

# Environmental CSR in Industrial Cities: A Collaborative Governance Approach

Muhlisin Muhlisin\* and Muhammad Sofyan Budiarto

**Abstract**—Corporate social responsibility (CSR) initiatives based on charity and philanthropy have not alleviated many sustainable environmental issues, particularly in industrial towns. The collaborative governance strategy is seen to be an option for resolving difficulties of coordination and communication between businesses, the government, and the community so that the goals of urban environmental management can be met via collaborative efforts. The purpose of this research is to identify the different forms of environmental CSR implementation by corporate entities and to create a CSR collaborative governance model in environmental management. This qualitative investigation was carried out in 2020 in Cilegon City, one of Indonesia's industrial cities. To investigate their support, a total of 20 informants from three stakeholder groups, namely the government, corporate entities, and the community, were questioned. According to the study's findings, CSR implementation in the environmental sector covers cleaner production, eco-office, energy and natural resource conservation, waste management, renewable energy, climate change adaptation, and environmental education. CSR implementation in the environmental potential to implement collaborative governance. Business entities have an essential role in establishing the starting condition, while the government provides facilitative leadership and the CSR forum launches institutional design. These three elements are critical to the effectiveness of collaborative governance in environmental management in industrial cities.

**Index Terms**—Collaborative governance, CSR forum, environmental CSR, industrial city

## I. INTRODUCTION

The real form of concern for the business world for the surrounding environment is corporate social responsibility (CSR). This CSR activity is implemented in various fields such as education, health, economy, environment, and socio-culture with a corporate charity approach, corporate philanthropy, corporate community/public relations, and community development [1, 2]. The form of CSR implementation that is most often carried out in Indonesia is community development, even community development is identified with CSR. Actually, CSR is not solely community development because the community development activities in some aspects are still colored by the concepts of philanthropy and charity which are more doing good to look good and ad hoc [3, 4].

To benefit from CSR activities, the ad hoc implementation

must be abandoned and changed with the implementation of CSR through overcoming social and environmental problems that are integrated from the start into the company's business.

Although many companies have implemented CSR, there are still few that have implemented CSR in the environmental sector [5]. Environmental problems due to population increase in industrial cities show that sustainable urban development programs are very important to implement, especially in developing countries. Efforts to implement sustainable urban development through efforts to increase better job opportunities, expand water and sanitation infrastructure, energy, transportation, information and communication as needed; ensure equal access to services; reduce the number of people living in slums; and conserving natural assets within the city and its surroundings [6, 7]. In addition, the implementation of CSR that is right on target in environmental management is important in supporting a sustainable industrial city.

Urban governance is a new paradigm in city management. The application of this paradigm makes the transfer of authority from the government to the non-government sector such as the private sector, non-governmental organizations and the community individually so that the non-government sector is increasing and its access is open in the policy making process and policy implementation [8].

The application of urban governance will create a more democratic and inclusive culture of governance, including innovation, democratic legitimacy and region-based strategies involving all levels of government, civil society, business and industry to achieve more sustainable cities. a 'top-down' approach to a 'people-centered' approach [9, 10]. One of the principles of good urban governance is the involvement of civil society (civic engagement) and the population (citizenship), which means that cooperation with the community and the private sector is important in realizing good urban governance [11].

Cooperation can be carried out by local governments based on considerations of efficiency and effectiveness of public services and mutual benefits. Some collaborations that use CSR funds are still charitable and short-term philanthropy does not fulfill what is called a collaboration [12]. Therefore, the application of the concept of collaborative governance is an alternative in implementing CSR in the environmental field.

Collaborative governance has long been implemented in various countries and provides many advantages. Among these are: avoiding the high costs of competition policy-making, expanding democratic participation, and even returning rationality to public management [13], collaborative processes have beneficial and measurable effects on environmental improvement [14]. Moreover,

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collaborative governance is the path by which participatory democracy is achieved in areas of social conflict, regional development, and environmental protection [15].

Ansell & Gash [13] introduced a collaborative governance model that has four main variables, namely: initial conditions, institutional design, leadership, and collaborative processes. Each variable is divided into several smaller sub-variables. The collaborative process variable is the core of this model, with initial conditions, institutional design, and leadership variables represented as critical contributions to the collaborative process. The initial conditions establish the basic level of trust, conflict, and social capital that becomes a resource or liability during the cooperation. Institutional design establishes the ground rules by which collaboration takes place, and leadership provides essential mediation and facilitation for collaborative processes. The collaborative process itself is highly iterative and constitutes as a cyclic process.

The Ansell & Gash model theoretically has a conformity with the concept of environmental management CSR whose process emphasizes cooperation between three elements, namely: government, private sector, and community. However, this model has weaknesses in the context of environmental management, namely: collaboration forums are defined as formal cooperation between public institutions, public actors and non-public actors. However Agrawal & Lemos [16] and Emerson [17] do not limit collaborative governance in formal relationships called multi-partners or Surman & Surman [18], call it multi-organization which includes relations between countries, the private sector, and civil society. In addition, the Ansell & Gash model in the context of environmental management has not explained the stakeholder roles in influencing the collaboration process [19].

Through the components of the Ansell & Gash [13] and Wang [19] models, the potential for implementing collaborative governance models in environmental management is identified. So that it is known the stakeholders who play an important role in supporting the collaborative governance dimension to optimize CSR collaboration in environmental management in industrial cities.

## II. RESEARCH METHODOLOGY

The research design uses mixed methods, a study that connects qualitative and quantitative data [20]. Determination of informants is done by using purposive sampling technique. A total of 22 stakeholders became informants, consisting of three stakeholders' groups, namely: Cilegon City Government, business entities (State-owned enterprises and private), and community elements (community leaders, NGOs, CSR institutions, and academics).

The data collected includes the implementation of environmental CSR obtained through interviews and literature studies. In addition, data on the potential for collaborative governance in the application of environmental CSR according to the criteria of Ansell & Gash [13] were obtained through in-depth interviews with stakeholders.

Potential collaborative governance data were analyzed quantitatively according to Azwar [21] and qualitative thematic analysis according to Lester et al. [22].

## III. RESULT AND DISCUSSION

### A. Implementation of Environment CSR

The implementation of environmental CSR in Cilegon City is carried out directly by business entities to the community and through a CSR institution called Cilegon Corporate Social Responsibilities (CCSR). It is a corporate social responsibility management institution in Cilegon which was established based on Mayor Regulation of Cilegon City No. 3 of 2011, which was later strengthened by Cilegon City Regulation No. 10 of 2012. This institution is an independent non-governmental organization that has the main task of being a partner to the local government and the business world. in synergizing the company's CSR programs and activities with the Cilegon City Medium Term Development Plan (RPJMD).

The Cilegon City Regulations regarding CCSR are formulated with the objectives of: 1) providing legal certainty and protection for the implementation of corporate social responsibility programs; 2) provide direction to all companies and all stakeholders in preparing themselves to meet international standards; and 3) synergize the implementation of corporate social responsibility with regional development programs in encouraging the achievement of welfare and poverty reduction.

Although it is not explicitly stated that the aim of CCSR is to improve environmental conditions, in an effort to meet international standards many companies are implementing their social responsibility in the environmental field [23]. Several CSR implementations in the environmental sector by several companies, such as city forest revitalization and development [24], construction of a road median park, and a road island park in Cilegon City.

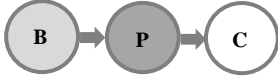
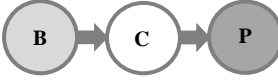

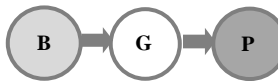
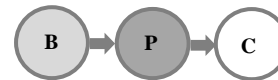
To support collaboration, CCSR plays a role in its function of socializing, serving and facilitating the implementation of CSR to business entities; to record, document and publish all CSR activities; and give awards to companies that have implemented CSR for the welfare of the community.

CCSR established itself as an independent institution with an organizational structure consisting of a Supervisory Board consisting of community leaders, academics, and senior practitioners; and CCSR Members consisting of academics, community leaders, NGOs, and representatives of business entities. However, this institution still has to get approval from the head of the Cilegon City government.

The management model according to the Cilegon City Regulation No. 10 of 2012 is: 1) Data collection on companies that have obligations and can carry out Corporate Social Responsibility; 2) Preparation of social programs in Cilegon City and raising funds from companies that have obligations and/or can carry out Corporate Social Responsibility; and 3) Distribution of funds from companies that have obligations and/or can carry out Corporate Social Responsibility to the public; and 4) business entities directly cooperate with the government to meet the needs of the

community, without going through the CCSR institution. These rules can be described as Table I follows.

**TABLE I: TYPES OF CSR COLLABORATIVE IMPLEMENTATION MODEL**

Type	Collaborative CSR Model	Description
1.		Business Entities carry out CSR activities which are directly distributed to the public. The role of CSR institution is to document and publish activities.
2.		CSR activities of business entities through CSR Institution, to then be distributed to the public.
3.		The public submits a proposal to CSR, CSSR selects the most appropriate proposal to the business entity, and the Business Entity distributes its funds through CCSR.
4.		Cooperation without CSR institutions. Business entities directly collaborate to support government programs for community needs
5.		Cooperation without CCSR institutions, where business entities implement CSR directly to the community with government coordination

The CSR implementation model shown in Table I has fulfilled the elements as mentioned in the Carrroll Model which are philanthropic, ethical, legal, and economic responsibilities. Thus, there is a symbiotic relationship between government business entities and the community [25].

Stakeholders of business entities play an important role in implementing CSR for development purposes through CSR institutions, or directly to the government and society. The implementation of CSR collaboration in the environmental field can be seen in Table II below.

Table II shows that the implementation of CSR collaboration is implemented in several environmental sectors, namely: cleaner production, eco-office, energy and natural resource conservation, waste management, renewable energy, climate change adaptation, and environmental education.

**TABLE II: CSR COLLABORATIVE IMPLEMENTATION IN CILEGON CITY**

Year	Program	Business Entities	CSR Collaborative Model	Environmental sector
2016	Biodiversity Preservation Through Urban Forest Revitalization and Development Program.	PT. Indonesia Power Cilegon	Type-4	Climate change adaptation, Environmental education, and Energy and natural resource conservation
	Greening program in Purwakarta District	PT. Krakatau Medica	Type 5	

Year	Program	Business Entities	CSR Collaborative Model	Environmental sector
	Construction of the Protocol Road Median Park	PT. Bank Jabar	Type-2	
2017	Plant Nursery Development Environmental clean-up at Ciwandan Subdistrict Provision of mango tree seeds for reforestation in Ciwandan sub-district	PT. Krakatau Industrial, Estate Cilegon, and PT. Cahndra Assri	Type 5	Climate change adaptation, Waste management, and Energy and natural resource conservation
2018	Help the community greening program environmental cleanliness program	PT. Krakatau Daya Listrik & PT. Krakatau Posco Energy	Type 5	Climate change adaptation and Waste management
2019	Urban Forest revitalization	PT. Indonesia Power	Type-1	Climate change adaptation, Waste management, and Energy and natural resource conservation
	Green Space Revitalisation Environmental and Island Road Park Development.	PT. Bank Jabar	Type-2	
	Waste processing industry "Masaro"	PT. Cahndra Asri	Type 5	
2020	Green Space Revitalisation Greening program around the industry Handing over tree seeds for reforestation to the Purwakarta sub-district community	PT. Bank Jabar	Type-2	Climate change adaptation and Energy and natural resource conservation
		PT. Krakatau Industrial Estate, and PT. Krakatau Tirta Industri	Type-5	
2021	Waste management into solid feed for co-firing steam power plants	PT. Indonesia Power	Type-4	Cleaner production, Renewable energy, and Waste management
	The establishment of a waste bank in the district. Grogol.	PT. Pertamina	Type 5	

**B. CSR Collaboration in Environmental Management**

The implementation of CSR collaboration in environmental management in Cilegon City can be categorized as collaborative governance according to the criteria of Ansell & Gash [13], namely: 1) forum initiated by public agencies or institutions; 2) forum participants including non-state actors; 3) participants are directly involved in decision-making and are not simply “consulted” by public bodies; 4) the forum is held formally and meets collectively; 5) the forum aims to make decisions by deliberation; and 6) the focus of cooperation is on public policy or public management. Stakeholders who play a role in the implementation of CSR collaboration in environmental management are as shown in Table III below.

TABLE III: THE ROLE OF STAKEHOLDERS IN CSR COLLABORATION IN ENVIRONMENTAL MANAGEMENT

Stakeholder	Group/Department	Role
Government	Regional Development Planning Agency	Develop, control and evaluate the implementation of urban development plans
	Environmental Department	Waste management, Green Open space management, natural resource conservation, waste management, renewable energy, climate change adaptation, and environmental education
	Department of Housing and Settlement Area	Management of city parks, sub-district parks, public cemeteries, and greening of protocol roads.
Business entity	State-owned enterprises (BUMN) & Private	Share fund
		Share resource
Public	Community	Program support, maintain safety and comfort
	NGOs	Governance control, community empowerment
	Academic	Concept support, expert support, research
CSR Forum	Cilegon CSR	Socializing, serving and facilitating the implementation of CSR to business entities.

Table III shows that the roles of each stakeholder are different but still synergistic in realizing environmental CSR. This is important for partnership leaders and managers in managing collaboration [26].

Besides, in general, the collaborative relationship between the government, business entities, and the community/academics in Cilegon City is as show communication occurs between the three stakeholder groups. There is also coordination between the three and then results in cooperation in the implementation of development programs such as environmental management. The relationship between the three stakeholder groups occurs directly or through CSR institution, an institution formed by the government, business entities, and the community as shown Fig. 1.

Fig. 1 and Table IV show that each stakeholder shows their respective roles in a synergistic manner. The government directs programs that are needed by the community, more of a

role as a facilitative leader. Business entities support both funding, expertise, and facilities, so that they play a greater role in initiating collaboration. Meanwhile, the CSR Institution plays a role in coordinating and mediating the program so that it is more appropriate as an institutional design. In addition, the community acts as a control, an evaluator who plays an important role in the collaboration process.

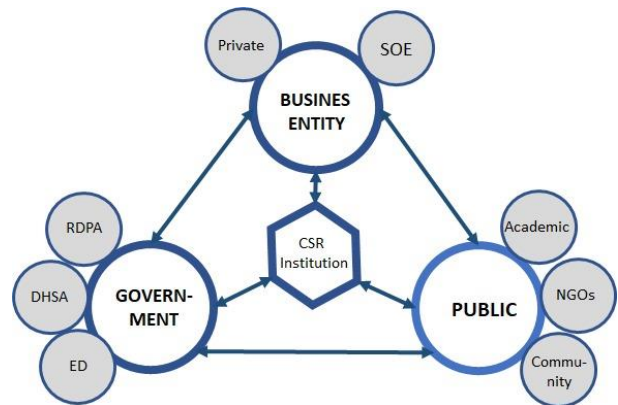


Fig. 1. Collaborative relationship between stakeholders in environmental CSR management in Cilegon City. RDPA = Regional Development Planning Agency DHSA = Department of Housing and Settlement Area, ED = Environmental Department, SOE = State-Owned Enterprises (BUMN),NGO’s = Non-Governmental Organizations

Ansell & Gash model [13] describes that collaborative governance is influenced by three dimensions: starting conditions, facilitative leadership, and institutional design. The implementation of environmental CSR collaborative governance is analyzed based on these three dimensions. Based on the results of stakeholder’s interviews regarding the implementation of environmental CSR based on a collaborative governance approach is shown in Table IV below.

TABLE IV: ASSESSMENT OF COLLABORATIVE GOVERNANCE POTENTIAL IN ENVIRONMENTAL MAN-AGEMENT IN CILEGON CITY

Dimensions	Aspects	%	% Average & Categories
Starting Conditions	Asymmetry of resources and knowledge	7	78 High potential
	Incentives for and Constraints to Participation	5	
	Collaboration Background	8	
		5	
		7	
Facilitative Leadership	Group Dynamics Control (mediator)	5	58 Medium potential
	Participatory (Local leader)	5	
		6	
Institutional Design	Participatory (Forum Exclusivity)	7	79 High potential
	Clear Field Rules	0	
		7	
		8	
	Process Transparency	8	

The achievements of each dimension: starting condition, facilitative leadership, and institutional design in supporting environmental CSR collaborative governance are explained as follows.

*1) Starting condition*

Aspects of the Starting condition according to Ansell & Gash [13] are: Asymmetry of resources and knowledge,

Incentives for and Constraints to Participation, and Collaboration Background. Resources and knowledge are the driving force for collaboration, the quality and quantity of which varies depending on the strengths and capacities of each stakeholder. The results of the interview show that most of the stakeholders (75%) know about environmental problems in Cilegon City.

In the aspect of Incentives for and Constraints to Participation, the three stakeholder groups each have an incentive to be involved in collaboration even though there is no special incentive because they feel that there are benefits to the three groups of three stakeholders. This is in line with study by Alfajri [27] which states that incentives to participate, leadership style, and feelings of inclusiveness influence collaborative governance outcomes and influence each other. According to Ansell & Gash [13] the incentive to participate depends on the outcomes expected by stakeholders from the collaborative process. Incentives to participate in collaborative governance will increase if interdependence among stakeholders is high. Stakeholders who have a high quantity and quality of resources will find it difficult to collaborate and prefer other alternatives.

Meanwhile, in the aspect of cooperation and conflict background, stakeholders do not have conflict backgrounds and are a positive condition in supporting the success of collaborative governance in environmental management. This condition is important in determining the success of collaboration. Ansell & Gash [13, 28] state that, if there is a background of conflict among stakeholders, then collaborative governance is unlikely to succeed unless there is a high degree of interdependence among the stakeholders or positive steps are taken to restore the level of trust. low levels of social capital among stakeholders.

The condition of balanced stakeholder knowledge, participation from stakeholders and incentives, and no conflict background which reached 75% indicates that the initial conditions of stakeholders strongly support collaborative governance in environmental management in Cilegon City. Knowledge is critical in determining the success of collaborative governance [13, 29].

### *2) Facilitative leadership*

Facilitative leadership is important for bringing stakeholders together and getting them involved with each other in a collaborative spirit [13, 30, 31]. So that facilitative leadership can determine the success of collaboration. Aspects that support facilitative leadership are: Group Dynamics Control (mediator) and Participatory (Local leader) [32].

Based on the findings, the potential for mediators and leaders who emerge from the community are owned by the three stakeholder groups, the government, business entities, and the community. However, in mediating stakeholders, the government's role is the most important. Ansell & Gash [32] stated that this mediation role grew from the basic collaborative structure of government. The mediator's existence is realized through his role as an honest broker, arbitrator, stabilizer, and trust builder. As an honest broker, the government must be able to mediate conflicts between stakeholders. The government as a mediator of facilitative

leadership must act as an arbitrator that facilitates communication and translates various stakeholder perspectives; as stabilizers can intervene to prevent these negative dynamics or to restore more positive interactions; and build trust among stakeholders with specific strategies depending on the goals and basic trust.

### *3) Institutional Design*

Institutional design refers to basic protocols and ground rules for collaboration, which are very important for the procedural legitimacy of the collaboration process so institutional design must be open and inclusive [13]. Potential institutional designs offered by stakeholders are participatory inclusiveness and forum exclusiveness and clear ground rules and process transparency.

The three stakeholders have a tendency to participate in the environmental management so as to support successful collaboration. Participatory inclusiveness, openness in the level of participation arises from stakeholders with an indicator of success if all stakeholders involved, both those affected, and those who care about problems participate [33].

Stakeholders show a tendency to support collaborative institutional designs that are open, have a special forum, and have clear rules with a transparent process. Cilegon CSR as a government partner institution plays an important role in institutional design in Cilegon City. In addition, the distribution of CSR that tends to be implemented to the community around the company such as local industry CSR forums indicates that collaboration at the local community level has the potential to be more effective. Cilegon CSR 2021 data shows that CSR distribution is mostly given to the community around the company and industrial forums are formed based on region.

Aspects that affect collaborative governance such as: starting conditions, facilitative leadership, and institutional design found in environmental management CSR show that the implementation of environmental CSR in Cilegon City has implemented collaborative governance.

## IV. CONCLUSIONS

CSR implementation in the environmental sector covers in cleaner production, eco-office, energy and natural resource conservation, waste management, renewable energy, climate change adaptation, and environmental education. CSR implementation in the environmental potential to implement collaborative governance. Business entities have an essential role in establishing the starting condition, while the government provides facilitative leadership and the CSR forum launches institutional design. These three elements are critical to the effectiveness of collaborative governance in environmental management in industrial cities.

### CONFLICT OF INTEREST

The authors declare no conflict of interest. Author Contributions.

### AUTHOR CONTRIBUTIONS

All authors had an important contribution in the main idea, bibliographic research, instrument preparation, data

collection, data analysis, writing of the article and whose document had the final approval to be published.

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