

INNOVATIVE

# CITY-

BUSINESS COLLABORATION

**Bottrop, Germany** – InnovationCity Ruhr

6





## ABSTRACT

As the winner of the industry-initiated InnovationCity Ruhr contest in 2010, the city of Bottrop, Germany, has been supported by the regional private sector in transforming seven of its districts into a living laboratory for climate-friendly urban redevelopment.

By 2020, Bottrop aims to reduce CO<sub>2</sub> emissions by half while simultaneously increasing overall quality of life through the implementation of around 370 projects. These include measures such as energy-efficient retrofitting of existing commercial and residential buildings, installing cogeneration systems and creating additional green spaces.

The joint company Innovation City Management (ICM) was established in 2011 to drive the initiative and serve as an interface between the private and public sectors, academia and Bottrop's citizens. Chaired by Bottrop's lord mayor and comprised of 35 representatives from ICM, Bottrop's municipality and the private sector, ICM's project table meets bi-weekly to oversee the initiative's progress, discuss new projects and address challenges. It receives private sector and academic input through an industry advisory board and a science advisory board.

Political leadership combined with an engaged citizenry and a private sector interested in promoting innovative and green economic development provide the necessary support to operationalize the ambitious InnovationCity Ruhr undertaking.



## REGIONAL CONTEXT: RUHR METROPOLITAN AREA

With a population of 5.1 million and an area of 4,400 km<sup>2</sup>, the Ruhr metropolitan area is Germany's largest urban agglomeration, encompassing 11 cities, including Bottrop. Formerly the country's industrial heartland, it has a long tradition of coal mining and heavy industry, making it the backbone of Germany's strong economy. Major industrial companies such as RWE, Thyssen-Krupp and Evonik Industries were established in the Ruhr area and expanded rapidly, attracting millions of workers from surrounding regions. However, due to the declining competitiveness of coal exploitation, the Ruhr area experienced a heavy economic downturn in the 1970s. Coupled with higher environmental standards and policies, this led to a deindustrialization process. The Ruhr area has since undergone fundamental structural changes, transitioning from an industrial to a service-based economy.

## OBJECTIVE: POST-INDUSTRIAL REDEVELOPMENT FOR SUSTAINABILITY

## CITY OF BOTTROP

Aware of the significant adaptation challenges posed by the post-industrial redevelopment process, the Ruhr metropolitan area's public and private stakeholders actively work towards transforming the region in line with the three pillars of sustainable development—environment, economy and society. More specifically, they seek to redevelop the area into a livable and climate-friendly region while safeguarding the industrial location and promoting a green economy. In line with the regional objectives, Bottrop has set the ambitious goal of reducing its CO<sub>2</sub> emissions by 50% by 2020 while simultaneously enhancing the overall quality of life of its citizens.

## RUHR INITIATIVE GROUP: BUSINESSES INITIATING CHANGE

The Ruhr Initiative Group (Initiativkreis Ruhr) has played an important role in supporting the revitalization process since its establishment in 1989. It is a non-profit consortium of around 70 leading companies, including RWE, Siemens, Evonik Industries and Bayer MaterialScience. The association's main goal is to support the structural change of the Ruhr area in order to enhance the region's competitiveness and future viability. As an agent of change, the Ruhr Initiative Group focuses on the implementation of projects within the realms of education, energy, logistics and culture.

In 2010, the Ruhr Initiative Group launched a competition called *InnovationCity Ruhr*. Over a period of 10 years, the winning city would be turned into a model city for climate-friendly urban redevelopment and sustainable economic development for the entire Ruhr metropolitan area. With 16 competing cities and five finalists, the Ruhr Initiative Group's final decision fell on the city of Bottrop.



**Head**

Klaus Engel  
(Evonik Industries AG)

**Legal form**

Non-profit

**Founded in**

1989



# InnovationCity Ruhr: BOTTROP

Bottrop is a midsize city with a population of around 120,000 inhabitants. Economically and culturally, it is a typical part of the Ruhr area. In 2018, Bottrop's last remaining coal mine will be closed, putting an end to the coal business in the entire region. Given this background, the city of Bottrop started to advance the post-industrial redevelopment process relatively early. A sub-division for environmental protection was established in the 1980s, which triggered new activities in the field of energy, most notably through municipal energy management for public buildings. In 1997, the city administration launched its first Local Climate Concept. This was replaced by an Integrated Climate Protection Concept in 2011. In the same year, Bottrop joined the Covenant of Mayors, thus further emphasizing its commitment to reducing the city's climate change impact.

Bernd Tischler, Bottrop's lord mayor since 2009, has played a decisive role in taking up the revitalization challenge. With a background in urban planning and his previous role as Bottrop's first environmental officer, Mr. Tischler has continuously pushed the city's environmental and energy agendas forward and was the initiator, main operator and lead behind Bottrop's successful application to the InnovationCity Ruhr competition.



## bottrop.

Lord mayor

Land area

Local economy

**Bernd Tischler (since 2009)**

**1,200 km<sup>2</sup> (2012)**

**Services, logistics, industry  
and mining**

**120  
thousand**

## POPULATION

Bottrop is a midsize city with a population of around 120,000 inhabitants.



€ 330  
million

## MUNICIPAL BUDGET

(2013)

-50%  
CO<sub>2</sub>

## EMISSIONS

Bottrop has set the ambitious goal of reducing its CO<sub>2</sub> emissions by 50% by 2020

The main departments involved are the Department of Environment and Green Spaces and the Department for Civil Engineering and Urban Renewal. The Urban Planning Authority and the Office for Economic Development are further important entities.

In Bottrop's winning InnovationCity Ruhr competition application, the city proposed to transform seven districts encompassing 70,000 inhabitants and 14,000 buildings into a pilot area for climate-friendly urban development. To achieve this, its comprehensive proposal included many individual projects covering areas and measures such as retrofitting, energy, transport, industry and green spaces.

14,000  
buildings

## TRANSFORM

seven districts encompassing 70,000 inhabitants and 14,000 buildings into a pilot area for climate-friendly urban development.



# PUBLIC-PRIVATE COORDINATION: INNOVATION CITY MANAGEMENT

To manage and coordinate the 10-year-long project, the limited liability company Innovation City Management (ICM) was founded in 2011. ICM's five shareholders come from the public and private sphere: The Ruhr Initiative Group, the city of Bottrop, a local energy company, a real estate company and an industry and public sector consultancy. Similarly, the ICM team consists of the company's own employees as well as individuals from the private sector and Bottrop's administration. It thus combines urban planning experience with public administration knowledge and project management expertise.

ICM is the central steering body of the InnovationCity Ruhr project. Its many roles include project management, external communication and the provision of a connecting interface. ICM initiates, monitors and supports individual projects. To provide the services and solutions needed to implement the individual projects, ICM has organized networks of local craftsmen, architects and energy consultants. Additionally, it communicates with the public and engages them in the process. Through its Centre for Information and Consultation, it also provides households and businesses with individualized energy consulting services. Most importantly, however, ICM acts as a hub for exchange and a facilitator between the intervening stakeholders and actors from the various institutional spheres.



Director

**Burkhard Drescher**  
(since October 2011)

Legal form

**Limited liability**

Founded in

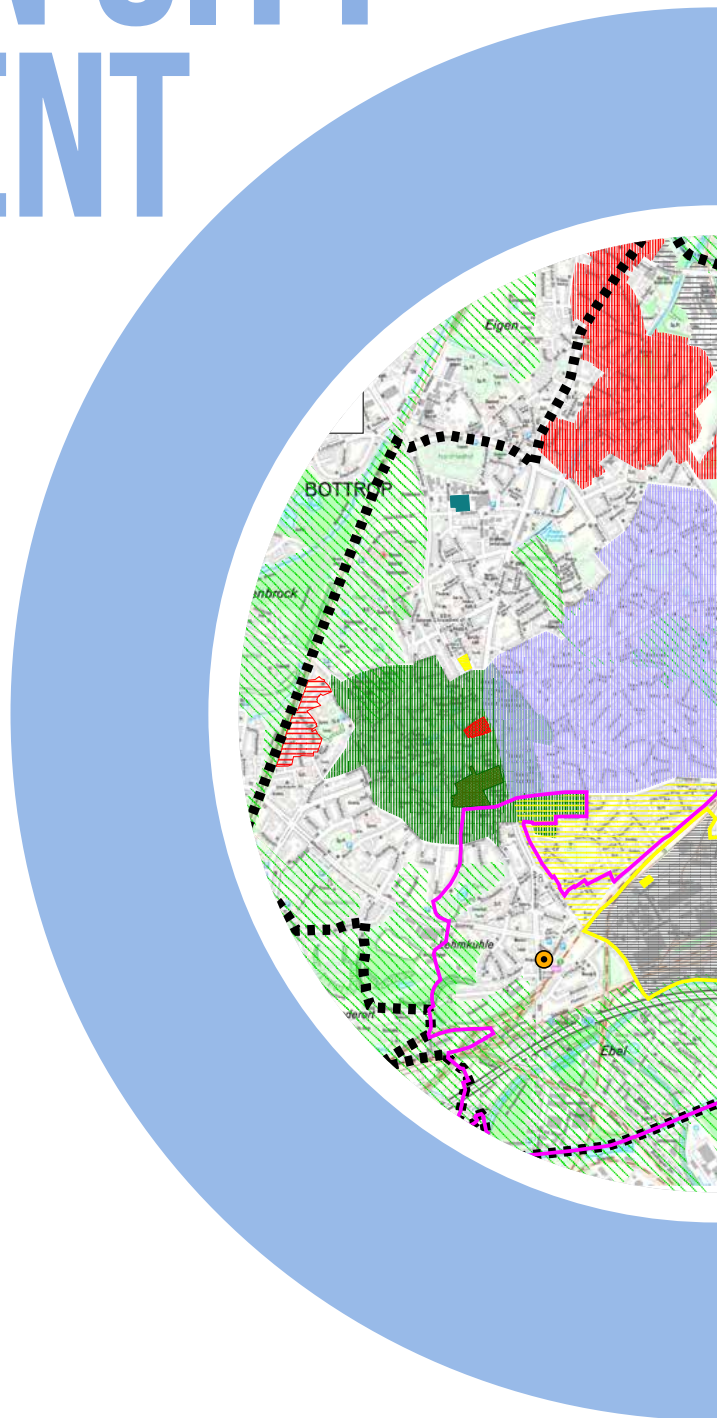
**2011**

Employees

**25**

Shareholders

**Ruhr Initiative Group (61%)**  
**City of Bottrop (10%)**  
**BETREM Emscherbrennstoffe (10%)**  
**RAG Montan Immobilien (10%)**  
**agiplan (9%)**



# STATE-LEVEL SUPPORT, ADVISORY BOARDS AND CITIZEN ENGAGEMENT



## Interministerial Working Group

Shortly after the selection of Bottrop as model city, an Interministerial Working Group was established to ensure support through public funding programs from the state-level ministries in North-Rhine Westphalia. Along with representatives from the State Chancellery and the Ministry of Economy and Transport, the Ministry of Environment and the Ministry of Innovation are also involved in the working group. The working group is moderated by the State Chancellery and meets four times a year.

## Industry Advisory Board

Since the project's inception, the Ruhr Initiative Group has supported Model City Bottrop with its industry expertise through an Industry Advisory Board. In addition to the 70 member companies, some 35 other companies are part of the board through their partnership agreements with ICM. About 40 representatives attend the quarterly meetings.

## Science Advisory Board

The participation of academia is facilitated by an interdisciplinary Science Advisory Board, which was established by ICM in 2013. The board is chaired by the Wuppertal Institute for Environment, Energy and Climate and consists of around 25 members from internationally renowned research centers such as the Fraunhofer Institute and regional universities including the University of Applied Sciences Ruhr-West. It meets quarterly with ICM and North Rhine-Westphalia's Ministry for Innovation, Science and Research to provide support in assessing and consulting on projects as well as identifying knowledge gaps and areas that require further research.

## Citizen engagement

Citizen involvement has been crucial in bringing the InnovationCity Ruhr project to Bottrop. More than 22,000 signatures were gathered and included in the application document. Since then, citizens have been involved in shaping the low-carbon redevelopment process through forums, workshops and other engagement processes.



CITY OF BOTTROP

# COLLABORATION PROCESS

Innovation City Management is the central oversight and coordination body of the redevelopment process. As the main ICM shareholder, the Ruhr Initiative Group provides financial support to ICM as well as private sector expertise through the Industry Advisory Board. Despite this affiliation, ICM operates as a stand-alone, independent entity.

As a primary instrument for decision-making, guidance and coordination between the various actors and projects, ICM established a project table that convenes every two weeks. It is chaired by Bottrop's lord mayor and is comprised of 35 representatives from ICM, Bottrop's municipality and the private sector. During the project table meetings, all InnovationCity Ruhr projects and proposals are reviewed, new ideas are generated and the overall project implementation is discussed. To ensure sound decision-making that is based on the latest scientific and private sector knowledge, the project table receives input from the quarterly meetings of the Industry Advisory Board and the Science Advisory Board (see figure 1, page 8).

Since early 2014, ICM's work has also been guided by Bottrop's comprehensive master plan consisting of a detailed analysis of the pilot area, individual project proposals, and a road map and time frame to turn InnovationCity Ruhr into reality.



COLLABORATION PROCESS



While ICM and the project table coordinate and track progress, most of the individual projects are carried out by its partners. For large-scale projects requiring substantial financial resources and state-of-the-art technology, one of the regional companies may take the lead. Smaller activities, such as the modernization of individual buildings, are typically carried out by local craftsmen, architects and energy advisers. In order to ensure high standards, ICM set up partner networks encompassing the local solution providers..

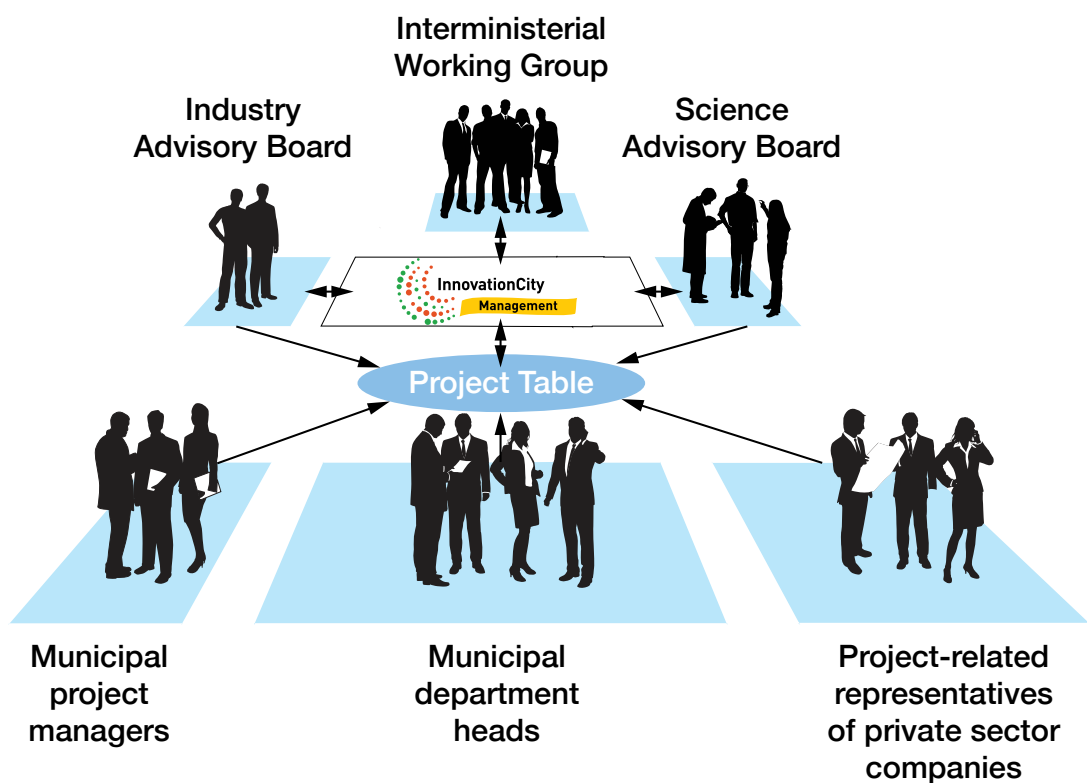
### Transparency and accountability

The InnovationCity Ruhr project's transparency and accountability are ensured by the multi-stakeholder structure and number of individuals involved in the project. Communication and the exchange of information between the various actors are facilitated by ICM. Despite its affiliation with the industry-led Ruhr Initiative Group, ICM acts as an autonomous and independent entity. This is further enhanced by the fact that five of the 25 employees are also part of Bottrop's administration. The community is kept well-informed through advertising campaigns, targeted events such as InnovationCity Day, and ICM's Centre for Information and Consultation.

The bi-weekly project table meetings ensure that all actors have the same level of information, thus enhancing transparency. Each project is discussed and approved by the project table before it can be initiated. The final decision regarding the suitability of a project remains with the lord mayor. This mechanism ensures that only those projects that are able to contribute to the overall objective of the initiative, that are in line with Bottrop's master plan and that act in the interest of the public are initiated.



Figure 1: Cooperation structure of InnovationCity Ruhr: Bottrop



# SCOPE OF COLLABORATION

The pilot area consists of seven districts located in the center of Bottrop. It encompasses an area of almost 2.5 hectares, 70,000 inhabitants and 14,474 buildings, and represents all facets of the Ruhr agglomeration: living and working, business and industry are closely interlinked and co-exist in a confined space.

The individual projects are divided into the following five fields of action, which are understood as open and guiding categories.

### **Living**

About 10,200 buildings in the pilot area are residential buildings, thus bearing a huge potential for efficiency gains through energy-related modernization.

### **Working**

Along with the refurbishment of commercial and industrial buildings, private sector efforts to increase energy efficiency and create synergies fall under this category.

### **Energy**

The energy field of action encompasses projects aimed at increasing the use of renewable energies while simultaneously enhancing efficiency and shifting towards decentralized energy production and storage.

### **Mobility**

Mobility-related measures seek to reduce CO<sub>2</sub> emissions as well as the air and noise pollution caused by the traffic sector. This is mainly done through the promotion of climate-friendly vehicles and a reduction in Bottrop's inner-city traffic volume.

### **City**

Projects within the city field of action encompass urban development measures, the creation of open and green spaces, and water management.

Activation is a sixth field of action that is not so much concerned with specific measures as with the comprehensive involvement of all stakeholders concerned. Through ICM's Centre for Information and Consultation, for example, building owners are able to receive a three-stage, low-cost consultation. The existence of ICM's partner networks ensures that the work carried out is of high quality.



# FINANCING



To implement such a comprehensive undertaking, large amounts of funding are required. Each individual project has its own financial model depending on its size, scope and focus. In the realm of retrofitting, for example, the costs may be covered by a combination of private investment by homeowners and financial support by a national incentive program. High-tech projects such as energy-plus buildings are often paid for by the regional companies leading the projects.

So far approximately 240 million euros have been invested, most of which has come from the private sector. The State of North-Rhine Westphalia, national ministries as well as the European Union constitute other important sources of funding.

ICM's start-up funding has been provided by the Ruhr Initiative Group. The non-profit consortium will continue to support ICM until 2017. Today, the company is mainly financed through its partnership agreements with the private sector, which are based on company turnover. In addition, the company generates its own stream of revenue through its consulting services and refines its rental costs through its year-round *Marketplace Climate Protection* exhibition area showcasing the newest climate change solutions.



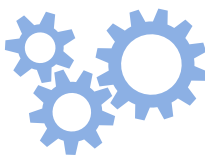
# PROJECTS AND OUTCOMES

Since 2010, more than 200 individual projects have been initiated and an additional 170 will be implemented in the run up to 2020. Concrete outputs include the modernization of 978 buildings by 2013. This translates into a refurbishment ratio of 7.82%—an impressive achievement compared to the average German rate of 0.9%. The following examples portray the diversity of measures taken in terms of scope and stakeholder involvement.



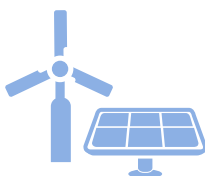
## **Energy-plus buildings**

The three Zukunftshäuser+ (future home plus) projects are Bottrop's flagship projects in the realm of energy-related modernization. Supported by industry partners, three types of existing buildings—detached houses, apartment houses and commercial premises—were retrofitted to become energy-plus buildings, meaning that they produce more energy than they actually consume. Moreover, a newly constructed residential building has become North-Rhine Westphalia's first energy-plus house in the social housing sector, providing a home for six families.



## **Energy self-sufficient commercial building**

Through the installation of more than 1,500 square meters of photovoltaic panels, the local metal processing company Technoboxx has developed into an energy self-sufficient company. Operating under the motto "sun welds steel", the company produces 60,000 kWh/year. Since this amount exceeds its yearly requirements, Technoboxx plans to install an energy storage system. CO<sub>2</sub> emissions are further reduced by a heating and water heating system powered by renewable raw material pellet technology.



## **100 cogeneration systems in Bottrop**

Within the framework of the EU-funded project "100 Cogeneration Systems in Bottrop", 100 combined heat and power systems were installed in residential and commercial buildings that constitute a representative cross-section of buildings in Germany. The systems are being closely monitored in their daily use in order to optimize their operation. Cogeneration systems can increase the efficiency of energy production by 90%.





### **Sustainable routing of trucks**

A sustainable route concept was established that optimizes the accessibility of commercial and industrial areas for heavy-goods traffic. Based on the data collected on road restrictions and route suitability, the trucks are safely and quickly directed by their navigation systems along environmentally compatible routes to the business locations. Delays caused by unavoidable detours and difficult traffic conditions have been eliminated as a result of the project.



### **Rainwater management**

Instead of using valuable potable water to clean Bottrop's streets and public spaces, the city has shifted to rainwater. It is collected from the roofs of Bottrop's waste management depot and cleaning authority buildings and used to fill municipal road sweepers.

Bottrop's master plan—a 1,300-page document commissioned by ICM—constitutes another important outcome of the collaboration and a key guiding document. Over a period of 18 months, a comprehensive analysis of the social and infrastructural elements of the pilot area was undertaken. Along with outlining the districts' potential for climate-friendly redevelopment, it provides a detailed account of each project. It thus provides the foundation for technical and process-related innovation as well as a roadmap and timetable for the coming years. Moreover, an innovation handbook was published on the basis of the master plan. It provides guidelines and best practices from the InnovationCity Ruhr approach to demonstrate its replicability and make the model accessible to other cities.

# **FUTURE AND ADDITIONAL COLLABORATION**

Since the project's start in 2010, the planning and implementation of InnovationCity Ruhr has been an evolving process. As a result, additional projects and collaboration activities continue to emerge on a rolling basis, particularly between ICM and its partner network of local and regional solution providers. Moreover, collaboration between the private sector and academia will be strengthened in 2015 by connecting the Industry Advisory Board and the Science Advisory Board.

ICM offers its expertise to other towns and cities in the form of management services to support the replication of the InnovationCity Ruhr model in other cities. Several studies and research projects are currently being undertaken to examine how other regions can benefit from Bottrop's approach. One concrete spin-off project is the energy-efficient modernization of a district in Mülheim-Heißen initiated by Ruhr's regional economic development agency. Similarly to Bottrop's ambitious goal, Mülheim-Heißen seeks to halve its CO<sub>2</sub> emissions by 2030.



# CURRENT STATE OF PROGRESS

A mid-term review of InnovationCity Ruhr is currently being undertaken and is expected to be published during the second half of 2015. Despite the lack of concrete numbers, however, the project can already be deemed successful. In fact, Model City Bottrop has gained national and international recognition for its comprehensive city-business approach to low-carbon city redevelopment. It has won numerous awards, including the German Sustainability Award 2013. In 2014, Bottrop became the first local government to be awarded a prize by the German CSR Forum. The InnovationCity Ruhr project demonstrates how the challenges of deindustrialization and climate change can be addressed and, in fact, turned into opportunities benefitting the environment, society and the local and regional economy.

## **Environment**

There are still five years left to see if the ambitious target of a 50% reduction in CO<sub>2</sub> emissions can be achieved. However, 200 individual projects have already been initiated, some of which have even been completed, and an additional 170 will be added over the next few years. Moreover, the initiative's progress and performance are continuously being tracked and evaluated. This ensures that corrective measures can be taken and necessary alterations can be made in a timely manner in order not to compromise the success of InnovationCity Ruhr.

## **Society**

Measuring and quantifying the project's impact on overall quality of life is complex. Therefore, the Wuppertal Institute has been commissioned to develop suitable metrics. While these are not in place yet, several individual projects have already yielded tangible results. For example, the promotion of electric vehicles and the creation of additional green space constitute two specific measures reducing traffic-related pollution and providing recreational public areas and thus contributing to the goal. Overall, continuous community engagement efforts have ensured that the seven pilot districts are turned into an area in which Bottrop's citizens want to live.

## **Economy**

New opportunities for local businesses and regional companies have been created. Local energy professionals, architects, designers and craftsmen provide consulting services and technical skills such as the preparation of expert reports, thermographic analyses, installation of photovoltaic systems and planning of building renovations. To plan and execute large-scale projects such as the linking and optimization of industrial and residential energy systems, expertise and resources are drawn from the region's leading companies and research institutes.



## **Regional redevelopment**

The overall objective of creating a replicable model transferrable across the entire Ruhr metropolitan area has been advanced most notably by the creation of a master plan and innovation handbook. By providing concrete project examples as well as good practices and guidelines, both documents ensure that the knowledge and experience gathered in Bottrop can be accessed by other cities as well. Indeed, other areas in the region have already taken up and implemented similar projects.

# ANALYSIS





The InnovationCity Ruhr project is a unique institutionalized project management and multi-stakeholder collaboration process unprecedented in scope, size and structure. Initiated by the region's leading companies and brought forward by Bottrop's political leadership, collaboration between the private and the public sector has been close from the beginning. In addition, civil society and research institutes play a significant role in bringing local knowledge and scientific expertise to the table.

Dialogue and cooperation between the various stakeholders are enabled mainly through ICM and the project table with its advisory boards. These institutions facilitate communication and provide a goal-oriented platform for exchange.

Model City Bottrop is therefore not only a living laboratory for low-carbon redevelopment; it is also a novel approach to multi-stakeholder engagement and particularly cooperation between the private and the public sector.

## SUCCESS FACTORS

The creation of a shared vision and objective has been most important in establishing and maintaining the collaboration. Addressing climate and structural change is important to all stakeholders involved. After all, political will combined with an engaged citizenry provided the rationale for bringing the InnovationCity Ruhr project to Bottrop. Moreover, the Ruhr metropolitan area is home to a significant number of businesses that have an interest in promoting innovative and green economic development in the region.

The establishment of ICM and the project table has been crucial to enabling and facilitating the collaboration. As an autonomous entity, it serves as a platform for exchange and a central focal point for its partner networks and different stakeholder groups. Moreover, ICM acts as a mediator in case of conflicts or disagreements.

In addition, continuing support from the regional, national and European Union level emphasizes the importance of this unique city-business collaboration.

## CHALLENGES ENCOUNTERED

While ICM has proven to be crucial to the InnovationCity Ruhr process, its establishment at first led to uncertainty and confusion. With only vaguely defined roles and unclear task profiles, a certain skepticism emerged among parts of the community and public authorities. The private sector remained reluctant to commit to projects. After a change in management, clear organizational structures were established. As a result, internal processes became more efficient and external communication and interaction with stakeholder groups more professional. These improvements built confidence in the newly established organization, which in turn triggered private sector commitment.

Since the inception of the project, several other structural changes have taken place in an effort to improve the InnovationCity Ruhr process and

enhance stakeholder collaboration. The addition of the Science Advisory Board is but one example. Throughout the process, different concepts and measures have been tried and tested, some of which were adopted and some of which were dropped. It is this constant assessment of needs and willingness to change that enable the parties involved, particularly ICM, to overcome challenges.

## LESSONS LEARNED

- It has been crucial to establish a **shared vision** combining public and private interests and providing a rationale for and benefits of collaboration.
- A **project office** that serves as a focal point for interaction and a facilitator for engagement has proven of utmost importance to driving the collaboration and project forward.
- The legitimacy of the city-business collaboration has been achieved by **institutionalizing** their interaction through structured and facilitated mechanisms.
- Building **interdisciplinary alliances** and **networks of partners** has been important to sharing knowledge and creating synergies.
- A **detailed plan** and **timeline** have helped to guide the collaboration and make sure that goals can be tracked.
- Continuous **evaluation** of and **adjustments** to the process and collaboration have ensured that challenges are addressed as soon as they arise.

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# IMPRESSUM

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The World Business Council for Sustainable Development (WBCSD), a CEO-led organization of some 200 forward-thinking global companies, is committed to galvanizing the global business community to create a sustainable future for business, society and the environment. Together with its members, the council applies its respected thought leadership and effective advocacy to generate constructive solutions and take shared action. Leveraging its strong relationships with stakeholders as the leading advocate for business, the council helps drive debate and policy change in favor of sustainable development solutions.

The WBCSD provides a forum for its member companies - who represent all business sectors, all continents and a combined revenue of more than \$8.5 trillion, 19 million employees - to share best practices on sustainable development issues and to develop innovative tools that change the status quo. The council also benefits from a network of 70 national and regional business councils and partner organizations, a majority of which are based in developing countries.

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ICLEI - Local Governments for Sustainability is the world's leading network of over 1,000 cities, towns and metropolises committed to building a sustainable future. By helping our Members to make their cities sustainable, low-carbon, resilient, biodiverse, resource-efficient, healthy and happy, with a green economy and smart infrastructure, we impact over 20% of the world's urban population.



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