

Table of Contents

Abstract V

Zusammenfassung..... VII

Table of Contents XI

Detailed Table of ContentsXV

TablesXXV

Figures..... XXIX

Acronyms XXXI

1 Introduction 1

 1.1 Relevance of the Thesis 1

 1.2 Major Goals and Structure of the Thesis 3

2 Literature on CSR, Lobbying and Responsible Lobbying..... 7

 2.1 Preview..... 7

 2.2 Literature on Corporate Responsibilities 7

 2.3 Literature on Lobbying 35

 2.4 Literature on Responsible Lobbying..... 60

 2.5 Chapter Summary 67

3 Research Philosophy and Method 69

 3.1 Preview..... 69

 3.2 Research Paradigms 69

 3.3 Ontology and Epistemology: Critical Realism 72

 3.4 Methodology 74

 3.5 Chapter Summary 84

4 Responsible Lobbying: Conceptual Foundations 85

 4.1 Preview..... 85

 4.2 Responsible Lobbying: Objections and Gains 85

 4.3 CSR and Lobbying: Areas of Congruence and Conflict..... 88

4.4 A Multidimensional Model of Responsible Lobbying	107
4.5 Chapter Summary	121
5 Benefits and Antecedents of Responsible Lobbying	123
5.1 Preview	123
5.2 Responsible Lobbying and Success	123
5.3 Antecedents of Responsible Lobbying	126
5.4 Chapter Summary	147
6 Foundations of the Quantitative Study	148
6.1 Preview	149
6.2 Set-Up of Hypotheses	150
6.3 Conceptualization and Specification of Constructs	153
6.4 Basic Characteristics of PLS and Selection Criteria	168
6.5 Evaluation of PLS Models	171
6.6 Preparation and Administration of the Survey	182
6.7 Chapter Summary	192
7 Results of the Quantitative Study	195
7.1 Preview	195
7.2 The Pretest	195
7.3 Respondents	201
7.4 Descriptive Analysis	208
7.5 Data Preparation for Multivariate Analysis	221
7.6 Testing Second-Order Constructs with PLS	227
7.7 Evaluation of the Measurement Model	232
7.8 Evaluation of the Structural Model	246
7.9 Analysis of Antecedents	256
7.10 Chapter Summary	275
8 Foundations and Results of the Qualitative Study	277
8.1 Preview	277

Table of Contents	XIII
8.2 Basics of the Qualitative Analysis.....	277
8.3 Results of the Qualitative Research.....	285
8.4 Chapter Summary	309
9 Conclusions and Implications	311
9.1 Major Findings and Contribution to Scholarship	311
9.2 Implications for Business Practice	319
9.3 Future Research	321
Literature	323
Appendices	359

Detailed Table of Contents

Abstract V

Zusammenfassung..... VII

Table of Contents XI

Detailed Table of ContentsXV

TablesXXV

Figures..... XXIX

Acronyms XXXI

1 Introduction..... 1

 1.1 Relevance of the Thesis 1

 1.2 Major Goals and Structure of the Thesis 3

2 Literature on CSR, Lobbying and Responsible Lobbying..... 7

 2.1 Preview..... 7

 2.2 Literature on Corporate Responsibilities 7

 2.2.1 The Challenge of Defining CSR..... 8

 2.2.2 Carroll’s CSR Pyramid 11

 2.2.3 Key Issues in CSR Research 13

 2.2.3.1 *Justifications of CSR*..... 13

 2.2.3.2 *CSR and Philanthropy* 16

 2.2.3.3 *Characterization of CSR as a Voluntary Approach* 17

 2.2.4 Stakeholder Theory..... 19

 2.2.4.1 *Identifying and Categorizing Stakeholders* 20

 2.2.4.2 *Interacting with Stakeholders* 22

 2.2.4.3 *Instrumental vs. Normative Approaches*..... 25

 2.2.5 Sustainability 26

 2.2.6 A Politicized Concept of CSR..... 29

 2.2.6.1 *Corporate Citizenship (CC)*..... 29

2.2.6.2 <i>The Deliberative Approach</i>	30
2.2.6.3 <i>The Contribution of a Politicized Concept of CSR</i>	31
2.2.7 CSR: Summarizing Key Findings	33
2.3 Literature on Lobbying	35
2.3.1 Terminology	35
2.3.2 Main Issues in Lobbying Research.....	38
2.3.2.1 <i>Motives and Antecedents</i>	38
2.3.2.2 <i>Strategies and Tactics</i>	39
2.3.2.3 <i>Lobbying Success</i>	41
2.3.2.4 <i>Institutional Differences and Comparisons</i>	42
2.3.3 Social Science Theories Applied to Lobbying	42
2.3.3.1 <i>Approaches from Political Science</i>	43
2.3.3.2 <i>Approaches from Economics</i>	45
2.3.3.3 <i>Approaches from Management Studies</i>	49
2.3.3.4 <i>Approaches from Organization Studies</i>	51
2.3.3.5 <i>Approaches from Communication Studies</i>	54
2.3.3.6 <i>Applicability of Theoretical Approaches to Responsible Lobbying Research</i>	55
2.4 Literature on Responsible Lobbying	60
2.4.1 Ethical Aspects of Lobbying	60
2.4.2 Lobbying on Environmental Policy.....	63
2.4.3 Literature Linking CSR and Lobbying.....	64
2.5 Chapter Summary	67
3 Research Philosophy and Method	69
3.1 Preview.....	69
3.2 Research Paradigms	69
3.3 Ontology and Epistemology: Critical Realism	72
3.4 Methodology	74

3.4.1 Methodological Challenges in CSR and Lobbying Research 75

3.4.2 Introducing Mixed Methods Research 77

3.4.3 Mixed Methods and Critical Realism..... 78

3.4.4 Applying Mixed Methods to Responsible Lobbying Research..... 79

 3.4.4.1 *The First Empirical Step: Quantitative Analysis*..... 80

 3.4.4.2 *The Second Empirical Step: Qualitative Analysis* 81

3.4.5 Assessing the Quality of Research 82

3.5 Chapter Summary 84

4 Responsible Lobbying: Conceptual Foundations 85

4.1 Preview..... 85

4.2 Responsible Lobbying: Objections and Gains 85

4.3 CSR and Lobbying: Areas of Congruence and Conflict..... 88

 4.3.1 Regulation..... 88

 4.3.2 Public Interest..... 92

 4.3.3 Power 96

 4.3.4 Transparency 99

 4.3.5 Credibility, Trust, Reputation, Legitimacy..... 103

4.4 A Multidimensional Model of Responsible Lobbying 107

 4.4.1 Pillar (1): Commitment to CSR and Coherence with Lobbying 110

 4.4.2 Pillar (2): Consideration of Stakeholders’ Perspectives and Needs.. 112

 4.4.3 Pillar (3): Alignment with Long-Term Societal Objectives and
 Values 115

 4.4.4 The Basis: An Ethical, Democratic Dialogue 118

4.5 Chapter Summary 121

5 Benefits and Antecedents of Responsible Lobbying 123

5.1 Preview..... 123

5.2 Responsible Lobbying and Success 123

 5.2.1 Impact on Lobbying Success..... 123

5.2.2 Impact on Business Performance	125
5.3 Antecedents of Responsible Lobbying	126
5.3.1 The Institutional Context	128
5.3.1.1 <i>Type of Government</i>	129
5.3.1.2 <i>Lobbying System and Political Culture</i>	131
5.3.1.3 <i>Business-Government Relations</i>	134
5.3.1.4 <i>Conclusion on the Institutional Context</i>	137
5.3.2 Issue Characteristics	137
5.3.3 Industry Type	138
5.3.4 Firm Level Antecedents	139
5.3.4.1 <i>Business Performance</i>	140
5.3.4.2 <i>Firm Size</i>	141
5.3.4.3 <i>Reputation and Visibility</i>	142
5.3.4.4 <i>State Involvement</i>	143
5.3.4.5 <i>Formalized Lobbying Structure: Inhouse vs. External Lobbyists</i>	144
5.3.4.6 <i>Conclusion on Firm Level Antecedents</i>	145
5.3.5 Personal Factors	146
5.4 Chapter Summary	147
6 Foundations of the Quantitative Study	148
6.1 Preview	149
6.2 Set-Up of Hypotheses	150
6.3 Conceptualization and Specification of Constructs	153
6.3.1 Reflective vs. Formative Measurement	154
6.3.2 The Choice of Higher-Order Constructs	157
6.3.3 Responsible Lobbying as a Formative Higher-Order Construct	159
6.3.4 Operationalization of the Responsible Lobbying Construct	161

6.3.5 Operationalization of Lobbying Success, Reputation, Business Performance	163
6.3.6 Operationalization of Antecedents	166
6.4 Basic Characteristics of PLS and Selection Criteria	168
6.5 Evaluation of PLS Models.....	171
6.5.1 Evaluation of Reflective Measurement Models	171
6.5.1.1 Content Validity	171
6.5.1.2 Indicator Reliability and Internal Consistency	172
6.5.1.3 Convergent Validity.....	173
6.5.1.4 Discriminant Validity.....	174
6.5.2 Evaluation of Formative Measurement Models	174
6.5.2.1 Content Validity	174
6.5.2.2 Indicator Reliability and Collinearity	176
6.5.2.3 External/Nomological Validity	177
6.5.3 Indicator Elimination.....	179
6.5.4 Evaluation of Structural Models.....	179
6.5.4.1 Path Coefficients.....	179
6.5.4.2 Coefficient of Determination (R^2).....	180
6.5.4.3 Effect Size (f^2).....	181
6.5.4.4 Predictive Relevance (Q^2).....	181
6.6 Preparation and Administration of the Survey.....	182
6.6.1 Sample Size Requirements	183
6.6.2 Data Selection.....	185
6.6.3 Survey Methodology	188
6.7 Chapter Summary	192
7 Results of the Quantitative Study.....	195
7.1 Preview.....	195
7.2 The Pretest	195

7.2.1 Pretesting Responsible Lobbying Indicators	196
7.2.2 Pretesting the Questionnaire	201
7.3 Respondents.....	201
7.3.1 Overview on Response	202
7.3.2 Personal and Firm Characteristics	202
7.3.2.1 <i>Time Spent on Lobbying</i>	202
7.3.2.2 <i>Position of Respondents</i>	203
7.3.2.3 <i>Importance of Consultants' Clients</i>	204
7.3.2.4 <i>Personal Influence on Lobbying Activities</i>	204
7.3.2.5 <i>National Background</i>	205
7.3.2.6 <i>Industries</i>	206
7.3.2.7 <i>Firm Size</i>	207
7.4 Descriptive Analysis.....	208
7.4.1 Respondents' Understanding of Responsible Lobbying	209
7.4.2 Responsible Lobbying Performance: Analysis of Indicators	211
7.4.3 Statistics of Lobbying Success, Reputation and Business Performance	214
7.4.4 Activities and Measures Related to Responsible Lobbying.....	216
7.4.4.1 <i>Codes of Ethics</i>	217
7.4.4.2 <i>Ethics Training</i>	217
7.4.4.3 <i>Reporting</i>	218
7.4.4.4 <i>Lobbying Activities of Associations</i>	219
7.4.4.5 <i>Political Donations</i>	220
7.4.4.6 <i>Hiring Former Public Employees</i>	221
7.5 Data Preparation for Multivariate Analysis.....	221
7.5.1 Tests of Normality.....	222
7.5.2 Outliers	223
7.5.3 Missing Data.....	224

7.6 Testing Second-Order Constructs with PLS 227

 7.6.1 Indicator Reuse Approach 229

 7.6.2 Two-Step Approach..... 231

7.7 Evaluation of the Measurement Model..... 232

 7.7.1 Evaluation of the First-Order Constructs of Responsible Lobbying. 233

 7.7.1.1 *Indicator Reliability*..... 235

 7.7.1.2 *Multicollinearity* 238

 7.7.1.3 *External Validity (MIMIC)* 241

 7.7.2 Evaluation of Reflective Constructs 243

 7.7.2.1 *Evaluation of Lobbying Success* 243

 7.7.2.2 *Evaluation of Reputation and Business Performance* 245

7.8 Evaluation of the Structural Model 246

 7.8.1 Evaluation of the Second-Order Responsible Lobbying Construct .. 246

 7.8.2 The Impact of Responsible Lobbying on Lobbying Success 251

 7.8.3 The Role of Reputation and Business Performance 252

7.9 Analysis of Antecedents 256

 7.9.1 The Institutional Context..... 257

 7.9.1.1 *Brussels’ Political Culture* 257

 7.9.1.2 *National Background: LME vs. CME*..... 259

 7.9.2 Industry Type..... 261

 7.9.3 Firm Level Antecedents 262

 7.9.3.1 *Business Performance* 262

 7.9.3.2 *Firm Size*..... 263

 7.9.3.3 *Reputation and Visibility* 265

 7.9.3.4 *State Involvement*..... 266

 7.9.3.5 *Inhouse Lobbyists vs. Consultants*..... 270

 7.9.4 Conclusion on Antecedents 273

7.10 Chapter Summary 275

8 Foundations and Results of the Qualitative Study	277
8.1 Preview.....	277
8.2 Basics of the Qualitative Analysis.....	277
8.2.1 Goal and Approach.....	277
8.2.2 Quality Assurance of the Qualitative Analysis	279
8.2.3 Preparing and Conducting Interviews	280
8.2.4 Processing and Analyzing Interviews	283
8.3 Results of the Qualitative Research.....	285
8.3.1 Recruitment and Basic Characteristics of Participants.....	285
8.3.2 Practice of Lobbying	287
8.3.2.1 Lobbying Activities	287
8.3.2.2 Target Groups and Issues.....	289
8.3.2.3 Justification of Lobbying in Respondents' View.....	290
8.3.3 Views on and Measures of Responsible Lobbying	291
8.3.3.1 Pillar (1): Commitment to CSR and Coherence with Lobbying..	291
8.3.3.2 Pillar (2): Consideration of Stakeholders Perspectives and Needs.....	294
8.3.3.3 Pillar (3): Alignment with Long-term Societal Objectives and Values.....	296
8.3.3.4 The Basis: An Ethical, Democratic Dialogue	297
8.3.3.5 Conclusion	304
8.3.4 Benefits and Antecedents of Responsible Lobbying.....	304
8.3.4.1 Impact on Lobbying Success and the Role of Reputation.....	304
8.3.4.2 Impact of Brussels Political Culture.....	306
8.3.4.3 Inhouse Lobbyists vs. Consultants.....	307
8.4 Chapter Summary	309
9 Conclusions and Implications	311
9.1 Major Findings and Contribution to Scholarship	311

9.1.1 Theoretical-Conceptual Contribution 311

9.1.2 Methodology and Empirical Findings 313

9.2 Implications for Business Practice 319

9.3 Future Research 321

Literature..... 323

Appendices 359

Appendix 1: Online Survey Screenshots and Invitation Mails 359

Appendix 2: Skewness and Kurtosis..... 374

Appendix 3: Missing Values 375

Appendix 4: Correlations of Indicators for Responsible Lobbying and
Success 377

Appendix 5: Interview Guide 380

Appendix 6: Sample Interview Transcript 383

Appendix 7: Information of Interview Participants 391