

# 国家责任竞争力(2009)

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在中国抓住绿色发展的低碳机遇

Seizing the low carbon opportunity for green development in China

WTO经济导刊  
CHINA WTO TRIBUNE

AccountAbility

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# 序一

当前，企业社会责任作为推动中国实现可持续发展重要路径的作用愈来愈显著，企业社会责任在中国的发展已经进入到一个新阶段。

中国各级政府高度重视企业社会责任和可持续发展。科学发展观战略为实现可持续发展指明了方向；一系列法律法规明确了企业履行社会责任的法律基础；各级政府和政府部门陆续发布了一系列有关社会责任的规定和办法，为企业履行社会责任创造更好的环境，引导和推动了企业履行社会责任，推进了企业向经济、社会和环境全面协调可持续发展的进程。这些构成了中国推动企业社会责任发展的独特宏观优势。

中国各类企业的社会责任实践不断丰富。国有企业作为国民经济的骨干力量，充分体现国家发展战略，努力做履行社会责任的表率；外资企业作为中国改革开放的直接受益者和中国经济的重要贡献者，把履行社会责任作为公司本地化发展不可分割的部分；民营企业作为中国经济中最具活力的组成部分，践行社会责任，迎接新一轮国际竞争。

企业社会责任得到中国社会各界的普遍关注。行业组织发挥引导作用；媒体发挥舆论监督作用；消费者成为推动企业履行社会责任的重要力量。

越来越丰富的企业社会责任实践推动了企业社会责任理论的发展。“国家责任竞争力”理念的提出，不仅使人们对企业社会责任发展意义的认识有了新的高度，更提出了未来国家竞争优势的重要形态，为中国经济的健康和可持续发展展现出一条责任路径。国家的责任竞争力不仅需要创新性的公共政策、具有创造力的企业，还需要一个积极参与的公民社会。这些因素及其有效结合将决定一个国家在全球资源的利用和经营，从而决定一个国家在全球市场中的经济地位和作用，决定一个国家在全球可持续发展中的角色。

经历了 30 多年的改革开放，中国所取得的巨大发展举世瞩目，中国成功实现了从计划经济到市场经济的重大转变。当前，在市场经济发展的过程中，中国仍然面临着重大考验，即如何实现发展经济与环境保护、改善民生结合，维护社会公正，促进社会和谐。发展市场经济，不仅要从小经济角度着手，还要充分考虑到社会和环境的可持续发展。

2009 年，面对国际金融危机和气候变化对世界经济、环境和社会带来的巨大冲击，中国加快转变经济发展方式刻不容缓。面对挑战，中国选择了低碳增长、绿色发展，力求以自身的可持续发展促进世界经济的健康复苏和可持续发展。

《WTO 经济导刊》与全球非盈利研究和咨询机构 AccountAbility 再次合作，出版《国家责任竞争力 (2009)》是一项非常有意义的工作。这本书汇集了众多专家、学者观点，从社会责任的视角出发，去理解、分析中国目前的竞争力——中国在推动经济复苏的同时，通过优化能源结构、推进产业升级、发展绿色经济、培育新的经济增长点，为经济可持续发展创造条件。毫无疑问，中国不仅具有实施低碳增长和绿色发展战略的决心，也同时具备了实现绿色发展的能力。

我希望这本书能成为更多企业家、机构团体进行决策时的有益参考，发挥出超越文字本身的价值。

原对外贸易经济合作部部长、中国外商投资企业协会会长  
石广生



# Foreword I

It is more and more obvious that corporate social responsibility (CSR) is an effective way to promote China's sustainable development at present, It has entered into a new stage in China.

The Chinese governments at all levels attach great importance to CSR and sustainable development. The Scientific Outlook on Development leads the valid direction for sustainable development while a suite of specific legislations clarify the fundamentals for implementing social responsibility. Moreover, related CSR regulations and measures issued by relevant governmental organizations and local governments have created a better environment, and therefore directed and promoted CSR performance, and pushed forward the process of sustainable development of enterprises in balance with economy, society and environment. All the factors constitute the unique macro edge in advancing CSR development in China.

Different types of Chinese enterprises have their specific responsibilities. State-owned enterprises as the backbone of national economy fully reflect the country's development strategy by striving to set an example for CSR performance; foreign-invested enterprises as a direct beneficiary from China's reform and opening up policy and an important contributor to Chinese economy take CSR performance as an integral part of corporate localization; private enterprises as the most active section of Chinese economy practise social responsibility so as to embrace the international competition.

CSR has attracted popular attention from all walks of life in China. Industrial organizations show the directions for development, the media play a role of supervision, and customers become an important driving force in pushing enterprises to fulfill their social responsibilities.

Growing CSR practice has given impetus to CSR theory. The concept of national responsible competitiveness has raised people's CSR awareness to a new height; moreover, it has demonstrated a responsible path for China's healthy and sustainable economic growth by introducing the important pattern of national competitiveness advantage for the future. National responsible competitiveness calls for innovative public policies, creative enterprises, and active engagement of civil society as well. Effective combination of these factors will decide a country's utilization and management of global resources, and thereby decide its economic position in the global market, and the role in the global sustainable development.

After more than three decades' reform and opening up, China's tremendous development achieved has attracted worldwide attention, as it has successfully realized the significant transition from planned economy to market economy. In the current stage of market economy, China is still facing a major challenge, that is, how to balance economic growth with environmental protection and improvement of people's livelihood so as to maintain social justice and achieve social harmony. For the development of market economy, we should not only proceed from the economic perspective but also take into account social and environmental sustainability.

In 2009, the great impact of international financial crisis and climate change on the world economy, environment and community made it of great urgency to accelerate transformation of China's economic growth mode. To meet the challenge, China has chosen the way of low-carbon growth and green development, striving to expedite a healthy recovery and sustainability of the world economy through its own sustainable development.

China WTO Tribune and AccountAbility, a global non-profit think tank and consultancy, worked together again to publish Responsible Competitiveness in China 2009, which was a significant job. By compiling views of many experts and scholars, this book understood and analyzed China's current competitiveness from the perspective of social responsibility -- while giving impetus to economic

recovery, China has paved the way for sustainable economic growth by optimizing its energy structure, promoting industrial upgrading, developing green economy and fostering new economic growth points. There is no doubt that China has not only made up its mind to implement the strategy of low-carbon growth and green development, but it also has the ability to achieve this target.

I wish that this book can provide more entrepreneurs and organizations with useful information for their decision-making, and realize its value from more than the text itself.

Former Minister of Foreign Trade and Economic Cooperation,  
President of China Association of Enterprises with Foreign Investment  
Guangsheng Shi

## 序二

本书标志着我们与中国合作伙伴关系的继续，并且表达了我们希望推广责任竞争力和可持续发展的共同愿望。去年，我们支持了前沿性的研究报告《国家责任竞争力 2009：在中国抓住绿色发展的低碳机遇》。此报告在哥本哈根气候峰会之前，于 2009 年 11 月 30 日在南京举办的第五届中欧工商峰会上发布。报告的概要在这本书的第一章节。

诚然，各国的情况在哥本哈根气候峰会后又有许多变化，特别是中国在应对气候变化方面作出了更广泛的承诺，例如对低碳技术和能效的投资。但全球在气候变化问题上的讨论更趋于区域化的解决方案而非统一化的全球协定。

因此，作为 2009 年发布的研究分析报告的延伸，本书为人们提供了在国外通常了解不到的中国视角。

本书讨论了广泛的可持续议题及其与经济和企业的直接联系。在 AccountAbility 的时怡、Kate Ives 和 Hee Yu Lee 撰写的文章中，中国在低碳发展的观点及经济发展被放入了国际背景下的全球“气候竞争力”；中国社会科学院的潘家华从中国的角度更深一步地解析低碳的概念；环保部的夏光描述了中国在环保和环境规划方面的诸多有影响的进展；国资委的楚序平探讨了央企在促进企业社会责任，推动经济发展方式转变的作用。

书中也呈现了企业提升自身责任竞争力的战略。其中，华夏银行、比亚迪股份有限公司、中国华能集团展现了他们在责任竞争力方面所面临的机遇与挑战。

人力资源管理协会的冉毅波针对使不同行业企业受益的具体战略，即人力资源战略及其对中国企业的益处进行了深入分析；来自北京师范大学壹基金公益研究院的王振耀携手中国社会科学院的田小红共同探讨了慈善事业在中国的发展以及其运行的机制环境；兴业全球基金管理有限公司试图探寻社会责任基金在中国的重要性及未来发展前景。

当然，责任竞争力也需要有力的政策环境及指南的支持。中国工业经济联合会的姜薪、田瑾和李玉华考虑到企业标准及合规，分析了企业社会责任指南在中国的发展及实施。

科学技术部的梅永红在文章中强调了创新以及创造新知识的重要性。《WTO 经济导刊》以及浙江消费者权益保护委员会分别探讨了企业社会责任报告以及道德消费主义在推动中国责任竞争力方面所起到的作用。

另外，有两篇文章分析了供应链的重要撬动能力。中国可持续发展工商理事会的翟齐解释了企业如何通过“1+3”模式扩展企业社会责任的供应链传播；中国科学技术发展战略研究院的王元和王书华讨论了发展高新技术集群和负责任的管理布局模式。

本书由《WTO 经济导刊》和 AccountAbility 携手，独立研究并编著，由瑞典政府提供支持。我们希望此书对于致力于在中国通过负责任的商业实践创造出更和谐社会的同仁是有用且有影响力的资源。

瑞典驻华大使  
罗睿德



## Foreword II

This book marks a continuation of our partnership with China and our desire to promote responsible competitiveness and sustainability. Last year we supported the cutting-edge report, *Responsible Competitiveness in China 2009: Seizing the Low Carbon Opportunity for Green Development*. The report, summarized in Part one, was launched shortly before the Copenhagen Summit, on 30th November 2009 at the 5th annual EU-China Business Summit in Nanjing.

Of course, much has changed since the Copenhagen Summit. China has made national commitments to tackling climate change, through investments in low carbon technology and energy efficiency, while globally the debate has become more about regionalized solutions rather than unifying global agreements.

This book is an extension of the original 2009 analysis and provides a domestic perspective not often heard outside of China.

The book discusses a broad range of sustainability issues and their direct relationship with the economy and companies. The Chinese perspective on low-carbon development and economic growth is put into the international context of global “climate competitiveness” by Yi Shi, Kate Ives and Hee Ryung Lee from AccountAbility. Jiahua Pan from the Chinese Academy of Social Sciences provides a deeper analysis of China’s perspective. Guang Xia from the Ministry for Environmental Protection describes the many changes made in recent years with regards to environmental protection and environmental governance. The leadership of state-owned companies in promoting corporate citizenship is described by Xuping Chu from the State-owned Assets Supervision and Administration Committee of the State Council (SASAC).

We present a range of strategies employed by companies to improve their responsible competitiveness. The challenges and opportunities presented by responsible competitiveness are reflected by several companies, including commercial bank Hua Xia Bank; electric car manufacturer BYD; and power company the China Huaneng Group.

In-depth consideration of specific strategies that can benefit all companies across a range of sectors is presented by Patrick Ran of the Society for Human Resource Management, who analyses human resources strategies and their benefits for Chinese companies. In addition, Zhenyao Wang from the One Foundation Philanthropy Research Institute of Beijing Normal University, together with XiaohongTian from the Chinese Academy of Social Science, discuss the development of philanthropy in China and the institutional context of charities operating in the country. Fund management company AEGON-Industrial explores the future of socially responsible investment in China.

Of course, responsible competitiveness needs to be supported by an enabling policy environment and guidelines. Xin Jiang, Jin Tian, and Yuhua Li of the Chinese Federation of Industrial Economics consider business standards and compliance, through an analysis of the development and implementation of CSR Guidelines in China.

The importance of innovation and the creation of new knowledge is stressed by Yonghong Mei from Ministry of Science and Technology of the P.R.C. China WTO Tribune and Zhejiang Consumer Rights Protection Council respectively consider the role that CSR reporting and ethical consumption are playing in promoting responsible competitiveness in China.

Two essays consider the important leveraging capacity of supply chains. Qi Zhai from the China Business Council for Sustainable Development describes how the companies implementing the “1+3” Programme can multiply the benefits of CSR through supply chains. Yuan Wang and Shuhua Wang from the Chinese Academy of Science and Technology for Development discuss the factors required to

develop technology clusters and responsible distribution chains.

The book was independently researched and written in a unique collaboration between China WTO Tribune and AccountAbility, with support from the Governmental Offices of Sweden. We hope the book becomes a useful and influential resource to those wishing to create a more harmonious society through responsible business practices in China.

Swedish Ambassador to China

Lars Peter Fredén

# 编著者序

两年前,《WTO 经济导刊》与全球非营利研究和咨询机构 AccountAbility 合作出版了《国家责任竞争力(2007)》,该书提出了企业社会责任和可持续发展领域一个重要的新概念——国家责任竞争力。这个新概念的提出,使得我们从国家、产业和企业层面对企业社会责任进行了更多的、新的思考。

国家责任竞争力理念从宏观、中观和微观角度对责任竞争力的内涵进行了阐述。国家责任竞争力反映了国家竞争力与一个国家的企业社会责任状况之间的关系。一个国家的责任竞争力取决于三个方面,政府政策、商业行为和公民社会。政府通过制定强有力的目标鼓励企业取得更好的财务和非财务绩效,而企业以具体的行动来支持,同时社会组织为企业提供了与利益相关方互动的新机会,这三者共同作用,推动形成一个国家在全球市场中的经济地位和作用。

我们还可以从区域、产业这种中观角度对责任竞争力进行解读。整个产业推崇负责任的商业行为,遵行商业伦理,赢得消费者和公众的信赖和推崇,获得更大的市场,促使产业有序、健康和持续地发展,从而形成产业责任竞争力。同样,对于一个区域来讲,区域内自然环境、人力资源、经济与社会协调发展而形成的综合竞争能力,使得一个区域具有责任竞争优势。

同时,我们还能够从微观角度出发,探索企业竞争力与社会责任的关系。企业可以运用自身的专业优势解决社会、环境、员工等方面的问题,使得企业履行社会责任的同时,经济效益也得以同步提升,即企业责任竞争力得到增强。

在过去的两年中,《WTO 经济导刊》与 AccountAbility 对责任竞争力进行了更加深入和广泛的研究。

《WTO 经济导刊》对中国 8 个积极推进企业社会责任发展的区域进行了调研,召开地区竞争力与企业社会责任研讨会,就地方政府推进企业社会责任的驱动力、具体实践、工作成效等方面的内容及相关政府机构进行沟通、探讨。《WTO 经济导刊》还继续通过“金蜜蜂企业社会责任评估体系”,发掘优秀责任竞争力实践案例,以具有说服力的数据和翔实的案例,宣传、推广企业责任竞争力理念。

AccountAbility 在原研究开发的责任竞争力指数的基础上,于 2010 年 4 月在韩国首尔举办的 B4E 环境峰会上发布了《2010 年气候竞争力指数》。每年发布一次的气候竞争力指数(CCI)由 AccountAbility 与联合国环境规划署(UNEP)共同编制。该报告分析了 95 个国家的情况,这些国家的经济活动和碳排放量分别占全球总量的 97% 和 96%,是迄今为止关于各国在创造绿色就业和实现低碳经济增长方面所取得进展的最全面的研究报告。报告显示,尽管国际气候谈判存在许多不明朗因素,但各国在 2010 年第一季度都继续推进低碳增长战略。2009 年 11 月,还发布了与本书同名的研究报告,详细阐述了实现中国低碳繁荣的主要趋势、挑战和最佳实践典范,全面分析介绍中国市场如何在把企业社会责任与低碳竞争力紧密相连的过程中获得成长。

在此基础上,《WTO 经济导刊》与 AccountAbility 再次携手,历经半年多的精心策划与准备,共同编著了《国家责任竞争力(2009)——在中国抓住绿色发展的低碳机遇》(中英文版),系统性地介绍了责任竞争力理论框架在中国的应用情况,并选编国内知名学者、专家的最新研究成果以及优秀商业实践案例,从低碳的视角对责任竞争力进行新的诠释。

本书是有关国家责任竞争力的系列出版物。本书分别从责任竞争力重点关注的负责任的商业环境、社会投资、吸引和留住人才、商业标准及合规、负责价值链、产品服务与创新以及责任沟通等七个核心



领域，展现中国在每个领域内面临的机遇和挑战，以及应对的措施，反映中国所具有的独特的提高责任竞争力策略，使得人们更好地理解中国如何实现绿色发展、低碳发展，同时分享中国作为一个负责任的发展中大国在抓住低碳机遇、发展国家责任竞争力方面的优秀经验。

本书采用中英双语，一方面是反映本书是由中外专家团队共同努力的结晶，另一方面希望能够为国内外相关机构搭建一个基于责任竞争力的社会责任和可持续发展理念的国际交流平台，共同促进中国企业社会责任健康发展，促进全球社会的可持续发展。

由于水平有限，书中难免以偏概全，还希望读者不吝赐教。

# Foreword From The Compliers

Two years ago, China WTO Tribune, in cooperation with AccountAbility, a global non-profit and consultancy organization published *The State of Responsible Competitiveness 2007*. The book raised an important new notion in these areas – the national responsible competitiveness. This new notion brings new and deep thinking about corporate social responsibility (CSR) in macro, meso and micro views.

The national responsible competitiveness, in the macroscopic view, elaborates the concept of responsible competitiveness. The national responsible competitiveness reflects the relationship between the national competitiveness and the state of corporate social responsibility in the country. The national responsible competitiveness rests with three aspects: governmental policy, business activities and civil society. By setting strong objectives, the government encourages corporations to achieve better financial and non-financial performances, while corporations support the government carrying out detailed activities. In the meantime, social organizations provide corporations with new opportunities to interact with interested parties. These three motivating forces jointly act on the position and roles that a country plays in the global market.

We can also interpret the responsible competitiveness from the perspectives of regions or industries. The whole industry holds responsible business activities in esteem, which comply with business ethics, win reliance and praise from consumers and the public, obtain bigger markets, impel the industry to have orderly, healthy and sustainable development, thus forming the industry's responsible competitiveness. For a region, the comprehensive competitiveness built up by the nature resources, human resources, coordinative development between the economics and the society, can strengthen the regional responsible competitiveness.

At the same time, we also start from the micro view to explore the relationship between corporate competitiveness and social responsibility. Corporations may solve problems with respect to the society, the environment and employees by applying their own professional advantages. When fulfilling their social responsibilities, the economic benefits are achieved simultaneously, namely corporations' responsible competitiveness is strengthened.

In the past two years, China WTO Tribune and AccountAbility had carried out deeper and more comprehensive research on the subject of responsible competitiveness.

China WTO Tribune conducted a survey on 8 areas in China where the development of corporate social responsibility is positively promoted, and called a seminar on the topic of regional competitiveness and corporate social responsibility, in which the motivating forces, detailed practices, working results concerning the promotion of corporate social responsibility by the local governments were discussed. By implementing the GoldenBee Corporate Social Responsibility Assessment System, China WTO Tribune also discovers cases of excellent practices of responsible competitiveness, publicize and popularize the notion of corporate responsible competitiveness with persuasive data and detailed cases.

Based on The Accountability Competitiveness Index it originally researched and developed, AccountAbility launched the 2010 Climate Competitiveness Index at B4E Summit in Seoul, South Korea in April 2010. The annually released Climate Competitiveness Index (CCI) was prepared by AccountAbility in partnership with the United Nations Environment Programme (UNEP). The Report analyzes 95 countries which account for 97 percent of global economic activities and 96 percent of global carbon emissions, and is the most comprehensive research report so far with respect to each state's progress in creating green jobs and realizing growth of the low carbon economy. The Report shows that in spite of a lot of uncertainties in international climate negotiations, countries had

forged ahead with low carbon growth strategies in the first quarter of 2010. In November 2009, it also released a research report with the same name as this book, elaborating in details major tendencies, challenges and the best practices in realizing China's low carbon prosperity and giving an all-sided analysis of and introduction of how the Chinese market promotes the strong connection between corporate social responsibility and low carbon competitiveness.

On that basis, China WTO Tribune once again joins hands with AccountAbility. After over half a year's elaborate planning and preparations, Responsible Competitiveness In China 2009 (Chinese and English Version) was jointly compiled. This book systematically introduces the application in China of the framework of responsible competitiveness, and collects viewpoints and latest research results from famous domestic scholars and experts as well as cases of excellent business practices, giving new interpretations of responsible competitiveness from a low carbon view.

This book is one of the Responsible Competitiveness series publications. By using the seven drivers of responsible competitiveness, namely responsible business environment, social investment, attracting and retaining talents, business standards and compliance, responsible product services and creativeness and responsible communications, this book demonstrates the opportunities and challenges China faces in each area and coping measures, reflecting China's unique strategy to increase responsible competitiveness, thus making people better understand how China realizes green development and low carbon anti-war, and at the same time sharing excellent experiences obtained by China, as a great responsible developing country, with respect to the grasping of low carbon challenges and developing the national responsible competitiveness.

This book is written in Chinese and English. Since it is cooperation results of Chinese and foreign experts' team. And we hope an international communication platform to exchange the information and ideas of responsible competitiveness based on the concepts of CSR and sustainable development can be built, in such a way to promote the healthy development of CSR in China and the sustainable development in the world.

We welcome corrections to any mistake we may have inadvertently made.



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# 第一章

## 国家责任竞争力





