decades.

Self-compassion shifts perspective. It begins by acknowledging that everyone disappoints, feels inadequate, or fails sometimes; we all share that in common. It promotes a more caring capacity of dealing with both failures and successes with acceptance, understanding, and kindness. It ultimately improves coping, courage, and interpersonal connections. Research indicates that relating to your own difficult situation with connection and compassion, rather than tough love or even well intended ego-boosting positivity, creates a deep reservoir of fortitude to withstand disappointment, resilience to recover quickly, and increased motivation to re-engage and try harder.[136]

Purpose and meaning are also considered in the context of self-compassion and self-loving kindness. Research demonstrates the importance of meaningful work to jobholder performance.[137] Extrinsic rewards including money, power, and prestige, are generally perceived to be closely tied to happiness and purpose, and may initially feel extremely motivating. However, when it comes to motivating people to bring their very best efforts to any task or

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[136] Breines, 1140.
[137] Van Wingerden,
https://journals.plos.org/plosone/article?id=10.1371/journal.pone.0197599.

problem, extrinsic outcomes pale in comparison to the intrinsic motivation and outcomes of what is perceived to be a full, meaningful, and well-lived life. Purpose and meaning are subjective and deeply personal. Self-compassion has been highly useful for insight and exploration into who you want to be, where you want to go, and what you wish to do with your life. Rather than wait for an epiphany, however, the course also practices cultivating purpose and meaning in whatever you are doing in the moment.

Happiness is also examined at this point in the course because of its close ties to purpose and meaning. Students explore the scientifically supported idea that the harder one seeks happiness, the more it tends to slip away.[138] It is believed that intense focus on happiness leads to rumination about future happiness to come, as well as a persistent awareness of current unhappy aspects of life. A focus on pursuing happiness can mean never actually resting in present happiness. One practice that has been shown to consistently promote happiness is shifting focus away from the self and one's own life and placing it on another. Seeking happiness for someone else increases your own happiness.

In the course of everyday difficulties and stresses, happiness fades much more readily than meaning. Self-compassion helps to process and manage personal and professional struggles when they arise. Successfully working through and coping with such struggles increases meaning and resilience. Self-disparagement is counter-productive and has been repeatedly shown to undermine well-being and motivation; it can never support a life well-lived. A basic premise of the CCT course is that gaining knowledge and skill with one's own needs and struggles makes it far easier to recognize, understand, and compassionately respond to the circumstances and needs of others.

Research has revealed common fears of expressing and/or receiving compassion which are explored in the course.[139] Fears may be of receiving compassion from others, of extending compassion to others, or of self-compassion. Exact causes of these fears have not been established, but it is clear that they often arise quickly and easily, and they tend to fall into several primary categories including subconscious bias or suspicion, fears of being perceived as

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[138] Mauss, 813.
[139] Gilbert, 239.

weak or too kind, fears of making others dependent, and fears of being taken advantage of. Tools are explored and practiced to alleviate or move beyond these common fears.

Once a basic familiarity and facility with compassion and related traits is established, the course begins to broaden prospective targets of compassion, first with neutral persons or strangers (someone you may recognize but don't really know or have any positive or negative feelings toward), then moving to "difficult persons." Robust relational concepts are revisited including the proposition that how we perceive or relate to someone influences and affects how we treat them, which then influences and affects how they respond; recognizing the lack of control over anyone else's choices and actions, while acknowledging and being accountable for our own; and the idea that we are all more alike than unalike.[140] Compassion has implications for both connecting with others we might not initially or obviously connect with, but also the strength to depersonalize and establish boundaries. Particularly in the context of difficult people, compassion has been shown to be a valuable tool to address others' offensive or harmful behaviors, while avoiding excessive emotional reactivity, and still managing to treat the other person with civility. Compassion is not about blurring lines between friend and foe or condoning terrible acts. It merely helps to provide insights and resources to oppose an action, while still respecting the person committing the act. It teaches the ability to see and care about struggles and difficulties, even of our foes.

One of the most vital concepts inherent to compassion cultivation, with far-reaching implications for the workplace or any community, is common humanity. CCT engages with this concept by exploring, fostering, and practicing two propositions:

1) Deep recognition of the *basic sameness* between self and others in our shared aspirations for happiness and our wishes to overcome suffering

2) Deep recognition of the *profound interconnectedness* of self and others in our struggle to survive and flourish

Embracing common humanity can trigger an authentic sense of empathic, affectionate concern for any/all others, and an active appreciation of the contributions of others to our lives. As the CCT course structure illustrates, it's easy to feel this caring, connection, and concern for those

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[140] Paraphrased from the poem "Human Family" by Maya Angelou.

closest to us. Practice is required to develop and master the ability to identify and feel it with those not so close, those who are different, strangers, even foes. CCT course shorthand for this aspirational conviction is "Just like me."

Our shared humanity is an elemental theme in all art, literature, and music, as well as the world's religious/spiritual traditions. A particularly touching and illustrative example of this concept comes from an early 1950s essay by Chilean poet and Nobel laureate Pablo Neruda entitled, "Childhood and Poetry."[141] Neruda wrote about an encounter in his backyard when he was very small. His yard was encircled by a fence, and one day he found a hole in the fence. He writes about the incident and what it taught him about common humanity:

> I looked through the hole and saw a landscape like that behind our house, uncared for, and wild. I moved back a few steps, because I sensed vaguely that something was about to happen. All of a sudden a hand appeared — a tiny hand of a boy about my own age. By the time I came close again, the hand was gone, and in its place there was a marvelous white sheep.
> The sheep's wool was faded. Its wheels had escaped. All of this only made it more authentic. I had never seen such a wonderful sheep. I looked back through the hole, but the boy had disappeared. I went into the house and brought out a treasure of my own: a pinecone, opened, full of odor and resin, which I adored. I set it down in the same spot and went off with the sheep...
> To feel the intimacy of brothers is a marvelous thing in life. To feel the love of people whom we love is a fire that feeds our life. But to feel the affection that comes from those whom we do not know, from those unknown to us, who are watching over our sleep and solitude, over our dangers and our weaknesses — that is something still greater and more beautiful because it widens out the boundaries of our being, and unites all living things… That exchange brought home to me for the first time a precious idea: that all of humanity is somehow together...

fMRIs consistently show that connection with and empathy for those we perceive as friends triggers thought processes that equate neurologically to the self.[142] Connection to and empathy for strangers, however, takes an alternative path. It requires mental effort. We have to think our way through to caring and connecting.

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[141] Pablo Neruda, "The Lamb and the Pinecone," *Neruda and Vallejo* (Boston: Beacon Press, 1993), 156.

[142] Meyer, 452-453.

These findings inform some very disturbing studies conducted on dehumanization. Because we're so strongly wired to connect, our brains are also able to perform some neat tricks when there is a conscious or unconscious desire to *not* feel someone is "just like me." This could be triggered by implicit bias, stereotypes, anxiety, fear, or some/all of these. It was found that people tend to evaluate and make initial judgments about others based on perceived warmth (are they relatable, do I view them favorably) and competence (are they high or low status, do they have power or not).[143] Researchers then evaluated results of these initial appraisals and found that people could react with such disgust for the low warmth-low competence group, which included drug abusers and the homeless, that their brains did not even register them initially as human beings.[144] Their brains instead processed them like unappealing physical objects. Our neurobiology and unconscious thoughts are quick to dehumanize those we deem unsympathetic and unlike us.

A bright note in this research is that rehumanization can also happen quickly and easily, likely due to our pre-wiring for social connection. When people are primed or reminded to appreciate the mind and inherent humanity of another person initially perceived as different or threatening, we cease to objectify the other and instead view and process them as human.[145] We even tend to jump quickly to "just like me." Broadening our circle of compassion can facilitate moving beyond feared differences or perceived limitations of others, to reminders that even strangers and those we initially find difficult or threatening are just like us in many fundamental ways.

As explored in the Science chapter, we have a tendency to think tribally. Compassion provides a tool for cognitive reframing and subsequent expansion of our tribal boundaries to encompass not just ourselves and those closest to us, but also strangers, difficult people, and ultimately all humanity and all beings. Studies on altruism suggests it is a natural but highly developed and visceral belief in and manifestation of connection to all humanity, even at the expense of self. This implicit acceptance of and connection to anyone/everyone can be of great

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[143] Cuddy, 30-31.
[144] Harris, 50.
[145] Fiske, 33.

value in preventing distress and burnout, and responding to everyday needs and demands in our personal lives as well as professional settings.

One of compassion's greatest strengths appears to lie in its final step, the willingness and ability to *act* to relieve suffering. It is often difficult for individuals to determine how to respond when faced with suffering, particularly if circumstances feel unalterable or hopeless, or the target of concern is far away. Feeling helpless or wondering what to do can be frustrating or paralyzing, but even the best-intended actions may not be useful to or appreciated by the recipient. Agency, or the ability to take action to influence a situation, is integral to the final step of cultivating compassion. Students practice thoughtfully considering a broad range of options for compassionate and supportive acts, rather than acting impulsively and potentially magnifying the harm. Agency, or personal autonomy, is a valuable and valued personal trait and taps directly into concepts such as independence, individualism, resilience, even creativity. The willingness and ability to act can protect against learned helplessness and contribute to one's own psychological safety and security.

CCT offers multiple entries to accessing compassion and related concepts. Students are able to explore, try on, and choose what makes the most sense and works best for them, whether it's science, interactions with other students, formal sitting meditation, developing new habits through informal meditation, or even the universal languages of art, literature, and poetry. Students end the course with knowledge, practice, resources, and plenty of tools in their life skills toolbox. The training can be even more powerful and unifying when the workforce explores and practices together as a community. Caring and compassion are learned practices that can build and sustain healthy jobholders, teams, and workplaces.

Ongoing research demonstrates that CCT helps to increase mindfulness as well as kindness and compassion for self and others, reduce stress, anxiety and depression, develop deeper levels of composure, resilience and creativity, calm the mind and emotions, direct thoughts more positively, sharpen the ability to focus and pay attention, and access a variety of self-care skills and techniques including self-compassion and connection with others.[146] Evidence

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[146] "Benefits: Compassion in Business and Corporate Environments," accessed August 12, 2019, Stanford Medicine, The Center for Compassion and Altruism Research and Education, http://ccare.stanford.edu/education/about-compassion-cultivation-training-cct/benefits/.

of CCT benefits in the workplace environment is mounting and considerable. It includes increased ability to handle stressful home and work situations, better engagement and collaboration, enhanced insight, brainstorming and innovation, better strategic thinking, and increased job satisfaction coupled with decreased job overwhelm/burnout.[147]

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[147] Worline, Part 1, Ch. 2.

Chapter 3

Insights — Lessons from Pioneers

Commercial enterprises of all sorts and sizes are increasingly making the strategic decision to cultivate personal development and prosocial behavior in the workplace to benefit their people, as well as to inspire and drive social responsibility. Exploring ideas, situations encountered, and lessons learned by these pioneering business leaders illustrates how such efforts can inform and guide leadership, enhance jobholder satisfaction, and even increase profitability.

Juniper Networks

Juniper Networks is a multinational U.S. based company founded in 1996. They manufacture networking hardware and operate large cloud-based computing networks.

Juniper's first CEO Scott Kriens wanted to explore ways to support their workforce as well as their corporate ambitions.[148] Initially he set out to learn all he could about leadership and what makes a good leader. His research led him to the conclusion that people don't follow leaders because of what they say, but because of who they are. That authenticity is required to build trust. Building trust into business culture and relationships means individuals, teams, and the entire organization learn and iterate faster because they're not afraid to share doubts, fears, mistakes, failures, and lessons learned. Kriens firmly believes that "Trust has economic value." Cultivating trust, and the intrinsically related capacities from which it grows such as authenticity, empathy, care, and compassion, is vital. Concrete, tangible, and substantively positive things manifest when these traits are carried out into the world through jobholders and the organization.

With respect to balancing an organization's responsibilities to owners/shareholders with its social responsibilities, Kriens well knows that it's impossible for a large publicly held

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[148] Kriens, "When Research Meets the World," http://ccare.stanford.edu/videos/compassion-and-business-conference-2013-panel-4-of-4/.

corporation to ignore owners/shareholder needs. However, he also believes the primary reason a company exists must be for the success of the jobholders themselves. It would be a false pretense to believe jobholders care more about customers than their families or that they come to work for any other reason than to benefit those they care about most. If the organization commits to making its jobholders successful as its highest priority, that builds an authentic trust and understanding because it acknowledges what's really going on. Jobholders will then ask, "If you're going to do that for me, how can I do my part to help make this organization successful?" The answer should be to go home and be a better member of your family and community, a better parent and spouse and citizen, knowing that your training and development from work can help this happen. This makes the company more successful for the jobholders, and the jobholders will ultimately make the company more successful for the shareholders.

Juniper Networks has been rated one of the 50 happiest companies in America by CareerBliss.

Borders Group/Borders Group Foundation

Borders Group was a large international retailer of books and music founded in 1971. At one time Borders had over 500 stores and 20,000 employees.

In 1996, Borders employees established the Borders Group Foundation to support fellow employees facing difficult life circumstances such as medical emergencies, divorce, job loss, or natural disasters.[149] The employees wanted to engage compassionately with fellow jobholders and chose to create their own internal foundation. Every Borders jobholder, including upper management, had the opportunity to make small monthly contributions to the foundation, and the foundation provided grants to struggling employees. They tracked employees who received the grants as well as those who contributed time or money. When researchers analyzed data related to how jobholders felt about their employer, they found no relationship between loyalty to Borders and grants available through the foundation or actually received. However, they found a

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[149] Grant, "Compassion & The Bottom Line," http://ccare.stanford.edu/videos/compassion-and-business-conference-2013-2/.

statistically significant increase in loyalty among employees that had contributed to the foundation. This opportunity to express compassion, not just receive it, helped strengthen bonds between jobholders and their employer. Jobholders appreciated the opportunity to be compassionate and were grateful to Borders for providing an outlet to shape and express their identities as caring, giving, and compassionate. They perceived Borders as a company with a heart, caring not just about external suffering, but also the struggles of its workforce.

Unfortunately, Borders sold its stores and went out of business in 2011, but the foundation still exists. According to a local newspaper (Nathan Bomey, "Borders Found finds a new purpose after bookseller's demise: the whole country," *The Ann Arbor News*, 2/13/12, accessed July 7, 2019), the foundation reorganized, changed its name to Book Industry Charitable Foundation, and continued operating with a broadened mission to "improve the lives of book industry employees throughout the country."

Cisco Systems, Inc.

Cisco Systems is a multinational company headquartered in San Jose, California. Their 74,000 employees design, manufacture, and sell products and services for the communications and information technology industry.

Cisco has a significant global presence and a comprehensive CSR strategy with programs targeting all stakeholders.[150] Former CEO John Chambers wanted to integrate the values of compassion and caring throughout the company.[151] When he chose to focus on the workforce, he instituted a notification-of-harm policy to inform him within 48 hours when any employee or immediate family member became ill or passed away. Once he learned about the situation, he personally wrote a letter to the employee offering concern and extending support. In making himself available to his employees, sharing in their struggles, and offering to help, Chambers reinforced Cisco's commitment to them and acknowledged their individual value to the organization. Chambers' model of direct and active compassion was visible throughout the

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[150] "Corporate Social Responsibility," *Cisco Systems*, accessed August 13, 2019, https://www.cisco.com/c/en/us/about/csr.html.

[151] Keltner, *Compassionate Instinct*, 136.

company and encouraged all employees to think, feel, and act similarly inside and outside the workplace.

In 2019, Cisco was number 6 on Fortune's list of "100 Best Companies to Work For."

Google

Founded in 1998, Google is one of the largest internet companies in the world. According to their corporate statement on about.google, "Our mission is to organize the world's information and make it universally accessible and useful."

Former Google employee Chade-Meng Tan was first hired as an engineer. In 2003 he moved into a new position as Google's "Jolly Good Fellow." He wrote his own job description: "Enlighten minds. Open hearts. Create world peace."[152] Meng aspires to create the conditions for world peace in his lifetime. He knows he'll likely fail, but he intends to fail trying.

Meng has concluded that three interrelated qualities must be scaled to achieve world peace: inner peace, inner happiness, and compassion. He believes compassion will be the trigger for world peace, but compassion is not sustainable unless it rests on a foundation of inner happiness, and inner happiness is not sustainable unless it's built on inner peace. To do this, Meng believes talking about "goodness" is too easily discounted. For people to pay attention, goodness qualities must be aligned with success and discussed in the context of profits and bottom lines. To do that, a curriculum for emotional intelligence is required which everyone recognizes as good for careers, companies, and bottom lines. Emotional intelligence training can also promote goodness. "The end."

Meng also serves as co-chair of One Billion Acts of Peace, which has been nominated for the Nobel Peace Prize eight times.[153]

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[152] Tan, "When Research Meets the World," http://ccare.stanford.edu/videos/compassion-and-business-conference-2013-panel-4-of-4/.

[153] "Show the world what your Act of Peace can do," Billion Acts, accessed August 9, 2019, https://www.billionacts.org/.

Joie de Vivre Hospitality

With 22 hotels and over 2000 employees, Joie de Vivre is the second largest operator of boutique hotels in the U.S.

Joie de Vivre was founded in 1987 by Chip Conley. As Conley guided his company through successes and struggles, his own perspective shifted from competition, to compunction, to compassion.[154] During the boom times, Conley increasingly noticed his employees leaving for home after a day in the workplace with what he termed "an emotional fistprint." He became concerned with the emotional toll the workplace took on their jobholders. When U.S. business experienced a significant downturn in the late 1990s, Conley turned to Viktor Frankl and Abraham Maslow for guidance to help understand and define the human needs of his employees, managers, and investors. Paring Maslow's pyramid down to its most basic, he determined that in the context of their jobholders, basic survival demanded Money, success meant Recognition, and at the top of the pyramid, transformation required Meaning. Meaning becomes especially important in tough times. They adopted compassion as a business model and the outcome was greater trust in the workplace. To illustrate their results, he used the metaphor of a physics phenomenon from rowing called "swing." When everyone is working hard and pulling together in synchrony to crew a boat, the boat starts to rise up out of the water, and because there's less friction, as the boat rises it goes faster. Conley believes firmly that compassion as a business model creates success, and even beyond that, transformation.

Appletree Answers

Appletree Answers operated a large-scale customer service call center in Delaware. All day long, their jobholders spoke and dealt personally with people calling in with problems and complaints. The callers were miserable and Appletree jobholders were too. At one point, the company's turnover rate reached 97%.

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[154] Conley, "When Research Meets the World," http://ccare.stanford.edu/videos/compassion-and-business-conference-2013-panel-4-of-4/.

The CEO chose to focus directly on workforce well-being. They created an internal program called "Dream On," modeled after the Make-A-Wish Foundation.[155] Every jobholder was encouraged to make a wish or share a dream. The group then got together and pooled their knowledge, ideas, experiences, and contacts, and attempted to make that wish or dream happen.

Within six months after Dream On was created, turnover dropped to 33%. Appletree jobholders were grateful for the opportunity to engage with co-workers as human beings. When their organization created a mechanism for expressing that caring and compassion, it didn't just benefit those on the receiving end. Jobholders were eager to find more mechanisms to enable them to manifest their compassionate tendencies, and Appletree discovered firsthand that people can benefit significantly from being active participants in giving, helping, and contributing.

Seagate Technology

Founded in 1979, Seagate Technology is an American data storage company with over 40,000 employees in facilities across the globe. It is one of the few remaining large scale integrated manufacturing companies in the world.

According to former CEO Steve Luczo, Seagate leadership strives to "innovate for the greater good," and consciously incorporates compassion into their corporate culture, both internally and externally.[156] They recognize their very large and global footprint and scope of impact, and therefore take their connections to local communities seriously. When disasters strike, Seagate mounts a huge response with details largely delegated to the local workforce. They have always maintained a strong focus on human rights and ethical business practices, also labor rights including workplace safety and related issues.

When considering the bottom line of socially responsible action, Seagate's leadership learned that it's relatively easy to attach numbers to the costs of what could go wrong, but much harder to attach numbers to the likelihood of things going right and the potential benefits if they

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[155] Grant, "Compassion & The Bottom Line," http://ccare.stanford.edu/videos/compassion-and-business-conference-2013-2/.
[156] Luczo, "When Research Meets the World," http://ccare.stanford.edu/videos/compassion-and-business-conference-2013-panel-4-of-4/.

do. As a consequence, they believe compassion can get mis-priced for various reasons: uncertain costs of inaction, lack of transparency around true costs of suffering versus benefits of alleviating suffering, failure to address root causes of inefficient flow of capital and resources, and our very human tendency to avoid or look away from suffering.

Luczo also recognizes the need for market-based approaches in the event fidelity to socially responsible corporate cultures leads to higher costs, decreased sales, and resultant drops in share price. Faced with a similar situation, Seagate took advantage of the reduced share price and engaged in a significant stock buyback, greatly bolstering internal ownership and corresponding influence over decision-making.

JSR Micro

JSR Micro is a private manufacturer of semiconductor materials based in Sunnyvale, California. There are approximately 200 employees in the U.S. division. Their corporate parent, JSR Corporation, is headquartered in Japan. For former CEO Eric Johnson, JSR Micro's guiding principles have always been conducting business ethically, being a good corporate citizen, and maintaining a strong commitment to the vitality and well-being of their employees.[157]

The company is almost 30 years old and many jobholders have been there for a long time. Corporate leadership sees their culture as a key factor in their success and views their workforce like extended family. They want jobholders to feel "excited, inspired and energized in the work they do" and are committed to "nurture and sustain a positive, healthy and inspiring workplace."[158] JSR Micro's turnover rates are very low, especially for their industry. During the economic downturn in 2008, there were no layoffs. Instead, the organization responded by

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[157] Eric Johnson, "A Message from our President," *JSR Micro 2018 Corporate Social Responsibility Report*, accessed August 9, 2019, https://www.jsrmicro.com/sites/default/files/attachments/2018_csr_report.final_.web_.pdf.

[158] Eric Johnson, former CEO, in discussion with the author, July 30, 2019. Mr. Johnson and the author are personal friends.

coming together to stay in business while protecting jobs. It turned into one of their most profitable years on record.

Historically JSR Micro has focused the attention of everyone in the organization on product quality as a fundamental and cross-functional attribute of who they are and what they stand for. They have united under this goal, and results have been clearly measureable, historically exceeded targets, and continue to be strong.

At one point their focus on quality led to issues related to workplace safety. Efforts were again made to unite around who they are as an organization and articulate the principle that everyone was in this together and they needed to look out for each other. Safety became the first subject raised at every meeting, addressed in terms of care for co-workers, group safety, and learning opportunities. A system was set up to report concerns while still fostering collegiality, and provide training and mentoring for anyone struggling to balance safety with performance pressures. Management was responsive to every idea to improve workplace safety. It was important that jobholders understood their safety was crucial and the concerns weren't just talk. The temporary spike in safety issues has declined and remains low.

In 2016, JSR Micro implemented the Vitality Initiative, an executive level program focused on supporting and developing jobholders. Human Resources works with every employee to create a personal development and advancement plan, including career goals. These plans are reviewed annually. Individual and group learning and training opportunities are made available, including courses related to self-care, personal development, and fostering prosocial behaviors. Managers are trained in positive support and feedback, and opportunities are available for flex time, remote working, and group volunteering opportunities.

To better understand this culture shift from quality to safety to vitality, JSR Micro developed metrics to assess their organization and workforce. Every two years they conduct extensive employee surveys which inform next steps. They also do "employee pulse" surveys every six months to get a quick sense of how people are doing and feeling in the workplace. Specific questions about vitality are included in both instruments. They also introduced Fond, a software program for peer acknowledgement and appreciation. All jobholders are encouraged to use it and results are shared with management.

JSR Micro developed the Vitality Initiative within a close-knit, 200 person business unit. It wasn't easy, but they came together, worked hard, and did it. Now it helps support and sustain performance and employee satisfaction measures even during difficult times. Other divisions and locations within their parent company are interested in learning about the Vitality Initiative. Their next challenge is about scaling up, continuing to balance corporate growth and sustainability while embedding valued aspirations and practices, and leveraging their positive outcomes to date within even larger corporate entities in diverse cultures around the globe.

Conclusions

Throughout the world it is getting harder and more complicated to do good business. Sustained success is even more challenging. Success while doing good by being responsive and responsible to stakeholders, shareholders, and society is a very tall order. This thesis illustrates how laying the cornerstone of organizational social responsibility in the workplace through a commitment to fostering personal development and prosocial behavior among all jobholders can be powerful step towards that end.

Organizations have multiple stakeholders, but the workforce is an all too often overlooked and under-appreciated area of attention for social responsibility. The primary duty of business leadership is bringing out the best in others, yet for many companies, their workforce obligations do not extend much past basic regulatory compliance. Consequences of this neglect clearly show in lack of jobholder engagement worldwide.

Jobholders need to know they're important elements of something bigger, and not fungible or expendable. Companies need a dedicated and committed workforce that enthusiastically spurs success. The venerable ILO is actively advocating for a shift in the mission of commercial enterprise to focus on workforce interests and creation of a human-centered workplace. This requires more than a new structure or department or governance document. It involves galvanizing a shift in how people think, act, and interact.

Even once a decision is made to embrace social responsibility in the workplace, how to go about it remains a daunting prospect. The scope is vast and it can be difficult for organizations to know where to begin, what are the priorities, and how best to engage in a broad field with myriad issues and needs. As we have seen, organizations can choose from a variety of law, policy, and business norm constructs to articulate and guide a philosophy and culture of social responsibility based on their unique and inherent values, and on locations of incorporation and operations.

Findings in human biology and business administration provide instruction and inform efforts to cultivate the highest, healthiest, and best aspects of human nature and relationships.

Organizations can choose from a wide range of these science-backed measures to create and implement programs for the workforce. The more human we can be in all places and interactions, including our work environments, the better off we are as individuals, organizations, families, and communities.

The enterprise course toward social responsibility also should be informed by the workforce itself. Much like a company brand, a sincere and authentic social responsibility program must first be integrated into the organization. Social responsibility targeting the workforce belongs in every organization, but it also should look different in every organization. Your program should be unique to your people and your business. All jobholders should have opportunities for training in basic competencies, but how those competencies manifest within an organization will be idiosyncratic to their industries, leader personalities, and the ethos within the whole workforce. The workforce is vital in determining how best to express the organization's social responsibility efforts.

Organizations and the people within them cannot solve all of society's controversies and ills, but they can act within society to model alternatives to self-interest, anxiety, and tribalism. They can lead with sustainable ethics, thoughtfully claim their values, and declare who they are, what principles guide their people and their organization, and how they'll manifest social responsibility in their workplace, their communities, and the world. Companies can choose and cultivate attitudes based on connecting with and mentoring people rather than on management and ownership. Committing to, investing in, and cultivating the best interests of the company's greatest asset, its workforce, is good business. It satisfies responsibility to shareholders while also honoring the highest standards of business organization and integrity.

Several areas of further research are suggested by the findings in this paper. BHR is the newest social responsibility construct on the block so we must observe, question, and learn as it evolves and becomes more broadly implemented. Can some version of BHR fulfill the optimistic hopes of so many? Will its human rights perspective result in more authentic social responsibility programming? Boosting employee engagement across cultures worldwide will require investigating culture-specific interventions and applications for social responsibility programming. Substantive responses to the ILO's pursuit and promotion of more

human-centered workplaces bear watching, as do the latest developments in the science of human well-being and connection. Will Chade-Meng Tan achieve world peace?

Emphasizing and pursuing the development and well-being of the workforce is good for jobholders and society, as well as smart and effective business practice. The lessons offered by Scott Kriens of Juniper Networks mirror the insightful quote by Mary Parker Follett at the start of this thesis. To paraphrase the approach to business advocated by both: Jobholders will (and should) always care most about their families and primarily work to benefit them. The heart of jobholder success lies in being a better family member, community member, and citizen. The primary reason a company exists and its highest priority must be the development and success of their jobholders, and workplace training and development can make a significant contribution to this success. Acknowledging and accepting the reality of true jobholder motivation and success builds authentic trust and understanding between employers and jobholders. Once jobholders realize what their company is willing to do for them, they will reciprocate and do everything in their power to help make the organization successful for their own sake and the sake of their employer, and that ultimately leads to shareholder success. This organization and interweaving of human relationships is the key to all societal advancements.

Doing good while doing good business is aspirational and eminently possible. Experience and empirical research show that laying a cornerstone for organizational social responsibility in the workplace by actively fostering personal development and prosocial behavior among the workforce can increase competitive advantage and improve profits, enhance motivation, commitment, and engagement among jobholders, and promote significant societal benefits inside and outside an organization.

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