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The Andacollo's Mining Community: Ethnographic Work-Based Approach to Corporate Social Responsibility Policies and Practices

Ubirata de Oliveira
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Walden University

College of Management and Technology

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Ubirata De Oliveira

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Walden University
2017

Abstract

The Andacollo's Mining Community: Ethnographic Work-Based Approach to Corporate
Social Responsibility Policies and Practices

by

Ubirata de Oliveira

MBA, University for International Cooperation, 2006

BEng, University of Sao Paulo, 1976

Dissertation Submitted in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Philosophy

Management

Walden University

May 2017

Abstract

This ethnographic study was designed to explore the phenomenon of corporate social responsibility (CSR) in the mining industry. The research addressed the impacts of a problematic, systemic, and ethnocentric (top-down) CSR approach driven by a transnational mining company, and proposed a novel cultural relativist (bottom-up) CSR approach looking at the social needs of the community. Solving the problem stemming from the ethnocentric approach is important for both the mining company and the community affected by the CSR program, as it will alter dynamics between actors and mitigate social conflicts. The purpose of this study was to investigate factors that improve the fractured relationship between the community and the mining company and put its social license to operate at risk. The mitigation of social conflicts is needed for the mining corporation to maintain its social license to operate in a harmonic and collaborative mining-community relationship. The research question was designed to gather the perceptions of corporate leaders and community members in Chile's Andacollo mining area regarding the imbalance between the ethnocentric and cultural relativism perspectives adopted in CSR policies and practices. A purposive sample of 30 subjects was interviewed to collect data regarding their perceptions that were then categorized, coded, and interpreted using an inductive approach and thematic networks. The research findings showed that improvements in CSR practice are likely to result from the mining company placing emphasis on the social dimension. A shift from a top-down to a bottom-up CSR approach will contribute to the reduction of social conflicts, build a socially sustainable setting, and foster positive social change with benefits for the society.

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Dedication

I dedicate this study to my treasured parents, beloved wife, and fascinating sons.

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Table of Contents

| | |
|---|------|
| List of Tables | vii |
| List of Figures | viii |
| Chapter 1: Introduction to the Study..... | 1 |
| Opening Statement..... | 1 |
| Background of the Study | 2 |
| Research Problem | 5 |
| Problem Statement..... | 8 |
| Purpose of the Study | 11 |
| Purpose Statement..... | 12 |
| Research Questions..... | 13 |
| Conceptual Framework..... | 14 |
| Nature of the Study | 26 |
| Qualitative..... | 26 |
| Definition of Terms..... | 28 |
| Assumptions..... | 33 |
| Scope | 36 |
| Delimitations..... | 38 |
| Limitations | 44 |
| Significance of the Study | 47 |
| Contribution to Social change..... | 49 |
| Summary and Transition..... | 50 |

| | |
|--|-----|
| Chapter 2: Literature Review | 53 |
| Introduction..... | 53 |
| Literature Search Strategy..... | 53 |
| Critical Analysis of Current Research | 55 |
| The Andacollo Mining Community..... | 56 |
| State of the Art of Ethnographic Studies | 59 |
| The Leadership Component of the CSR Process..... | 69 |
| Organizational and Social Change and Their Relationship with CSR | 83 |
| Contemporary CSR Practices Within the Mining Industry Worldwide | 89 |
| Aligning CSR With the TBL | 116 |
| A Brief Discussion About Culture..... | 117 |
| Cultural Relativism..... | 121 |
| Summary and Conclusions | 124 |
| Chapter 3: Research Method..... | 129 |
| Selection of the Research Methodology | 129 |
| Research Design and Approach..... | 133 |
| Research Design..... | 139 |
| Research Approach..... | 141 |
| Research Setting and Sample..... | 142 |
| Data Collection | 148 |
| Data Analysis, Storage, and Management..... | 154 |
| Data Reduction..... | 155 |

| | |
|---|-----|
| Layout and Data Processing..... | 156 |
| Coding..... | 157 |
| Data Presentation and Reporting Plan | 158 |
| The Roles of the Researcher | 159 |
| Threats to Quality and Credibility | 160 |
| Research Feasibility and Effectiveness..... | 162 |
| Ethical Concerns | 164 |
| Dissemination of Research Findings | 167 |
| Summary | 168 |
| Chapter 4: Results..... | 172 |
| Introduction..... | 172 |
| Pilot Study..... | 173 |
| Research Setting..... | 177 |
| Demographics | 178 |
| Data Collection | 181 |
| Data Analysis | 185 |
| Phenomenon..... | 189 |
| Causal Conditions | 190 |
| Context..... | 191 |
| Intervening Conditions..... | 192 |
| Intervention Actions Strategies..... | 193 |
| Consequences..... | 194 |

| | |
|--|-----|
| Evidence of Trustworthiness..... | 194 |
| Credibility | 194 |
| Transferability..... | 195 |
| Dependability | 196 |
| Confirmability..... | 197 |
| Study Results | 198 |
| Horizontal Relationships..... | 199 |
| Vertical Relationships..... | 200 |
| Vertical and Horizontal Relationships | 202 |
| Summary of Findings: Concept Map..... | 225 |
| Summary | 227 |
| Chapter 5: Discussion, Conclusions, and Recommendations..... | 231 |
| Introduction..... | 231 |
| Interpretation of the Findings..... | 233 |
| Phenomenon..... | 234 |
| Causal Conditions | 235 |
| Context..... | 238 |
| Intervening Conditions..... | 241 |
| Intervention Action Strategies | 244 |
| Consequences..... | 245 |
| Summary of the Interpretation of Findings..... | 248 |
| Limitations of the Study..... | 249 |

| | |
|---|-----|
| Recommendations..... | 251 |
| Implications..... | 254 |
| Conclusion | 259 |
| References..... | 260 |
| Appendix A: Conceptual Framework Concept Map | 277 |
| Appendix B: Interview Script..... | 278 |
| Appendix C: Interview Script Matrix | 283 |
| Appendix D: Interview Script..... | 284 |
| Appendix E: Interview Script Matrix | 289 |
| Appendix F: Interview Script..... | 290 |
| Appendix G: Interview Script Matrix | 295 |
| Appendix H: Observational Protocol..... | 296 |
| Appendix I: Sample Demographics - Group A..... | 301 |
| Appendix J: Sample Demographics - Group B..... | 302 |
| Appendix K: Sample Demographics - Group C | 303 |
| Appendix L: List of Network Codes..... | 304 |
| Appendix M: Relationship between Codes and Conceptual Framework | 306 |
| Appendix N: Phenomenon Network Diagram..... | 308 |
| Appendix O: Causal Conditions Network Diagram | 309 |
| Appendix P: Context Network Diagram..... | 310 |
| Appendix Q: Intervening Conditions Network Diagram..... | 311 |
| Appendix R: Intervention Action Strategies Network Diagram..... | 312 |

Appendix S: Consequences Network Diagram.....313

List of Tables

Table 1. Thematic Topics – Horizontal and Vertical Relationships 198

List of Figures

| | |
|---|-----|
| Figure 1. Carroll's pyramid model..... | 107 |
| Figure 2. Research concept map..... | 136 |
| Figure 3. Coding concept map..... | 186 |
| Figure 4. Data collection and interpretation concept map | 188 |
| Figure 5. Emic and cultural relativism approaches to CSR concept map..... | 199 |
| Figure 6. Ethnocentric perspectives of CSR policies concept map | 201 |
| Figure 7. Vertical and horizontal relationship concept map..... | 202 |
| Figure 8. Summary of findings concept map..... | 226 |

Chapter 1: Introduction to the Study

Opening Statement

My objective in this exploratory qualitative study was to describe and interpret, through the adoption of social constructivism and participatory worldviews, how a culture-sharing group perceives and reacts to corporate social responsibility (CSR) development initiatives. For the conceptual framework, I used sociocultural perspectives, social systems theories, and leadership and social change models, with focus on the community perceptions part of the CSR program of a transnational mining company. I expect that the study will assist policy-makers and decision-making corporate members when deliberating about institutional social development programs by providing additional perspectives and concepts considered valuable for a successful CSR planning. The outcomes of the study will contribute to the knowledge base in the professional mining field and will produce a positive impact on both social and organizational change, as they will be applicable and contribute to best management practices.

I have organized this chapter into six major sections. I first summarize the research literature and describe the knowledge gap, and then introduce the research problem statement, the purpose of the study, and the research questions. Next I describe the conceptual framework and define the key concepts that grounded the study. I then discuss the scope of the study with its delimitations, assumptions, and limitations, and close with a discussion of the potential contributions to social change and a chapter summary.

Background of the Study

In the last two decades, CSR discourse and practice at large has taken an increasing orientation towards social development initiatives but not an adequate alignment with sociocultural perspectives and the relevant aspects of social change and social relativism. I found that there was a need for a more inclusive and participatory process with the communities being impacted by mining projects, concerning their particular socially sustainable needs. To explore social needs, community perceptions, and social values involved in the relationships between mining companies and the community, it was necessary to adopt an emic-etic approach in my research. I determined that given the corporate sustainability, corporate social responsibility, sustainable development, social impact, and the sociocultural needs core research themes, such approach was possible.

Currently, most practitioners use CSR as a productive system, with all its normative and standardized set of fixed rules and functions, which have not left the necessary space for the dialogue among the stakeholders. It became apparent, through the literature review, that mining companies have acted purposely to silence the communities' critiques concerning the results of the social development actions embedded in their CSR plans. I sought evidence that the villagers impacted by mining operations and their local cultures are being disregarded, a problem that has occurred over the past years within the mining resource exploitation sector around the world. I discuss these core research themes further and at depth, with proper references, in Chapter 2.

In this regard, ethnographic researchers aim to offer socially integrating views that open room for societal change throughout leaderships and social cohesion. I used ethnographic research and adopted socio-anthropological methods and techniques, more specifically participant observation and in-depth interviews, with a view from the social sciences perspective, to open a new field of collaboration between mining companies and the affected communities. I sought to understand how mining companies and communities have been interacting all these years, and the resulting outcomes of those interactions were. Ultimately, I sought a new CSR paradigm, which encourages more involvement between stakeholders and new productive and socially sustainable development scenarios for both the mining companies and the communities.

I identified philanthropy as the most prominent CSR practice amongst the community development initiatives because it has been developed and implemented by the transnational mining companies around the world. I developed my understanding of this CSR aspect by delving into recent CSR literature (Cronjé & Chenga, 2009; Lozano, 2015; Kemp, Owen & Graff, 2012; Owen & Kemp, 2014b; Rego, Cunha, & Polonia, 2015; Yakovleva & Vazquez-Brust, 2012; Yang, Colvin, & Wong, 2013). I found that mining companies have worked with the communities in a vertical, top-down fashion, only informing the communities about their processes and performing acts of material assistance within the community as the companies see fit (e.g., schools, health, and sports centers, among others). More recently, the main concern for the mining companies has turned towards environmental care, after the cataloging of environmental resources as a scarce asset (e.g., air, water, land), and companies have pursued a strategy whereby the

community would recognize them as practicing green or ecological policies. In both scenarios, the design and implementation of CSR policies follow four limited and well-established standard dimensions: economic, legal, ethical, and philanthropic.

All the existent CSR models emulate Carroll's pyramid model, which was later revisited by Visser (2006), and further studied by others (Geva, 2008; Yokovleva et al., 2012; Zu, 2014). Carroll's emblematic four-layered CSR pyramid model, presented in Figure 1, is of general application for all industry fields and is not specific to the mining industry. It is important to note that my literature search for current CSR policies and practices worldwide did not returned any research involving the sociocultural dimension, as I have undertaken in this study.

It was found that none of the currently known CSR dimensional models have taken into account the sociocultural dimension involved in the CSR process. It is precisely at this level of analysis that there was knowledge gap, which I intended to address and investigate. I approached and investigated the sociocultural dimension from a social constructionist perspective, and sought to understand CSR from the perspective of the language, artifacts, traditions, and folklore of the community members of the Andacollo mining town, in the Coquimbo County, Republic of Chile, in South America.

I explored the views of the population of Chile's Andacollo mining area, regarding the CSR program of a multinational mining company, adopting a straightforward face-to-face dialogue aimed at building a new social relationship characterized by closeness and connection with the participants. For the study, I recognized the community as a social actor, an entity that bears an opinion and has duties

and rights, which should be acknowledged and regarded by the mining corporate governance. My goal was that the study would contribute to the body of knowledge by filling a gap in the research literature related to the mining industry, and by offering recommendations for the improvement of the CSR policies and practices, taking into account the sociocultural dimension.

The selected peer-reviewed articles were relevant for the review from a critical-ethical perspective, and informed my discussion of current CSR policies and practices at large. In the literature review I discuss Carroll's CSR pyramid model, social and corporate sustainability, and the assessment of CSR as a social system and its relationship with cultural development. The critical review of the CSR literature indicated the need to align CSR with the triple bottom line (TBL), suggesting a gap in the literature field and in the current CSR policies and practices. The TBL framework aims at balancing business profitability on one hand, with environmental preservation and the social needs of the communities of place (or impacted communities) on the other hand.

Research Problem

There are systemic challenges in CSR that need to be addressed in light of the different approaches and processes adopted by the different industry sectors worldwide. Said challenges are the result of the current vague and volatile nature of CSR, as noted by Dolan, Garsten, and Rajak (2011). The global corporations are still embracing these outdated doctrines, concepts, strategies, and approaches embedded in cultural narrowness, and more importantly, that they are struggling to adapt their CSR governance to dynamic and ever evolving social systems.

Compounding the problem even further is the fact that CSR has become more a component of the corporate risk management matrix rather than an agent of social adaptation and transformation. Harvey (2014) indicated that the social development component of the CSR principle is “fundamentally flawed” (p. 7). Other have noted that “CSR has become a fashionable term” (Cronjé & Chenga, 2009, p. 419) and a broadly contested concept.

In addition, there is a need to rethink leadership approaches to CSR in order to affect a paradigm change in respect to new constructs and concepts more in line with current societal needs and priorities. New forms of leadership should be asking the hard question and looking for answers regarding questions about what the objectives are of a sound and sustainable CSR policy. In this sense, leaders of transnational companies need to be more culturally sensitive to different contexts, and need to review CSR governance accordingly. Zu, Li Zhao, and Li (2014) highlighted that CSR at large is lacking cognitive level, and pointed out, “CSR is characterized by temporal dynamics due to changes in corporate capacity, operating contexts, and stakeholders’ expectations” (p. 2116), setting the foundations for improvements in the field.

The general research problem that I explored was the imbalance between ethnocentrism and cultural relativism perspectives adopted in CSR policies and practices worldwide caused by the current industry top-down approaches. The research problem is related to the current CSR approaches driven mostly by philanthropic initiatives designed to compensate for the affected community’s material needs. I narrowed the research problem to the sociocultural needs of the Andacollo mining community in the Republic

of Chile, which was impacted by sustainable CSR programs developed in the area. I selected this community due to my professional practice in the area and the knowledge gained about the local social needs assessment, which must be considered in an immediate fashion. The Andacollo mining community has unique subsets of the general research problem and in respect to the study outcomes, I expect that the research findings will contribute to the knowledge base in the CSR field at large, and potentially for similar situations beyond this particular community.

The specific research problem I explored was the perceived lack of sociocultural approach, or the absence of the sociocultural dimension, in current CSR policies and practices when it comes to incorporating sociocultural needs into the social development program for the mining community of Andacollo, Chile. In its CSR policies, the transnational mining company is not looking into sociocultural needs, and in Cronjé et al. (2009) words, “social responsibility and sustainable development do not reach the communities” (p. 413). This aspect was a driver of research for this study since there is a perceived need for studies embracing the ethnographic research paradigm in mining (Kemp & Owen, 2013).

I also explored a secondary problem directly linked to the specific research problem, namely the perceived gap between CSR policies and practice identified in the corporate sustainability and social responsibility literature. As stated by Hilson (2012), “the exact function of CSR in the sector remains unclear, and even less so in the case of operations based in developing countries” (p. 133). I designed the study to explore and

fill said gap by proposing an adequate CSR discourse that addresses not only basic human needs but also sociocultural needs (see Cronjé et al., 2009).

Adopting a single-sited short-term exploratory ethnographic research design with semi-structured in-depth interviews, I explored the sociocultural needs of an identified cultural group with the aim of understanding how the culture-sharing group perceived and reacted to current CSR policies and practices. The literature I reviewed (Cronjé & Chenga, 2009; Rolston, 2015; Yakovleva & Vázquez-Brust, 2012) indicated that CSR policies scarcely consider the sociocultural factors and contextual complexities when implementing social development programs for communities in the areas of influence of mining projects. The target mining community (unit of analysis) was Andacollo, Chile, which is currently impacted by a specific institutional social development program implemented by a transnational mining company operating in its area of influence. The dissertation driver was my quest for an adequate CSR proposal which does not only focus on basic human needs, but also on the sociocultural needs (Kemp, 2010; Yakovleva & Vazquez-Brust, 2012) of the Andacollinos—the name given to inhabitants of the Andacollo town and the cultural group object of this dissertation.

Problem Statement

The specific research problem that I explored in this study is the scarce contextualization given to the Andacollo community's sociocultural needs in an institutional CSR program, which causes social conflicts stemming from the ethnocentric approach to CSR policies and practices adopted by the transnational mining company.

The problem statement is underwritten by my contention that it is plausible to address the current CSR policies and practices within the Andacollo community, given the current context of the policies' ethnocentric top-down designs. Bjerregaard & Luring (2013) postulated, "More research is needed concerning how CSR concepts are translated and practiced locally within particular organizations" (p. 131). Chia (2011) argued that transnational mining companies should encourage sustainable community practices by contemplating sociocultural needs as an unavoidable component of the realization of community objectives. Banks et al. (2013), in their investigation of specific sociocultural aspects, argued that mining corporations should embrace the inherent forms of social development with a more responsible CSR approach with clearer motives and greater involvement of the communities. Moreover, Hinojosa (2013) posited, "it is through empowering individuals and communities that relationships with the mining sector can be significantly improved" (p. 434).

Existing research has shown that the CSR approaches adopted by companies are driven towards philanthropic initiatives (Cronjé & Chenga, 2009; Rolston, 2015; Yakovleva & Vázquez-Brust, 2012; Walsh, 2011). These initiatives are designed to compensate for material needs rather than the preservation and dissemination of a group's cultural heritage as part of a holistic and harmonic sustainable development program. The qualitative research methodology and the ethnographic inquiry design I adopted for the study enabled me to address the central phenomenon (sociocultural needs) with a focus on social development initiatives. When disregarding the sociocultural needs within the context of the CSR current policies and practices, the transnational mining

company poses a problem that affects the mining community of Andacollo. A key factor contributing to this problem is the imbalance between ethnocentric (top-down) and cultural relativist (bottom-up) perspectives adopted in current CSR policies and practices in the mining industry both worldwide and, more importantly, locally.

I sought to bridge such knowledge gap in the literature and professional practice through a focused study addressing the tangible and intangible values of the sociocultural needs of those community members impacted by a mining project operating in their area of influence. I expect that additional research on the topic will not only add to the knowledge base of the literature in the field but also, more importantly, will bring valuable benefits for all stakeholders, adding balance to the system dynamics. The findings in the study bear the potential to contribute to a more dynamic and integrated social context, and to indicate needs for future research related to CSR policy-making and practices. I posited that the potential benefits at individual (micro) and group and community (macro) levels are:

- Improving the relational dynamics between company and community with consequent reduction in social conflicts, which is a positive change for both social actors.
- Acquiring and maintaining the social license to operate, which is a positive change for the transnational mining company.
- Fostering initiatives toward the preservation of the sociocultural patrimony, which is a positive change for the community and society.

- Adding to the community's sociocultural archive using additional research (e.g., ethnography, case study, action research) on the topic, which is a positive change for the community and society.
- Improving professional practice in the CSR field, which is a positive change for transnational mining companies and academic-practitioners.

Purpose of the Study

The purpose of the study was to investigate the scarce sociocultural considerations involved in the CSR policies and practices of a transnational mining company in the context of the Andacollo mining community. I investigated the potentialities of a CSR program with the aim of expanding the knowledge base in the mining field. I expect that the findings of the study may bring about elements for improvements in the adequacy and outcomes of the CSR program and models of social development. As an additional contribution, the study includes elements that can be used for the optimization of the lines of approach and engagement rules between the mining company and the community, and for the design of policies for sustainable social development more aligned with the community's social needs.

The pragmatic purpose of the research was to address the lack of sociocultural and contextual considerations in the scholarly literature on CSR and sustainable social development policy-making within a specific mining context. I undertook this study to offer recommendations for optimizing a CSR development program, to fill a gap in the scholarly literature concerned with sustainable CSR development programs, and to expand the body of knowledge on CSR related to work-based research. I expect that the

research findings will improve the adequacy and outcomes of the CSR development models and programs and models of social development. The study will assist policy-makers and decision-making corporate members when deliberating about institutional CSR sustainable development programs by providing additional perspectives and concepts for a successful CSR program planning. Finally, I hold that the findings of the study will bring additional and higher benefits for the individual community members and the cultural group as a whole.

Purpose Statement

The purpose of this exploratory qualitative ethnographic study was to investigate the basic sociocultural needs of the Andacollo's community members, affected by an institutional CSR program implemented in the area of influence of the mining operation, while interpreting the views of CSR policy-makers. I sought to describe and interpret, from a cultural relativism perspective, how a culture-sharing group perceived and reacted to the ethnocentric CSR initiatives, seeking for a pragmatic alignment between top-down and bottom-up approaches.

I used an exploratory, single-sited, short-term ethnographic research approach using semi-structured in-depth interviews and an inductive interpretative process, supported by a social constructivist and bottom-up participatory perspective. In Chapter 3, I offered a research concept map, which I used to understand the study by mapping the research problem, conceptual framework, research design and approach, and the study outcomes. When undertaking the study, I expected that the research design had addressed the general and specific research problems, and answered to the research

questions. I used the ethnographic research design to explore the lack of a sociocultural approach in current CSR policies and practices when it comes to incorporating sociocultural needs into CSR development programs. Specifically, I studied the sustainable CSR development program implemented in the Andacollo community in the Republic of Chile.

Research Questions

As part of the research strategy, I developed several conceptual questions that emerged from research themes. I designed the central question regarding sociocultural development perceptions amongst the inhabitants of the town of Andacollo, seeking to identify elements I could use to understand what sustainable CSR development means, from a culture-centered perspective, for a community member impacted by the mining operation. I designed the sub-questions seeking to investigate the perspectives of relevant actors in the different clusters (strata) of the community, and of the corporate executives as well. My review on contemporary literature (Alsaawi, 2014; Elo, Kaariainen, Kanste, Polkki, Utriainen, & Kyngas, 2014; Olive, 2014; Claasen & Roloff, 2012; Urban & Koh, 2013; Walsh, 2011; Welker, 2016) provided support to the sub-questions.

The central question was:

What are the perceptions of conflict existing between the institutional CSR policies and practices of a transnational mining company and the mining community's sociocultural needs in the Andacollo mining area, in the views of community members and corporate leaders?

The sub-questions were:

SQ1 (emic perspective): How do the Andacollo mining community members being investigated perceive the CSR program in respect to its sociocultural needs?

SQ2 (etic perspective): How do the transnational mining executives understand CSR policies and practices from a leadership and organizational change perspective in respect to the community's sociocultural needs?

Conceptual Framework

I understood the conceptual framework to be an analytical tool I could use to make distinctions amongst different research concepts, and to provide a comprehensive understanding of the phenomena investigated. As Miles and Huberman (2014) noted, a conceptual framework “lays out key factors, constructs, or variables and presumes relationship among them” (p. 440). In this sense, a conceptual framework is not a merely collection of core concepts, but rather, a construct in which each selected concept plays an integral role. The conceptual foundations I adopted in the conceptual framework assisted with and provided support to my interpretation of the core research themes. I made vertical and horizontal associations as part of the post data analysis using the lenses of the conceptual foundations. In other words, I chose a select set of conceptual foundations and used them to understand the effects of the core research themes.

The conceptual framework I adopted for the study included a set of four conceptual foundations (perspectives, models, paradigms, and theories) and relevant foundational concepts (research core themes). I discuss the five research core themes I

selected (CSR, social sustainability, sustainable development, social impact, sociocultural needs) individually in Chapter 2. I selected four conceptual foundations including emic-etic and cultural relativist perspectives, leadership models, social and organizational change paradigms, and structural-functional theory. I selected said themes and conceptual foundations based on the convergence of such themes during the literature review. Also, the literature review in the field introduced me to arguments and conceptual support, which led me to assume that these interrelated core themes and paradigms strengthen the interaction processes and the sustainable social community development while fulfilling social needs and preserving cultural heritage.

The conceptual framework I adopted was paramount for the development of the core themes of the research associated with CSR and the sociocultural needs of the Andacollo mine area. These conceptual foundations are relevant to the study of CSR given the imbalance between the ethnocentric and the cultural relativist approaches towards sociocultural needs adopted in contemporary CSR policies and practices in the mining industry environment worldwide. The above-mentioned conceptual foundations are thus also relevant for a qualitative research design I used to study this specific mining-community context. I structured the study to have a bottom-up scope that I used to explore models involved with CSR, social sustainability, sustainable development, social impact, and sociocultural needs.

Due to the multidimensional nature of CSR, it is imperative to bring to light and incorporate into the discussion all pertinent theorists and contemporary literature research about these CSR dimensions. Knowing that this was not one of my key objectives in the

dissertation, the effort nonetheless brought rewards regarding my understanding of CSR policies and practices used towards the betterment of the social dialogue. I adopted a conceptual framework that I determined to be adequate for providing broader explanations and explaining normative behavior inherent to CSR policies and commitments.

It is relevant to clarify that the core research themes in conjunction with the selected conceptual foundations set the platform for my exploration of the general research problem in the context of the conceptual framework. The conceptual foundations have a direct connection with the central research question, while the core themes are associated with the specific research problem and are addressed by the two research sub-questions. The literature from the related academic fields provided supporting arguments for my assumption that these interrelated paradigms, perspectives, and themes strengthened the interaction processes and sustainable social community development while fulfilling social needs and preserving cultural heritage. Therefore, to explore the core themes mentioned above, I selected four conceptual foundations, aimed at supporting both the relevance of the study and the dissertation scope:

1. Emic-etic and cultural relativism perspectives.
2. Leadership models.
3. Social and organizational change paradigms.
4. Structural-functional theory (related to sociocultural needs, as part of the social system).

In respect to the emic and etic perspectives, I addressed *subculture* as the culture of traditions and patterns, based on symbols associated with particular groups and individual members who were part of the Andacollo mining community. The socio-anthropological work done by Kottak (2013) is noteworthy for bringing attention to how the subculture category is often subjugated to national culture. In this regard, it became evident through the critical analysis of the literature that cultural relativism has often been irrelevant to CSR policy and practice processes.

The emic and etic perspectives are the two constructs that I employed in the study to explore the social group's cultural system while adopting a dialectical and structure-oriented perspective. In Chapter 2, I discuss these two perspectives in depth, highlighting the aspects of the inside and outside points of view and the dichotomies of subjectivity versus objectivity. Most cultural anthropologists concur that the objective of anthropological research must be the acquisition of both emic and etic knowledge. As Xia (2011) has noted, the emic analysis is culturally specific and essentially uses local knowledge and interpretations for such end. On the other hand, the etic analysis employs a cross-cultural approach essential for ethnology, which demands standard units and categories (Xia, 2011).

Cultural relativism is valuable for discussions of social change associated with CSR within the mining companies' policy-making processes because it focalizes the expectations and beliefs legitimately raised by the local community members. Cultural relativism, as discussed in Kottak (2013), is oriented to interpret any interpersonal perceptions, attitudes, and behaviors, represented in the social fabric of the everyday life

of subjects, as well as groups and subcultures. From this perspective, a cultural relativist position holds that the comprehension of a particular culture as can originate only from local practices, values, and ways of life.

On the other hand, ethnocentrism has a strong influence on the CSR policies and practices that adopt top-down models, and it warranted my exploration of the emerging themes and meanings from the study outcomes related to the sociocultural needs of the community. I identified these needs through the interviewing process, in accordance with the stakeholders' comments particularly addressed to the transnational company's CSR performance standards. The ethnocentric view is, in fact, the regular scenario of a particular culture, and it was relevant to delineate the organizational culture, firstly, as an essential component of the ethnography approach itself. Also, the ethnocentric view emerged from the senior executives' statements and their points of view regarding the CSR policy-making processes.

In respect to the second conceptual foundation, the leadership models, I followed those approaches and constructs relevant to organizational culture change and CSR policy-making aspects. The relevance of leadership roles for CSR within the organizational change context was widely discussed in the literature I reviewed (Claasen & Roloff, 2012; Dolan, Garsten, & Rajak, 2011; Estes, 2010; Hazy & Uhl-Bien, 2015; Lozano, 2015; Kamlongera, 2013; Rogers & Hudson, 2011; Yang, Colvin, & Wong, 2013). Moreover, the leadership models enriched the discussions about the social processes aiming at understanding the contextual dynamics of the organizational culture change in which leaders operate (Chia, 2011). In this sense, Rogers and Hudson (2011)

highlighted that “[culture change] is a kind of leadership that comes from practitioners, not theories or top-down mandates” (p. 5). Chia (2011) posited that organizations and leaders should encourage sustainable community practices and focus on developing social capital as a critical component of the realization of community objectives.

A current focus in leadership research has been on building a culture of responsiveness aimed at developing understanding and knowledge about the outcomes of corporate social development programs. Zubillaga (2013) claimed that new leadership styles are addressing identities created from adversity, as there is a constant claim on behalf of the communities impacted by mining projects to establish a dialogue focusing on social needs. The leadership models assisted with my investigation of the relationship between the community’s sociocultural needs and the mining corporations’ agendas regarding CSR. Also, the leadership models increased my understanding of which corporate strategies were more aligned with the community’s sociocultural needs and basic expectations, and those that encouraged sustainability as the main topic for CSR discourse and action.

Concerning the third conceptual foundation, the social and organizational change theories allowed for a better understanding of the relationship between mining activities and community needs. In this regard, I regarded organizations as dynamic and open entities, where different subsystems and groups often envisage conflicts and antagonistic relationships (Cummings & Worley, 2015; Owen & Kemp 2012a). In other words, organizations determine their basic processes for doing things by deeply grounding their cultures in the organizations goals. Social change processes favor learning and are a

form of intervention in the sociocultural processes within work groups and organizations such as in conflicts, deficient group processes, lack of communication, and norms. This research approach permitted me to select the best framework to identify the correct events and interventions associated with the Andacollo organizational and social mining contexts, and the concepts associated with those sociocultural needs that emerged from the research process (e.g., etic perspective in research sub-question SQ2).

Finally, with the fourth conceptual foundation, I approached CSR as a Parsonian structural-functionalist system, considering how the structure of CSR is oriented toward sociocultural needs and expectations. Parsons (2009) stated that every system possesses the four patterns (or functional imperatives) he identified as AGIL (Adaptation, Goal, Integration, Latency), which I discuss further in Chapter 2. The act of behaving works like a cultural system that fulfills norms and values among their actors to motivate their actions.

The Parsonian structural-functionalist social system outlines the functions contained within every social system. In this sense, the transnational mining companies should release to the stakeholders not only values, norms, and ideas, but also a framework of the interactive relationships between actors governed by their social roles, to maintain a productive pattern of social interaction. I investigated such aspects by addressing the scarce contextualization given to the community's sociocultural factors and aspects in the design and implementation of CSR initiatives.

I used the Parsonian structural-functionalist social system to understand better the social structures and the integration of the different parts of the social system

investigated, regarding CSR as a relevant component. In the critical literature review and theoretical screening analysis, I found that CSR is not a unique concept within the organizational and social change academic discussion; on the contrary, there are many different and controversial views. For the objective of this dissertation, I chose the perspectives and paradigms mentioned above, aiming at achieving a broader comprehension of the core research themes and the best understanding of the nature of the interrelationships amongst these core themes and the conceptual foundations. The four conceptual foundations assisted with my understanding and interpretation of the multiple meanings, beliefs, ways of life, and symbols that emerged from this qualitative study.

In Chapter 2, I offer a more detailed discussion of the core themes adopted in the conceptual framework, which I used to support the interpretation of beliefs, values, and practices as they emerged from the bottom-up research methodology. For additional information, please see the Conceptual Framework Concept Map in Appendix A, and the Interview Script Matrices in Appendices C, E, and G. In Chapter 3, I include a brief discussion of the intertwined relationships between the core themes and the conceptual foundation. I further expand this discussion in Chapter 5, where I assess their contribution to the understanding of the central phenomenon I explored through the ethnographic lens.

The emic-etic and the cultural relativist perspectives are one of the four conceptual foundations that facilitated my understanding of how the culture-sharing group perceived and reacted to the CSR policies and practices. I used these perspectives

when gathering and interpreting the community's sociocultural needs, symbolic processes, communication relationships, values, culture-sharing patterns, and everyday life experiences, in addition to the corporate leaders' CSR perceptions. I also applied the sociocultural perspective to provide broader explanations regarding normative behavior inherent to corporate sustainability and social responsibility policies and commitments.

The social and organizational change paradigms were important for my understanding of the role played by CSR in sustainability, leadership, sustainable governance and development, and social impacts of the policy-making process applied to the specific mining context. The above-mentioned paradigms were particularly relevant for the narrow Andacollo organizational and social context. Finally, yet importantly, the structural-functionalist research approach helped me comprehend the relationship among the aspects that give support to the Andacollo social system, understood as an integral social system.

I used organizational theory to test themes associated with the etic and emic aspects associated with and involved in organizational change, culture, and the broad analysis of sociocultural needs. I consulted theories and models of organizational and social change to provide a sound foundation for the research objective of promoting societal change at large. I also reviewed leadership theories and models to ascertain the relevance of the leadership role in the context of organizational and social change associated with CSR policies and practices. Principles of organizational and social systems were also critically reviewed in an attempt to gain more knowledge of the field,

and I aimed to gather arguments that could improve the design of CSR policies and hence its practices.

The conceptual framework adopted for the study allowed me to address those concepts of socio-anthropological interest such as ethnocentrism, cultural relativism, social impact, and sociocultural needs. These concepts and the sociocultural perspective are the counterparts to the national and international culture that address concepts as social sustainability, CSR, and sustainable development. The ethnographic research tradition bears in its essence the documentation of cultural knowledge and an integrated analysis of societies. I also placed emphasis on the effects of social development interventions within organizational and cultural contexts aiming at integrating theory and practice, and developing knowledge in the field of ethnographic inquiry.

As I designed my own interview script (data collection instrument), I also designed a Pilot Study phase for my research, which objectives and outcomes are thoroughly described and explained in Chapter 4. The Pilot Study phase was designed to validate the research instrument (interview script) before entering in the field for the Final study data collection phase. I maintained the same sampling frame and methodologies for both the Pilot Study and the Final Study. The answers of the subjects of the Pilot Study were kept confidential during the data collection phase of the Final Study, as determined by the IRB, to avoid any potential influence from the pilot samples on the answers of the final samples.

I adopted a purposeful criterion sampling with a maximum purposive sample of 30 subjects based on the literature I reviewed (Baker & Edwards, 2012; Bryman, 2015;

Dworkin, 2012; Palinkas et al., 2015; Robinson, 2014), as justified in Chapter 3, Section Research Design and Approach, Research Setting and Sample. It is important to note that I reached saturation during the data interpretation process, which confirmed that the purposive sample size was adequate for my exploratory research, indicating that additional subjects (larger sample) would not be necessary as the themes started to repeat themselves. The key aspect of this discussion is that the “pilot sample” is not different than the “study sample” in terms of complying with the IRB inclusion/exclusion criteria, the purposeful sampling design, and the research objectives. But, the subjects (individuals) are different in both studies and the pilot samples were not inquired (or interviewed) twice. The answers of the Pilot Study’s subjects were incorporated later on into the Final Study’s data interpretation and analysis, and were not re-processed again (the answers and interpretations remained unchanged, as reported in the Pilot Study report).

To expand on the point, the pilot samples (subjects) are outside of the final study samples (subjects), but were incorporated later on into the final study sample population during the final study data interpretation step to enrich the analysis and conclusions of the final study. The logic for the incorporation of the pilot sample’s interpretations into the Final Study is based on Thabane et al. (2010) who defended that it is possible to combine data from a Pilot Study with data from the Final Study provided that the sampling frame and methodologies are the same (which is my case), as this can increase the efficiency of main study. Thabane (2010) also posited, “The sample used in the pilot may be included in the main study, but caution is needed to ensure the key features of the main study are

preserved in the pilot.” (p. 5). And, continued, “it is important that the sample for a pilot be representative of the target study population and it should also be based on the same inclusion/ exclusion criteria as the main study.” (p. 5), which is exactly the procedure that I adopted and followed in my research design. Based on the literature I reviewed (Baker & Edwards, 2012; Bryman, 2015; Dworkin, 2012; Palinkas et al., 2015; Robinson, 2014; Thabane, 2010), the purposive sample size was not a limitation of the study and did not introduce any potential biases in the research findings.

Before piloting, I had a list of all the potential subjects for my purposive sample that complied with the inclusion/exclusion and the purposive sampling strategy criteria outlined in the approved IRB form. I had an initial list of potential subjects larger than the necessary subjects to count for eventual withdraws, conflict of interest, and last minute problems. All the subjects selected for the Pilot Study rigorously followed the same requirements for the purposive sampling and the inclusion/exclusion criteria as the subjects selected for the Final Study, and all of them were selected from the community investigated. I designed the Pilot Study phase to increase the likelihood of success of my Final Study. I advance further the discussion on these topics in Chapter 4, Section Pilot Study.

In summary, I conceived the conceptual framework to explore the core themes within the delimitations of the conceptual foundations aiming at answering the research questions. The conceptual framework I adopted for the study was adequate to address both the research problem and the research purpose. The conceptual framework focused on core themes such as CSR, social sustainability, sustainable development, social

impact, and sociocultural needs. I used it to explore how both the mining corporate leaders and the community members and leaders perceive CSR policies and practices - the former from their ethnocentric and cultural relativism perspectives, and the latter in accordance with their sociocultural needs, perspectives, and expectations. Even though I had not proposed any new CSR models or theories and this was clearly not an objective of the study, I expect that the interpretation of the data collected, using the selected conceptual framework as an analytical tool, can be mapped back into the conceptual foundations.

Nature of the Study

Qualitative

The aim of the research was to study the sociocultural context of the Andacollo mining community and the CSR program of the transnational mining company operating in the area, and my decision to do so is just as, or more, important than the selection of the techniques for the data collection. I categorized the study as exploratory by nature because I employed an empirical method (single-sited short-term ethnography) and a qualitative paradigm with an inductive and interpretative process using thematic networks and content analysis to unveil emerging category themes. Further, I grounded the paradigm on my professional experience and intuition within the comprehension of the phenomenon in all its dimensions, may it be internal or external, from my past successful experiences and customs. I recognized that the paradigm guides the researcher and empowers the selection of methods.

The argumentation above motivated my selection of the qualitative paradigm with the adoption of an ethnographic methodology. The motivation for my study came from my passion for the concepts of CSR, social sustainability, sustainable development, social impact, and sociocultural needs; and also, the sociocultural perspective, social systems theories, and leadership models. I selected the ethnographic research approach because of its exploratory nature, in line with the objectives of the study concerning exploring a cultural group in its natural setting, seeking for elements to interpret the group's sociocultural needs and expectations. I based the criteria for selecting the ethnographic approach on the advantages of such approach for the research scope and objectives indicated in the literature (Bainton & Macintyre, 2013; Dolan, Garsten, & Rajak, 2011; Gioia, 2014; Forsey, 2010; Merriam, 2016; Olive, 2014; Paulson, 2011; Sangasubana, 2011; Walsh, 2011).

During the research development, I adopted a critical stance on the implementation practices of a CSR development program, analyzed the etic and emic aspects involved, and sought to propose recommendations for further improvement in practice. I planned the study in such a way as to investigate ethical aspects and normative behavior inherent to corporate sustainability and social responsibility policies and commitments. My objective was to explore a culture-sharing group, and my focus was on sociocultural needs, whereby the unit of analysis for the research is a group that shares the same culture. I placed emphasis on describing and interpreting a culture-sharing group, and found that an ethnographic research design was suitable to address the research problem and purpose, as it provided the necessary answers to the research

questions from the participant's point of view. Ethnographic research was best suited to the type of problem since I could use it to describe and interpret shared cultural patterns at the micro and macro levels.

Definition of Terms

It is necessary to state that there are many acceptable operational definitions and concepts for the terms identified below, and I adopted the ones that adapted better to the purpose and intent of the research.

Causal conditions: The events or variables that lead to the occurrence or development of the phenomenon (Corbin & Strauss, 2015); these events or variables are a set of causes and their properties.

Consequences: The product of action strategies, that can be either intended or unintended (Corbin & Strauss, 2015).

Context: The specific values of the background variables or a set of conditions influencing the actions or strategies; identified with moderating variables. Researchers often make a distinction between active variables (causes) and background variables (context), which often has more to do with what the researchers find interesting (causes) and less interesting (context) than with distinctions out in nature (Corbin & Strauss, 2015).

Corporate sustainability: Companies' efforts to reduce the negative effects they have on people, the environment, and on the economies where they operate, as explained in the United Nations Conference on Trade and Development report (UNCTAD, 1996). The three interlinked components, (a) economic, (b) environmental, and (c) social

sustainability, are commonly referred to as the triple bottom line (TBL) framework. The idea is that companies have an effect on the people where they do business, on the local environment, and on the economy; thus, companies should take action and commit to reducing negative effects. In this study, I defined each component of the TBL as follows:

- Social sustainability: Companies' commitment to gender equality, diversity, workplace health and safety, retention initiatives, human rights, and so on.
- Economic sustainability: Profitability, job creation, expenditures on outsourcing and human capital, and so on.
- Environmental sustainability: Companies' efforts to decrease the negative impacts their products/services have on air, water, land, biodiversity, and peoples' health, and their commitments to increasing energy efficiency, reducing waste, and so on.

Corporate social responsibility (CSR): Companies' ethical practices, particularly within the society where they operate. The CSR concept is also sometimes referred to as corporate citizenship, and is often used interchangeably with the concept of corporate sustainability, but it is important to understand that corporate sustainability goes beyond the concept of CSR. CSR is only one aspect of the TBL, whereas corporate sustainability entails the social aspect and goes beyond it to include environmental and economic aspects as well (UNCTAD, 1996).

Cultural relativism: The subject's meanings learned from their practices or beliefs in any determined cultural context. A sociocultural perspective centered on the understanding of others, especially on how others see and act in their lives.

Emic: Accounts, descriptions, and analyses expressed as conceptual schemes and categories meaningful for the members of the cultural group under investigation. Social constructions and interactions accepted by the subjects as real (Olive, 2014).

Etic: Accounts, descriptions, and analyses expressed as conceptual schemes and categories meaningful for the researchers' field. It is a generator of theoretic capacity on the causes of sociocultural differences and similarities (Olive, 2014).

Ethnocentrism: The practice of using ones own cultural assumptions to interpret the cultural practices of others. The tendency of adopting superior standards and values to judge other's cultural manifestations. Reconceptualized by Bizumic and Duckitt (2013) as a strong sense of ethnic group self-centeredness involving intergroup expressions of ethnic group preferences and dominance, and intragroup expressions of ethnic group cohesion and loyalty.

Intervening conditions: Similar to context; identified with mediating variables, as interpreted by Corbin & Strauss (2015).

Intervention actions strategies: Purposeful, goal-oriented activities that participants perform in response to the phenomenon and intervening condition (Corbin & Strauss, 2015).

Phenomenon: The root problem or the framework for the study and the main object of the investigation; it is the concept that holds all other components together (Corbin & Strauss, 2015).

Social change: The logic of exchange, be it conflictive, competitive, or emotional that leads to alterations with profound social consequences over time in behavior patterns and cultural norms and values.

Social impact: The Interorganizational Committee on Guidelines and Principles for Social Impact Assessment (IOCGP, 2003) conceptualized social impact as “the consequences to human populations of any public or private actions that alter the ways in which people live, work, play, relate to one another, organize to meet their needs and generally cope as members of society” (p. 231). The concept also includes “cultural impacts involving changes to the norms, values, and beliefs that guide and rationalize their cognition of themselves and their society” (p. 231).

Social license: Corporations are commonly obliged by societal concerns to act responsibly to satisfy not only their official licenses but also the needs of communities of place (host communities) and the wider society. Parsons and Moffat (2014) theorized social license as “comprising ongoing acceptance or approval from the local community and other stakeholders who can affect profitability and unwritten, tacit, contract with society, or a social group” (p. 344). They added that social license “is most often described as intangible and impermanent, subject to continual evaluation and renewal by local community members” (p. 345), but warned that said features could immortalize the difficulties in defining it due to its discursive construction, adding that the concept encompasses several heterogeneous discourses (e.g., business, management, society, community, ethics, environment) in continuous reconstruction.

Social system: The difference existing between the system and its environment, permitting the comprehension of society and its particularities as well as the distinctiveness of the societal system. This construct produces excellent possibilities for participant observations, active and committed listening, and descriptions of representations and historical tendencies of communication, how they contribute to the autopoiesis of society as a system that is always reproducing itself and is self-referential.

Sociocultural needs (or factors): The specific attributes associated with the local ways of life of the culture-sharing group encompassing behavior, beliefs, values, symbols, language, cultural portrait, cultural themes, arts and sciences, thought, spirituality, social activities, and interactions. The transmission of these factors or attributes takes place via oral history from one generation to another. Usually, the sociocultural context dictates values and objectives, which when influenced by the physical context, generate needs (real or perceived).

Sociocultural perspective: Describes people's behavior and intellectual processes as shaped in part by social and cultural exchange, including race, gender, and nationality. The sociocultural perspective applies to every single aspect of people's daily lives including the ways people relate, communicate, and cope with each other. Spiritual, physical, cultural, emotional, and mental aspects, which are all subject to the sociocultural perspective, are used to describe awareness and behaviors affected by people's surroundings and social and cultural factors.

Sustainable development: Defined by the World Commission on Environment and Development (WCED, 1991) in the Brundtland Report as "development that meets

the needs of the present without compromising the ability of future generations to meet their own needs” (p.43). It contains two key concepts: (a) the concept of needs, in particular, the essential needs of the world's poor, imposed as an overriding priority; and (b) the idea of limitations imposed by the state of technology and social organization on the environment's ability to meet present and future needs.

Worldview: Considered in this study as the participant’s common sense practical actions, the participants’ particular philosophy of life or conceptions of the world, the participants’ fundamental cognitive orientation, and the participants’ mental model of reality (e.g., a framework of ideas and attitudes concerning the world). In other words, it is the set of beliefs and assumptions that a certain individual uses when interpreting the world around him.

Assumptions

It seemed relevant to provide a literature review on organizational and social change and their relationships with CSR on the different models and theories concerning social change processes within the mining industry field, which strengthen the scope of the communities at place and citizens’ participation initiatives. I determined that the literature review in these fields and contexts were necessary given their interrelationships. Therefore, I selected and described three theoretical assumptions, as follows:

- The study on CSR within the mining context allows the exploration of the interrelated framed concepts improving the relationships between the community and the mining corporations.

- CSR policies and practices contribute to the social sustainability, environment preservation, conflicts resolution, and sociocultural participation.
- There is an imbalance between the ethnocentric approach adopted by CSR at large (top-down process), and the cultural relativism emerged through the qualitative research studies of the last two decades (a bottom-up process).

I assumed, as is the case in most qualitative studies that the participants responded in a trustworthy and open way. I undertook the data collection in a patient and meticulous manner. I maintained a point of view that was as interesting as ethical, in which he verified and contrasted the originality of the inductive work.

I determined that the size of the population (e.g., 30 subjects categorized in 3 groups) was sufficient to allow for emergence, validation, and to achieve saturation of common themes, hence reliability and validity of the interpretations. Merriam (2016) and Bryman (2015) supported this assumption corroborated by a relevant literature review (Baker & Edwards, 2012; Dworkin, 2012; Fusch & Ness, 2015; Palinkas, Horwitz, Green, Wisdom, Duan, & Hoagwood, 2015; Robinson, 2014). I have detailed the sample categorization in Chapter 3 Section Research Setting and Sample.

In respect to the category Group A (20 subjects) there were enough alternatives within the community of Andacollo in case some of the first 20 subjects declined for whatever reason, and likewise, the category Group B (5 subjects) also offered alternatives for replacement within the community. With regard the category Group C (5 subjects), all five senior executives of the mining company timely confirmed willingness in participating in the study, which represented 100% of the population for the specific

group, nonetheless, there was an alternative executive that could eventually replace any unexpected withdrawal.

Based on the expert and typical sampling strategy adopted for the study (Chapter 3), I assumed that the size of the selected population allowed for the exploration of the research themes and topics, providing sufficient elements for the interpretation of the research problem. In this regard, Merriam (2016) suggested that the saturation process is also helpful in estimating the sample size in a qualitative study. Moreover, the ethnography methodology offers interesting guidelines for sample sizing in qualitative research, which the researcher discussed further in Chapter 3. In addition to that, Patton (2015) and Bryman (2015) suggested that the sample size in the majority of qualitative studies follow the concept of saturation when the collection of new data does not shed any further light on the issue under investigation. Hence, I pursued the saturation strategy to the point where the data processed from continued sampling confirmed that there was no need for any additional information.

Another important assumption considered is that the analyzed data had stability, reproducibility, and accuracy given that there was only one researcher assigning codes to the text materials for content analysis. I adjusted the schedule of the daily tasks and activities regarding the progress made with the community members. There was no need for me to change or modify the protocols for the observations for the final study and the same for the designed semi-structured interviews, after the pilot study completion.

Scope

The scope of the research inquiry considered the community members, which are part of the population living in the town of Andacollo. I considered the cultural group as the unit of analysis and based the rationale for selecting this unit on a geographically focused worldview. I adopted a maximum purposive sampling strategy, considered sufficient to allow for comparison between the subjects. And, the sampling strategy was supported by two techniques, namely a) expert sampling and b) typical sampling processes, aiming at identifying participants that can likely select other participants relevant to the research objectives and questions.

The sample size consisted of 30 participants, aiming at producing sufficient ethnographic observations (with emphasis on listening) and in-depth interviews necessary to avoid missing any important perception, attitude, or behavior. And also, aiming at achieving redundancy or theoretical saturation of the data collected. As indicated above, I based the reasoning for selecting 30 participants on a maximum purposive and a purposeful criterion sampling. Said strategy was supported by the literature on the topic and the researcher offered a detailed discussion and justification on the reasoning behind the number of subjects in Chapter 3, Section Research Design and Approach - Research Setting and Sample.

I considered the theoretical and systemic support from a cultural and ethnographic view, centering the predominance on modifying social practices from corporations as well as from the community, stimulating sustainable social change and social development. I guided the study on the units of analysis by the conceptual framework

founded on CSR, social sustainability, sustainable development, social impact, sociocultural needs, sociocultural perspective, social systems, cultural relativism, leadership traits, and social and organizational change. These framed core concepts and conceptual foundations proposed the interpretation and comprehension of a mining culture and its meanings, taken from practice or beliefs within its cultural context.

I centered my objective on the understanding of a localized culture and how its inhabitants see their world. From this view, the emic system becomes comprehensively functional, corresponding to a gnosiological, epistemological and methodological view of the praxis of concrete reality. And, knowledge is acquired related to the categories and rules necessary for the processing of the world of life.

Meanwhile, the construction of the ethnocentric conception on the positivist distance between a subject and object is gradually displaced. This approach gives room for the etic meditation or in other words, cogitation with scientific theoretical capacity regarding causes and cultural similarities. In a study of culture using in-depth interviewing, Pugh (2013) contended that the cultural context of the meanings revealed through interpretative work, situated subjects in an emotive setting that often could be a report of contradictory motivations as a sort of bricolage that melts together schemas and practices from distinct sources. This aspect raises the issue of cultural incoherence that researchers must keep in mind during interviewing, though said a blend of different pieces of culture functions as a source of social innovation and cultural change.

Regarding the data collected for the study, my research design envisaged multiple data collection methods including observing, conducting interviews, scrutinizing archive

documents, and artifacts. The data collected by me was further categorized, coded, and analyzed. I took into account a reasonably comprehensive set of qualitative data that included transcripts of interviews, photographs, and video recordings, with their respective qualitative analysis. For the database organization, I considered the context, text and speech configuration.

In respect to the interpretive scheme, I categorized, coded, and organized the sources into themes built into hierarchies. I identified the resulting nodes, considering the relevant codings and their relations, organizing them in a creative manner, granting a sense and meaning to the knowledge acquired. Then I run queries with the use of text analysis tools seeking to uncover trends, and the graphical visualizations assisted with the development of potential new research perspectives. I presented in the Appendices N to S, the network diagrams produced by the ATLAS.ti 7 (2014) software package.

Delimitations

As previously stated, the research problem explored was the existent imbalance between current CSR policy-making and practices in the delimited context of the Andacollo mining community. In this sense, there was a problematic topic (e.g., sociocultural needs) in the CSR processes that concerned not only to the mining industry worldwide but also and precisely to the specific Andacollo mining community context. Hence, I specifically delimited the study by this context and by the scarce contextualization given to the community's sociocultural factors and human needs and expectations, resulting from the local CSR activities.

Therefore, I did not focus the scope of the research on CSR policy-making, leadership, and organizational change from a deductive and rational choice perspective. Rather, I delimited the research scope to the interpretations and inductive grounded views, built by the discourse topics that emerged from the key informants selected within the population of the Andacollo mining community, in the Republic of Chile. I also delimited the research problem by the relationship between the CSR models and the sociocultural needs of the mining community of Andacollo. Other approaches could contribute to the betterment of CSR policies and practices, as well, such as:

- Looking into stakeholder theory and stakeholder management models.
- Discussing the CSR limitations, contradictions, and ambiguities in respect to social sustainable development.
- Assessing the CSR contribution to the improvement of competitive advantage and transnational mining corporation financial performance from a socially sustainable perspective.
- Exploring organizational culture as a predictor of CSR outcomes.
- Discussing CSR adopting the capability approach in contrast to the utilitarian perspective is not part of the study.

All these alternative approaches are relevant to understanding the relationship between transnational mining corporations and communities impacted by mining projects. Though, due to the exploratory nature of this study, are unsuitable to approach the sociocultural perspective, through the ethnographic study, aiming at fulfilling community social needs, which is one of the contributions that the study wants to explore

when it comes to the mining industry field. Furthermore, it would be difficult to link the above-mentioned approaches to the research problem and knowledge gap. Also, those CSR alternative approaches would have oriented the investigation to problematic scenarios, difficult to investigate, due to their unsuitability to understanding basic human needs, culture change, and preservation of cultural and local heritage.

I delimited and focused the study exclusively on the CSR policies and practices related to the mining industry, and to a specific community impacted by a mining operation, namely the Andacollo mining town. I designed the study to explore the perceptions of this specific community about the CSR policies and practices of the transnational mining company operating in the area as stated in the research problem. I considered a relatively small portion of the community members that would qualify because it was not possible to cover a wide spectrum sample during the timeframe proposed for the study, notwithstanding, I committed to reaching saturation during data interpretation. I also designed the research delimiting the sample size to a few subjects due to the qualitative nature of the study, which did not seek for statistical representation, and the study adopted a qualitative design within an exploratory context with short to medium range outcomes, due to the temporal nature of the ethnographic methodology. I designed the study methodologically to achieve its objectives of describing and interpreting how a culture-sharing group perceived and reacted to the CSR development initiatives implemented.

I sought to have the study delimited by the conceptual framework adopted. It was my choice to explore the selected core themes and the adopted conceptual foundations, as

these were found more relevant to both the research problem and the research purpose, based on the critical analysis of the literature review and the study's scope and research time limitations. The convergence of the selected themes encountered in the literature review, which is well aligned with the research problem and the central phenomenon explored, is the reason for delimiting and not considering other conceptual foundations and core themes for the study. I considered the conceptual framework adopted as adequate for the research design and approach proposed in the sense that the conceptual foundations provided the necessary constructs for the data analysis and interpretation within the delimitations of the selected set of core themes.

I acknowledge that the selected research methodology bears an inherent problem associated with the technique adopted for studies of communities of over 500 years, with deeply rooted traditional social practices and its particular worldviews of nature. Moreover, quite often, some people regard nature with a sense of property and not of transformation or service to the people. Often and in general, community members build a world of meanings different from modernity and the criteria of an integrated and globalized world in which we live in today. Thus, bringing into play a resistance to change and integration into a different world than the one that the locals and their ancestors have inherited, being as much real as symbolically interpretative.

Determining the sample size in a qualitative research design and assessing how large the sample should be to achieve redundancy or saturation of the data requires common sense and the researcher's knowledge of the context and setting. As the qualitative approach is interested in the core features of subjects sharing the same

category or coding, the qualitative researcher is interested in identifying the commonalities between subjects and then interpreting the implications of these commonalities. Since the emphasis is on commonalities, I interpreted that the data collection reached saturation as the evidence were so repetitive that there was no longer the need to continue with the participants' observations and interviews.

My target for the research design was to uncover and interpret the particular worldviews from the elders and community leaders, which is the source where I believed I should tap on, seeking for the most genuine traditional social values and the needs to preserve them. When it comes to ethnography research, I understood that there was a need for a thick and detailed description of the culture-sharing group. This methodological aspect made it necessary for the samples drawn to be small, despite the fact that small samples do not allow statistical generalization to a larger population, but can allow analytic generalizations. The focus of my ethnographic research was on developing themes from the data collected about the people subject of the study, aiming at having a thorough understanding of a particular situation and not at generalizing the outcomes.

Given the time and budget limitations for the research, I wanted to observe and interview as wide a sample of individuals relevant to the research questions as possible, though delimiting it to a reasonable number without losing sight of the whole. The criteria I adopted is an important delimitation of the research since one of the objectives (or empirical rationale) when designing the sampling strategy and determining the sample size for a qualitative research study, is the reduction of the likelihood of failure in

uncovering relevant themes or not capturing important perceptions. I selected community leaders positioned as such and elected democratically to participate in the interviews. And, I only considered the leaders with popular representation and selected community members considered typical for the interviewing process, but I purposefully excluded from the study all those who did not have any relevant social representation. I adopted similar criteria for selecting the top executives of transnational mining companies.

My qualitative research was designed to achieve its purpose, which was to explore, applying the ethnographic lens, themes, and paradigms related to CSR discourse and action adopted by a transnational mining company, specifically associated with the mining town of Andacollo, in the Republic of Chile. In this specific case, I aimed at expanding the limits of the academic research in the field and set the ground for an ethical repayment to the social group researched from a cultural relativist worldview applied to CSR. I achieved the research objective by exploring the cultural relativism perspective, throughout in-depth interviews, as part of the ethnographic research approach, focusing on the sociocultural needs of the mining community of Andacollo. I expect that the outcomes of the study will contribute to the design of CSR policies, improve practice, and reduce the conflict in the relationship between the mining company and community, and promote organizational and social change. My ethnographic study accomplished what it was aimed for: to uncover, and not measure, potential relevant insights that would answer the research questions and add to the body of knowledge, bearing all its identified delimitations in mind.

Limitations

I was conscious that both the participants and I could bring bias into the study. Since, information and data are highly dependent on both field observations and interpretations gained from the interviewing activities, and this is one of the weaknesses of ethnographic research approaches. I was cognizant that due to the nature of human biases and cultural differences, I could misunderstand and misinterpret both the participant's observations and interviews, leading to inaccurate conclusions. To counter-affect this issue and reduce research biases, I analyzed data from multiple sources, collected by different methods, and founded on a sound and broad base of theories. It is also important to note that ethnographic research is highly prone to researcher's biases, as the validity and meaningfulness of the findings depend on the researcher's skills, discipline, and perspective.

Another weakness of the ethnographic paradigm is that by being a participant observer the ethnographic researcher may unknowingly influence the natural context and the way a cultural group behaves. Ethnography is also a useful tool for the reduction of the researcher's ethnocentric prejudice, as (2015) highlighted that "Understanding context is essential to a holistic perspective" (p. 262). I acknowledge the recommendation to have a defined strategy for data collection (e.g., observation, interview) and to apply a theoretical perspective (or theoretical lens) during the process, based on the research context. But, it is important to highlight that time was a critical and an important limitation for my ethnographic study, as the mining operations could

cease at any time due to current volatility of the commodities market price and the social context could dramatically change during the fieldwork.

I identified other tangible and intangible limitations as financial resources, the funding for logistics, research material, and the research field activities (e.g., photographs, videos, audio-video recorders, text transcriptions). Also, balancing the participants' observations and interviewing hours with the available hours of regular community work was an important limitation to my study. Having and exercising patience and perseverance with subjective work (meanly active listening), which are activities performed out of the normal daily working schedule hours (e.g., weekends, holidays, days off), was another limitation to my study.

I also considered the academic term to complete the dissertation as one of the critical limitations of my study, considering the time I was in direct contact with the participants. An activity necessary to gain a comprehensive understanding of the world of the lives of the locals, their values, and the symbols with their associated meanings, as well as their roles and status. It takes time, to become deeply immersed into the comprehension of the real and the symbolic world as, for instance, the sacred pagan ritual (e.g., mining culture and its entailment with religiosity). Similarly, for the world of the mine operations, as this aspect configured a solid topic between religion and the singular, syncretic sense of a religious culture.

From a language barrier point of view, the different languages involved did not limit my interpretation of the data collected. Though, it was at the onset of the fieldwork that it became a sensitive issue as either the language used by me or the one used by the

subject slightly differed since colloquial and vernacular languages are different in respect to their real meanings as much as their symbolic meanings. Certain ethnocentric biases coming from me, such as endoculture (or the transferring process of information used by the elderly opinion leaders and how they influence the new generations), were anticipated and identified as a limitation to my research. Likewise, some idiosyncrasies limiting the recollection of data about the life stories of the key informants and how they put their environment in action imposed minor limitations to my research as well. But, in the end, these aspects did not impose any critical limitation to the research.

Based on my professional practice within the community, I assumed that accessing the population of the study was not an issue that would impose any limitations on the development of my study. However, I was cognizant that the ethnography research approach bears in its nature temporal and context specific limitations. It was important to bear in mind that culture is intrinsically temporal and even though I designed the study with a narrow timeframe, relationships could change over time in an organic way. Therefore, my research interpretations reflected the sociocultural context during the interviewing and interpretation timeframe of my study.

The ethnographic technique and its application from its cultural relativist dimension perspective, combined with my academic formation and professional practice, represented a limitation for the research concerning the comprehension, interpretation, and evaluation of subjective data. Regarding the participant's selection process, given the research population considered as the universe of community and social leaders, it could lead to a technical bias considering the strategy of the selection guidelines. The

strategy I adopted to minimize this potential issue considered reinforcing the limitations in the interpretations and opinions throughout the emergency process. The emergency process empowered me with the sensitivity of the discovery of the otherness, until reaching a comprehension of the realities found in the mining town of Andacollo.

Significance of the Study

I described how a culture-sharing group reacted to a CSR development program, with a focus on sociocultural needs seeking to offer a description and understanding of cultural patterns with a holistic view and from a social development perspective. I understand that the study filled a gap in the literature in the field of social theory and organizational theory, identified by the review of literature related to the imbalance between the ethnocentric approach to CSR and the cultural relativist approach. My study filled the knowledge gap by proposing a new dimensional approach (e.g., sociocultural dimension) to Carroll's CSR pyramid model, later expanded by other researchers. The objectives of my research envisioned the optimization of CSR policies and practices, to fill a gap in the scholarly literature concerned with social development projects in the area of influence of mining projects, and the expansion of the body of knowledge related to work-based research on corporate sustainability and social responsibility.

I designed the research plan also seeking to address the lack of sociocultural context considerations involved in CSR policy-making at the corporate level. I believe that my ethnographic research will add to the body of knowledge in the academic and professional field as it provided recommendations to project sponsors (board members), considered as policy-makers. Since project sponsors (board members) are responsible for

corporate sustainability and social responsibility policies and commitments, as to the incorporation of the most relevant sociocultural needs for the communities into the project planning and implementation.

I envisage that my study has the necessary elements to inform and communicate the research findings to influential decision-makers who have the power and mandate to foster social change through positive changes in professional practices and methodologies. I also understand that my research findings contributed to the knowledge base in the mining professional field and positively impacted social and organizational change as it brought a contribution to the betterment of management practices. I envisage as well that the study has immediate practical application, expands knowledge, and enhances professional practice by proposing new approaches and constructs, thus creating new perspectives leading to improvements in management practices.

My ethnographic research is original and brought a substantive contribution to the understanding of a particular social context affected by a CSR initiative. The expected positive impacts on the individuals and social groups affected by the CSR program should serve as a parameter to evaluate the study. My ethnographic research, using participant observation and in-depth interviews unveiled concepts, themes, and patterns relevant to the design of CSR development initiatives in line with the specific sociocultural context. I believe that the objectives of the study align with Walden's University mission of supporting positive social change and the betterment of society.

CSR has become an important governance component of almost all corporations worldwide in many industry fields, though it is not adequately aligned with the

sociocultural perspective, which would allow for a more inclusive and participatory relationship with the communities impacted. A sociocultural perspective, as proposed in my study, open opportunities for more productive community participation on issues related to social needs, social change, and social relativism, reducing the influence of the ethnocentric approach to CSR discourse and action. I also consider relevant the leadership traits and organizational change initiatives, discussed in my study, as change agents necessary to adopt the sociocultural perspective fostering social change.

I expect that the outcomes of my research contributed to CSR literature, within the field of organizational change, social change, and leadership, since it proposed alternatives for the improvement of knowledge in fieldwork on sustainability and CSR. I designed the research plan to explore sociocultural considerations in the CSR policy-making process at corporate level. I sought to develop proposals or recommendations to the board of directors of the transnational mining company, giving consideration to the sociocultural needs of the Andacollo community, for the CSR program implemented in the area.

Contribution to Social change

The relationship between research and social change, from both an epistemological and ontological perspective, is that research contributes to social change using the development of new worldviews and theories, empirical models, and systems. From a pragmatic point of view, these developments aim at having a positive impact on individual and workgroup dynamics improving organizational and societal effectiveness, and, therefore, business outcomes. Within my professional specific field, research

applied to real-world situations can bring about improvements in best professional practices and betterment of corporate governance policies. It is important to mention that I will communicate the research findings and recommendations to the relevant audiences to produce the expected and desired outcomes.

I expect that the outcomes of the study contributed to the knowledge base in the professional mining field and positively impacted social and organizational change, as they are applicable, and contributed to best management practices. My study aimed at filling a perceived knowledge gap in contemporary CSR literature in the mining business field, identified by the review of the literature. And, it also expanded the knowledge base by proposing new constructs and concepts creating new management perspectives leading to improvements in management practices.

Summary and Transition

In Chapter 1, I introduced CSR within the mining industry field and its implications for the social needs of the impacted communities as the topic of the study and offered a summary of the literature research related to CSR and aligned with the research problem and questions. I described and discussed the core themes and the conceptual foundations of the conceptual framework, and the rationale for the selection of the research tradition was justified as well. I carried out my ethnographic research in the mining town of Andacollo, in the Republic of Chile, South America. This town enjoys a long lasting gold mining tradition, characterized by its customs, values, and beliefs, for over 500 years until today. I focused my research on sustainable CSR policies and practices, and on the contextual interactions and social interpretations, which

allowed the understanding of the subjects and generated a renewed strategy for CSR incorporating social sustainability policies.

The research findings emerged from one central question and two secondary questions, which at all times explored and investigated the community perceptions by inquiring with the participants on how they perceived CSR policies and practices of the mining company regarding the sociocultural development of Andacollo. I expect that the transnational mining company's officers will promote a review of the current CSR policies considering the sociocultural aspects and social needs of the affected parties, as recommended at the end of my study. The interpretation and analysis of the field data collection resulted in heuristics findings, which answered the research questions, and these findings supported the recommendations for the paradigm change, the objective of my research. The most relevant limitations of my research were concerned to time and resources availability, as well as sociolinguistics and worldview interpretations. One of the most concerning limitations of my research was my lack of experience about the application of the ethnographic methodology.

In Chapter 2, I offer a critical analysis of state of the art about the application of sustainable CSR on a global level in the mining field, as well as the application of the techniques of subjective data collection related to the ethnographic technique. In Chapter 3, I address the qualitative methodology as a gnosiological tool for approaching the contextual reality. In Chapter 4, I present an analysis of all data collected during the development of the research fieldwork, with a discussion on data coding and the interpretation of the emerging themes followed by a brief narrative analysis related to

each category, and an overview of the findings. The overview of the findings covers every research question, and I close Chapter 4 with a final synthesis of the findings. In Chapter 5, I outline the conclusions of my research and the recommendations for improvement of the CSR policies and practices, and incorporate suggestions for further research, closing with a discussion of the implications for social change, concluding with a final closing statement.

Chapter 2: Literature Review

Introduction

The specific research problem that I addressed in my study is the scarce contextualization given to the Andacollo community's sociocultural factors and aspects in the design and implementation of the CSR initiatives of a transnational mining company. I used a social constructivist and participatory worldview to explore how a culture-sharing group perceives and reacts to CSR initiatives. Prior to undertaking fieldwork, I reviewed peer-reviewed academic journals, and contemporary literature related to the conceptual framework and the research methodology. In this chapter, I offer an integrated and critical essay on the current knowledge and practices in the field of sustainable CSR.

I developed my critical essay seeking to provide a literature review that would substantiate the contemporary practices regarding sustainable CSR discourse and action, and the foundation for the conceptual framework for my ethnographic study. In the literature review, I aimed to compare and contrast research outcomes and current practices in the field of CSR inherent to the mining industry. From a pragmatic perspective, my objective was to improve sustainable CSR policy-making and practices through leadership and organizational change initiatives, from a cultural relativist perspective.

Literature Search Strategy

I used the literature review to gather relevant perspectives, arguments, concepts, and constructs to support my research fieldwork. I also devised the literature review to

search for arguments to substantiate my potential recommendations for a paradigm change in the design of contemporary CSR policies focused on the mining industry. I did not design the literature review with the intention of answering the research questions. Indeed, the research problem that I wanted to address was a gap in the literature on CSR policies and practices in the mining industry worldwide that I had identified in my previous undergraduate academic studies at Walden University. The findings of my ethnographic research provided the answers to my research questions.

The strategy I designed for searching the literature focused on core research themes, plus a set of keywords that I hoped would confirm the existence of a potential problem. With the review, I also sought to close a perceived gap in the literature and find supporting arguments to add to the body of knowledge in the field. The review process took a reasonably extended amount of time given the number of iterations as the search was unfolding, and new information on the research core themes was being gathered, digested, and analyzed. It was an ongoing process until I was satisfied that I had reached saturation of the literature on the topic.

The core topic of my research was sustainable CSR in the mining industry field, with peripheral satellite themes that I expected would give support for the integral and systemic research approach that I wanted to accomplish. From a research methodology point of view, I attempted to cover the relevant contemporary peer-reviewed research on sustainable CSR practices. I also conducted searches on other relevant topics including corporate governance, social responsibility, social change, sustainable social

development, organizational culture, leadership traits, and organizational change, all in relation to the mining industry.

The drivers of research (core themes) were aimed at understanding their meanings, interrelationships, and impact on the sociocultural group investigated in the study. I accessed research databases via the Walden University Library, and searched for articles by topic in the subject area business and management within business and management databases and the multidisciplinary databases as well. Specifically, I conducted searches using the following management databases: (a) Business Source Complete/Premier-EbscoHost, b) ProQuest: ABI/Inform Complete, and (c) SAGE Journal.

I also consulted the following sources multidisciplinary databases: (a) ProQuest Central, (b) ScienceDirect, and (c) Academic Search Complete-EBSCOhost. I organized all the selected peer-reviewed and academic journals in a catalog to make referencing easier and to facilitate the grouping by themes and topics. I acknowledged that a thorough understanding of a phenomenon, event, or experience in social sciences could not be based purely on theory, although the use of theory in a literature review is a sound and necessary practice.

Critical Analysis of Current Research

One of the objectives of my literature review was to demonstrate how the academic community applied ethnographic approaches in research related to CSR in the mining industry. To this end, I organized the literature review by the core and the peripheral themes as they emerged from the search, aiming to assess the contrasts and

similarities between the research studies or the researchers. I designed the literature review to gather arguments to improve current policies and practices in the field of CSR related to the mining industry.

The literature in the peer-reviewed journals gave me insight to the state of the art of current CSR policies and practices developed and implemented by transnational mining companies around the world. The literature I reviewed on CSR policies and practices spanned from philanthropic perspectives and corporate leadership aspects, to social change and sustainability mechanisms. Also, it provided support to an informed deposition on the CSR construct and interrelated concepts that began to settle in as I started to configure new paradigms associated with cultural relativism, social needs, leadership, and social change. I also reviewed work of relevant authors to improve my knowledge of qualitative research methodologies, ethnographic techniques, and social relativism (an emerging theme). In the next section, I introduce the community of Andacollo, Republic of Chile, to better establish the setting and cultural context of my study for the reader.

The Andacollo Mining Community

The ethnographic approach implies an inductive model, which leads to a broader understanding of the cultural and organizational context of the cultural group under study. Therefore, I needed to have a better appreciation of the context and an informed background before immersing myself in the community. Several books about Andacollo were available at the city public library, and I selected the ones that could paint a broad picture of its origins, traditions, folklore, religion and people. The intention was to bring

the community into context, and get a sense of its sociocultural values, heritage, and its regional historical relevance.

Andacollo is an old town that began as a settlement of indigenous people. The origins of Andacollo date back to the year 1460, and the town was as a result of an expedition ordered by the prince of the Inca Empire, Tupac Yupanqui. Trigo (2012) conducted extensive research to rescue and consolidate historical information from different sources into a captivating book about the distinctive aspects of the inception, creation, and development of Andacollo. The settlement survived the administration of the Spanish colonizers and has continued until modern times. Since inception, Andacollo had a mining and religious tradition, outstanding within the national context. Being in a mineral rich region, the village of Andacollo attracted attention during the Inca Empire, Spanish domination, and the institutionalized national governments.

Trigo's book offered a relevant synthesis and description of the distinctive social segments that formed the Andacollo community, adding the biographies of the key families and authorities with a concise summary of their respective achievements. The book includes an extensive chapter dedicated to Andacollo's industrial and economic development, always based on the mining activity, with a list of the main mining companies that participated in such developments. Towards the end of the book, Trigo (2012) wrote about cultural aspects, listing literature generated by several authors, always praising the town and the Madonna of the Rosary (Virgen Del Rosario), considered the religious patron of Andacollo.

I decided to acquire historical background about the Andacollo town using a screening research in the public library to facilitate my integration into the community. In the public library I learned how the settlement of Andacollo evolved, most likely developed by natives of Peruvian origin, not due to the presence of gold but because these highlands had enough and essential water to sustain life. Later on, after the arrival of the Spaniards, the search for riches accounts for the establishing of Andacollo, a stable population and, in 1679, there is knowledge of an organized parish.

The exploitation of copper and gold mines made the town form quickly but, with the passing of time, the mines got worse and began changing the town's life. From my readings at the library I had the opportunity to become acknowledged with the sociocultural changes of the Andacollo society and its surroundings. I gained knowledge about the Andacollo of 1800, of dirt roads, still kept as such, and the month of December, when the celebration of the grand religious festival takes the town.

To communicate and understand better the villagers' language during my research fieldwork, I learned about the particular language that those from Andacollo learn from birth. Cottet (2012) wrote a book that accomplished a rescue and publishing of the language expressions mostly used and known amongst the miners of Andacollo, a compilation of terms performed by the investigator researching the miners, who contributed to their language and life experiences. The text is a contribution of a cultural rescue as provided by the native villagers and, at the same time, a sample of a human and popular activity, gathering sense making terms that are inherent to the local miners' activities.

State of the Art of Ethnographic Studies

Status and perspectives. The literature I reviewed on ethnographic techniques assisted me with the comprehension of the use of rhetoric abilities and linguistics, as applied during the communication and interaction, in real time and space. The research of Briody, Fine, Graffman, Krawinkler, McCabe, Sunderland, and Denny (2013) and Lichterman (2015) provided important methodological and epistemological insights. Insights that increased both the awareness and the knowledge related to a tendency about ethnography as being a mere participant observation with its related techniques and tools (e.g., active listening, interpretive reflexivity). It is interesting to stress that in spite of anthropology, ethnography and participant observation are part of the same equation, though they are not the same, and the scholar-practitioner must observe the definition of ethnography more for its purpose than for its methodology (see Lopez-Dicastillo, 2014).

My qualitative research allowed me to outline different assumptions, needs, and values involved in CSR policies and practices related to the Andacollo mining community. Briody, Fine, Graffman, Krawinkler, McCabe, Sunderland, and Denny (2013) and Urban and Koh (2013) have pertinently stressed this matter, and a qualitative approach ensured a stronger focus on those multidisciplinary and social system imbrications embedded in human and sociocultural needs. Urban and Koh (2013) also discussed the adequacy of ethnography to investigate the dynamic of change within the organization, and the organization's informal elements of life, through sustained participant observations focused on in-depth behaviors. In this regard, both authors shared the idea that change develops following rhythmic patterns, and they indicated that

ethnography has the power to identify these patterns of change. I sought to understand the capabilities of the ethnographic research looking into distinct approaches and also strived to highlight criticism as an important component of ethnographic research, though it is the most difficult component due to its relevance in the promotion of social change.

The qualitative research adopting ethnographic methods implies a study based on language, where the challenge is to understand the discipline of interpretation, perceptions, and practices within the complete process of communication and interaction. Lichterman and Reed (2014) brought ethnographic research into dialogue with the relative and counterfactual thinking in causal accounts and recognized the strength that ethnography bears in interpretive validity while discussing how theory can assist researchers to build causal claims. Lichterman et al. (2014) highlighted that “ethnography is known for engaging the particular in human social life” (p. 34), and postulated that the essential task for the ethnographic researcher is to join a general theoretical dialogue on the causal process in social life. The review essay of Welker (2016) on recent ethnographic studies examined how researchers positioned themselves politically when studying capital intensive and large-scale mining projects in Papua New Guinea, South Africa, and the United States of America. The work of Welker (2016) offered valuable insights that emerged from the situated perspectives of the authors, object of the ethnographic study of transnational mining companies, which was embraced by the researcher during the phases of dissertation work accomplishment.

I found the discussions about cultural interpretations pertinent and useful for my study, notably the declining centrality of culture, highlighting the need to learn more

about it when researching societies. Research specific to cultural groups adopting an ethnographic paradigm enables a deeper comprehension of the views of the subjects' needs. In this regard, Bainton and Macintyre (2013) explored sociocultural factors and the cultural responses to mining activities applying an ethnographic study to evaluate a community development program. Bainton et al. (2013) concluded that the ethnographic technique facilitated an in-depth understanding of the perspectives of the community studied and assisted with the efforts of customizing and planning an appropriated sustainable program. Bainton et al. (2013) also sustained that the identification and evaluation of the sociocultural factors, cultural traits, and the divisive effects of capitalism at play could affect the efficacy of the community program for a specific cultural group.

When seeking to explore participant's values, beliefs, and life impressions, the researcher should apply qualitative interviews as a research method, which is the most widely used tool for collecting information. Alsaawi (2014) offered a thorough review of current literature regarding interviewing, and selected authors (Bryman, 2015; Seidman, 2013) were also consulted to support the research design adopted by me in this study. The literature review carried out by Alsaawi (2014) provided relevant insights on semi-structured interviews and the associated validity of the outcomes, and also discussed the appropriated approach for selecting participants for interviewing through purposeful sampling. Palinkas, Horwitz, Green, Wisdom, Duan, and Hoagwood (2015) informed that purposeful sampling strategies are extensively applied in qualitative research to identify and select information-rich subjects associated with the phenomenon under

investigation, being criterion sampling the most frequently used. I was informed about and acknowledged all the relevant criteria (e.g., sufficiency, saturation) related to the sample size regarding interviews.

There exists a flourishing interest in ethnographic studies associated with business corporations in general, and the relationship between academic research and real-world research is gaining recognition in the sense that professional researchers' conclusions can inform the investigation in practical terms. Walsh (2011), who analyzed the challenges associated with the integration of the formation at work of academic education as means for obtaining a perspective of informed research on the high-level professional practice, argued about this fact. This interest on real-world research produces and puts into perspective a valuable discussion, contrasting the differences between pure academic ethnographic research and a contextualized work-based ethnographic research (Walsh (2011)).

In summary, the researcher that adopts a work-based ethnographic research approach should not try to explain the context investigated in an isolated manner. In other words, the most advisable strategy for understanding the sociocultural aspects and needs involved in the CSR process is by supporting the research in its traditional conceptualization and adopting a pragmatic perspective by seeing theory as information proved in practice. The literature review also unveiled an interesting discussion on the implications of ethics about the ethnographic research, given that the postmodern ethnographic research is a qualitative method that is highly subjective and based on the interaction with the subject and fieldwork.

From this perspective, the ethical preoccupations, mainly the informed consent, become a facilitator for my research. At this point, it is important to point out that the qualitative research can provide the means to study social transformation and social change, by the researcher's intentions. Ethnography gives the researcher the opportunity of observing and actively promoting social changes on a group (macro) level and on an individual (micro) level, which is in line with the dissertation objectives.

Ethnographic research technique applied to CSR. Corporate culture is an issue that is relevant for my professional practice due to the void in the ethnographic literature in studies that established causality between corporate culture and the performance of the company. Rego, Cunha, and Polonia (2015) explored the views of 72 CEOs on CSR and sustainability, through a qualitative research approach using semi-structured interviews, reaching to four key sustainability dimensions, with organizational culture found as an important contextual variable. Organizational culture has an influence on the creation of corporate value and leadership plays a key role in the development of the organizational culture hence determining how this culture affects both the efficiency and effectiveness of the corporation. Lozano (2015) sought for a more holistic view on CSR drivers and collected empirical data by conducting thirteen interviews with top-level corporate management, which allowed for the interpretation of multiple perspectives and data triangulation. And, the majority of the interviewees indicated leadership as the main corporate internal driver with corporate culture emerging as another important driver to promoting proactive corporate sustainability while reducing external business risks.

The literature I reviewed indicated that transnational mining companies and CSR literature place emphasis on demonstrating corporate performance against global standards. Kemp and Owen (2013) posited that the rationale behind this corporate behavior is associated with “limiting their exposure to risk rather than engagement more broadly” (p. 524). Kemp and Owen (2013) also advocated that even though it starts to increase in the field yet, the body of research is still minimal in organizational theory and ethnographic methods aimed at offering insight on mining and CSR.

The emphases placed in Kemp and Owen’s research linked the tools and techniques of participant observation, with a focus on active and committed listening, with the fieldwork (see also Lopez-Dicastillo, 2014). The ethnographic perspective is one of the best answers to organizational challenges and can influence the interpretations and symbolic actions. The social and organizational environments are dynamic, needing to trust more and more each time in the acquiring of knowledge to learn how to respond to changes. I sought for a contribution to the knowledge base in the mining field by incorporating into the research problem and questions interviews with mining corporate officers seeking for insights on how to improve CSR discourse and practice. With this paradigm change, the organizational development aspects linked with the topics of corporate culture, leadership, and sustainability.

The role of both corporate culture and top-level leadership has relevance and implications for my study when it comes to CSR policy-making. The basis for ethnographic studies are the interviews that explore the creation and the influence of corporate culture and leadership styles from a corporate efficiency and effectiveness

point of view. From these perspectives, an integral view of the dynamic of corporate culture and leadership agency has come through, providing different approaches and alternatives for executive work related to CSR.

In closing, the literature I reviewed revealed a shortage of ethnography research technique applied to CSR at large and more specifically within the mining industry. This outcome imposed additional difficulties for me as to supporting the discussions on the interrelationships of the major research themes associated with my study. And, only few articles discussing the ethnographic approach to CSR within the mining industry context were available on the databases researched.

Emic and etic concepts: Two visions for one paradigm. Ethnography has the emic perspective in its core while the etic perspective provides a scientific explanation for the perceived reality. Ethnography always allows a combination of elements from both perspectives, emic and etic, depending on the researcher's experience and background. For ethnographic research, the emic perspective implies the exploring of the cultural group's behavior from within, while the etic perspective implies the study of the cultural group's behavior from outside, through the examination of similarities and differences between cultures. From the theoretical point of view, ethnography has its roots in cultural theory and the established theoretical framework adopted in the investigation determines the distinctions between macro-micro and etic-emic. The system proposed for the review of the cultural values is associated with the concepts involved regarding etic and emic, through which emic and etic emerge within a description of behavior seen from different focal points.

The emic view allowed the examination of a determined aspect more internally or from a cultural point of view, while the etic point of view adopted a culturally neutral posture with the objective of a culturally universal interpretation. Put in other terms; the emic perspective associated with intrinsic values of a specific society (or cultural group) considered important for its members. On the other hand, the etic perspective related to extrinsic properties of this same society (or cultural group) considered important for the research (or scientific participant observation). Traditional anthropology operates as an etic method of interpreting the art of different cultures, utilized as a scientific approach most of the time from a culturally neutral perspective. It is relevant to point out that reality, as seen through an ontological perspective as a social construction, allows the study of cultural and behavioral forces that drive the construction of the meaning of the organization. Such perspective aligns with the emic tradition typically found in ethnographic research, through the analysis of the subject's life experiences and expressions.

Traditionally, in anthropology, there is an understanding that researchers not immersed in the culture under investigation can only apply etic approaches, and such understanding brought about some criticism about the segregation of the cultures of the global context. A new emic approach proposed adopting a more holistic approach, conceiving culture as a complex system, integrated, and sustained by a dominant subject, characterizing and distinguishing one society from another. Currently, there is a common understanding that the ethnographic research must gather both emic and etic knowledge. Emic knowledge is essential for an intuitive and empathic comprehension of a

determined cultural group and for the achievement of ethnographic fieldwork, which is often a valuable source for the etic hypothesis. On the other hand, the etic knowledge is essential for the intercultural comparison and imperative for ethnology since the comparison requires standard units and categories.

It seems there exists a problematic relationship between etic and emic due to a supposed lack of etic space that could allow a reciprocal comprehension of the different emic forms. Olive (2014) stated that the relationship between phonetics and phonemics in traditional phonology are the foundations for etic and emic constructs, the first being Universal and the second, specific for a determined language. Theoretically, the problem that remains unsolved is the comprehension and a clear indication of what type of etic-emic framework the ethnographic researchers should use to enhance the description and comparison of society and culture.

There is also a perceived conflict between etic and emic, in the external and internal descriptions of language and culture, and in an attempt to resolve it, metaphoric translation is a process that could help in the comprehension of how etic and emic concepts work together in universal human connections. In this regard, Olive (2014) critically analyzed culture enquiring how this linguistic reality comes into the open contradiction between etic and emic concepts, though does not devalue its use in the ethnographic field. Instead, it broadens a new field related to language and culture. From a practical point of view, it is common knowledge that within the ethnographic researchers' field, human differences have been making sense through the comprehension

of human similarities, and etic and emic are taken as the same type of understanding as when one person tries to give sense to another.

It is evident that the debate on etic and emic continues to pose fundamental ontological and epistemological concerns about the controversial definitions of emic and etic. From an epistemological point of view, emic and etic could be seen as adjectives that modify the term knowledge, since the distinction between emic and etic is intrinsically united to the nature of knowledge and doesn't associate with the origin of the knowledge under investigation. Emic constructs are narrations, descriptions, and informed analysis regarding conceptual categories deemed pertinent and appropriate by the members of the cultural group under investigation. Etic constructs are accounts, descriptions, and informed analysis regarding conceptual categories deemed pertinent and appropriate by the scientific community. Defined from this epistemological point of view, the utility of the distinction between etic and emic becomes very evident since it offers a trustworthy way of making such a clear distinction.

From the validity point of view, the pursuit of emic knowledge takes place through consensus of the informing subjects that should agree upon the construct reflecting the shared perceptions that truly reflect the characteristics of that culture in particular (or cultural group). I demonstrated the validation of etic knowledge through an inductive approach, which allowed for the fulfillment of the standards of logical consistency and saturation. I pursued the emic knowledge, as much as the etic, through observation, though the research technique utilized in the acquisition of knowledge has no relation with the nature of this knowledge.

The Leadership Component of the CSR Process

Conceptualizing leadership is not an easy task due to its many perceived forms, traits, multiple meanings, properties, contextualization and related processes. Theorists and management researchers referred to leadership as a process of energy in the community and sometimes, as a political relationship (Benit-Gbaffou & Katsaura, 2014; Yukl, 2013; Zubillaga, 2013). Also, viewed leadership as organizing, giving sense to action, or as a social process associated to the optimizing of every human resource available and potential, within a given environment. Others understood leadership as a process of rescuing the best of a certain situation and a change of culture or context in which the leader operates (Chia, 2011), and also often as an act to create change within organizations. Owen and Kemp (2014b) claimed that some mining companies fail to allocate resources while others make them available but lack either the required leadership at the corporate level or on-the-ground to comply with and deliver on their CSR initiatives adequately.

Leadership implies relationships through which some people are better situated to influence others to accept a new set of values, attitudes, and objectives, or to modify behaviors and attitudes to obtain and reach these desired values, attitudes, and objectives. These same elements (values, attitudes, and behaviors) are useful for the interests of the community and act as a mediator for the individual sense of belonging to the group, and in this sense, leadership may then also represent an essential characteristic of social groups (Benit-Gbaffou & Katsaura, 2014). Leadership can also be seen from a different

perspective as a managerial phase and understood as another of many skills, abilities or assets that a successful manager must possess.

Discussing the relevance of leadership for CSR. The characteristics of moral and immoral managements are abundant in the public domain and defined with precision, some more than others. One is the antagonist of the other, but both must aim for a style of moral and ethical behavior through leadership as a structure, to better business practices. The leadership styles that could advance CSR discourse and practice within the mining industry field are those aligned and connected with sustainable development and ethical sense. Said traits would improve the connection between companies and the communities of place (or impacted communities), steadily working jointly to reduce conflict and negative social impacts.

CSR stipulates context to leadership research in one end and, on the other end, leadership literature provides process models to CSR, though there is a gap in both fields when it comes to new forms of leadership. The research of Christensen, Mackey, and Whetten (2014) investigated the micro-foundations of CSR with a focus on how leaders could have an impact on the activity by combining the multidimensional nature of CSR with individual leadership traits and behaviors. Corporate leaders enforce their values on decision-making processes finally affecting the social performance of the corporation, which can have a long-lasting effect on CSR. In this sense, the research of Christensen et al. (2014) offered new avenues for scholarship in the field related to leader motivations for CSR aiming at improving performance and outcomes.

The importance placed on ethical leadership and enhanced CSR values are well suited for my study in an attempt to comply with the local social norms and institutional rules. Yang, Colvin, and Wong (2013) discussed the direct links between ethical and social issues and how transnational companies engage in CSR seeking to face said cross-cultural ethical issues though not totally prepared to face the challenges ahead. There exist three historical perspectives on value-based leadership, and such ethics-based approaches consider three key concerns, namely, intent, proper means, and proper ends, with CSR falling under the key concern proper ends in the social responsibility leadership type. Van Wart (2014) mapped the types of ethical leadership cross-referencing them against the aligned concepts and the major ethical concerns at stake, identifying the areas that the leaders should emphasize. CSR literature I reviewed highlighted that the socially responsible leader places a strong emphasis on community and environment.

The ethical leadership approach has been extensively expressed in academic research and suggested that the persuasion attitudes must endure through time. It is worthwhile to implement CSR with certain community support and not only as a deliberation but as a contemporary praxis of building it in a socially responsible manner, which means, a leadership approach considering ethical values as connection and capacity of charismatically performing ethical traits across the corporate and social structures. As stated by Claasen and Roloff (2012), in some cases leadership roles in certain companies experiment a gap in legitimacy regarding CSR and the companies' reputation as a multidimensional construct amongst production, commercialization, and the social situation of mining communities and their impacts on economy and

environment. In closing and stressing the need for an ethical leadership approach to CSR, Van Wart (2014) reinforced the notion that an ethical leadership approach, with a vision that embraces healthy interactions between mining companies and community members, would protect the CSR initiatives against potential or latent external threats.

Leadership in general and more specifically corporate leaders are paramount for designing and implementing adequate CSR initiatives. Rego et al. (2015) indicated leadership characteristics and behaviors as one of the most important facilitator drivers for CSR and sustainability. Rego et al. (2015) also highlighted the little attention paid to the role of leadership in the literature in the field pointing that several authors have claimed that leadership has a paramount importance in building or destroying CSR sustainability initiatives. Since leadership emerged from the literature I reviewed as the key internal driver for CSR, the correct understanding of leadership traits, styles, and mindset is relevant to explain the organizational actions toward CSR initiatives and outcomes. Also, in the literature I reviewed there is a discussion on the challenges faced by the corporation leaders wondering what else they could do in this sense, suggesting bottom-up engagement initiatives.

The center of gravity of the discussion about the relevance of leadership for CSR, as the first argument, is concentrated on business ethics. I looked for a permanent review and inherent aim to people's values and for a discussion concentrated on searching for the leadership style that would embrace the paradigm shift leaving philanthropy (e.g., the fourth layer and highest level in Carroll's pyramid model) behind. Put in other words, a leader that would promote the denial of the practice of large donations of money and

contributions, which usually do not respond to the communities' needs. Moreover, centering the focal point on short and long-term relationships with others, which in the end, is a way of decreasing uncertainty and distrust between transnational mining companies and community.

The discussion that follows will provide more insights on the relevance of an appropriated leadership style more in line with a socially sustainable CSR discourse and action. Dolan, Garsten, and Rajak (2011) illustrated the tensions within the context of CSR discourse and practice about the leaders performing ethics in different ways and with different ends in mind. The ethnographic research of Dolan et al. (2011) explored the meaning, practices, and impacts of CSR in geographically different regions (e.g., Chile, India, DRC) and across a wide range of transnational corporations (e.g., Anglo American, De Beers), revealing the vague and volatile nature of CSR. Dolan et al. (2011) raised questions challenging the CSR standards and protocols that often reproduce power inequalities and replace the human forms of sociality in the quest of realigning and reordering social relations.

Bringing the discussion to a local level, since 2001, the research center of the University of La Serena, Republic of Chile, which specializes in social responsibility, has worked closely with local mining companies in developing ISO 26.000 standards, and the utilization of the Global Reporting Initiative (GRI). Said University has been the driver for over 80 local companies about improving and strengthening the definitions of CSR, corporate governance, human rights, labor practice, environment, and fair operating practices. I refer to fair operating practices as the suppression of bribes, prices

lobbying, and business transparency and, through the stimulation of active participation and community development, the dedication to decreasing the negative impacts within the community.

People will feel integrally satisfied with value parameters adjusted to each business organization and will feel the contribution they are making to the common good, as a concept of constant evolution. As for leadership, the main ruling is that the company's board of directors takes risks, developing strategies and establishing objectives, with talent and a high degree of commitment. This effort must be taken on, not only for the sake of the shareholders, but also to inform that new risks are undertaken in more transparent work with the community and, above all, working for the other.

In summary, the most important limitation for an ethical leadership contribution to a socially sustainable CSR, amongst others, is the scarce consultation process with the local communities, which should consider a profound constructive process with the locals, bearing in mind comprehension and the discursive articulations. Unfortunately, inadequate leadership styles have been affecting the business models in a negative form, in the planning and executing of the development plans, even redefining the CSR concept and development. Without abandoning the managerial point of view, which has made prestigious global companies reach their objectives and immediate goals, it is as if the mining corporations financed and built social projects merely for the social participation in the articulation of local development projects.

The leadership role in CSR and social change. Due to its importance and relevance for business organizations and societies, leadership research and practice must

always associate with the ethical principles contemplated in the existing codes of conduct, ethical codes, declarations of ethical practices, and ethical principles and guidelines. Leaders must make an effort to fulfill such codes and guidelines, showing a behavior compatible with the existing ethical principles. Society, in general, has been enjoying a greater appreciation for ethical issues, and the appearance of governance principles and regimes should have a greater level of influence in the leader's traits and actions. Leaders have the inherent leadership responsibility not only related to the adoption and application of ethical codes, but the most important responsibility is of incorporating ethical principles in daily practice and actions. Therefore, it would be important for the leaders to consider the cultivation of proficiency and best practice based on ethics.

Leaders must not only motivate and maintain others committed but also maintain themselves identified, motivated and committed to success and always accept more and more challenges. In any case, one must always keep in mind that every organization and society have leadership embedded in their structures, evolving as the environment changes. Therefore, leaders must always be learning new abilities, updating themselves to be better prepared to face the challenges in practice.

One important challenge that leaders face has to do with the identification of values and beliefs that they and their followers mainly cultivate, and then, later on, must harmonize. Zubillaga (2013) stated that new leadership styles are speaking of identities created from adversity, as there is a constant claim on behalf of the communities to the point of threatening and stunting subjectivities. More socially articulated communities

are demanding respect, which is an assertion of belonging and recognition and corporate leaders must manage an arrangement for a commitment to individual and community respect.

Mining corporations should focus on building a culture of responsiveness aiming at developing understanding and knowledge about the outcomes of the social development programs. Chia (2011) contended that transnational mining companies and corporate leaders should encourage sustainable community practices and focus on developing social capital as a critical component of the realization of community objectives. On the same vein, Estes (2010) sustained that the majority of the developing countries have not made significant progress toward fulfilling the basic needs of the communities and suggested that it is necessary a better balance between social and economic development. Estes (2010) also suggested advancing a new paradigm placing people and people's development at the core of the social development process. In closing, Estes (2010) also recommended that leaders should place the people's commitment through knowledge base action (praxis) at the center of the corporate strategy for the realization of the extensiveness of the communities' basic needs.

The literature I reviewed indicated the absence of proper consultation processes involving the communities investigated. Hence, the community members were not able to influence CSR strategies in the context of weak governance (see Kuhn et al., 2015). Kamlongera (2013) investigated how the CSR strategies of the transnational mining companies operating around said communities were meeting the needs of the communities, and confirmed this trend. Kamlongera (2013) also reinforced the need for

a committed management of ethical leadership when it comes to CSR discourse and agency due to the blatant and constant cases of power imbalances.

About the research methods and the future lines of research, I suggest investigating leadership as a process. I found through the literature I reviewed that a strong indication exists that ethical values are fundamental to the practice of real leadership. The literature I reviewed about this aspect highlighted the importance of how ethical norms and how essential the ethical values are for leadership practices (Yukl, 2013). It is difficult to characterize the real moral nature of leadership due to the different interpretations of moral action, which invariably differ between leaders, followers, and observers, depending on the context and time.

Ethical approaches are essentially the moral obligation of protecting employees, clients, local communities, and society in general, protecting its rights with respectful and equal treatment. Nonetheless, when one acknowledges Carroll's claims, it is also necessary to embrace along with them the objectives and the moral motivations aspects. Also, the unethical orientations, which generate strong contrasts, specifically about leadership styles on ethical issues, cross-linked with justice, rights, and utilitarianisms within decision-making processes. Carroll (1991) defined as unethical approaches or motivations, regarding the type of governance and leadership style towards local communities, each of those who exploits the community and contaminates the environment, as well as ignores the communities' needs. In other words, the approaches and motivations toward managerial decisions embraced in an irrelevant manner disregarding its linkage with the community.

Global companies have already successfully embraced leadership styles considering the cultural and technological aspects to initiate a synergy process between companies and the community, as well as with potential clients. Taking McDonald's example, one can realize that despite representing a substantial power within global marketing it nevertheless has become sensitive to the context of norms and values of the Chinese consumers. The key for McDonald was the discovery of the meanings of social changes, by considering the most long-lived member of the family, who transmits the Chinese habits and traditions to future generations. This symbolic transferring of meanings directly associated with the concept of family is very important within the Chinese society.

Cultural norms are the answer to a multinational organization that has never lost its communication with the public and society, even in times of economic crisis or sale denial in countries such as Belgium, France, and Spain. The challenge for the Coca-Cola Company, another global company with great marketing share, turned more recently the focus on the cultural differences in Europe. Coca-Cola has centered itself on interpreting and understanding the intercultural aspects and, in over a decade, has gathered the experience that keeps defining it as a worldwide leading company. The company's strategy was always "Coca-Cola is back"; learning from other global companies' experiences and better predicting cultural and social factors, which in the end are what guides people in their behaviors. An interesting turn of events has been occurring in this global company, which is transforming itself into a worldwide cultural interpreter.

It is noteworthy the leadership model that Nokia has implemented in its technological sector, which follows a horizontal research matrix, fusions, and strategic development that has demonstrated its complete success for 20 years in the area of mobile telephones. Nokia faced difficulties when it comes to balancing out the behavior as a company against the plurality of existing options. This company overcame said difficulties by giving consideration not only to the means but as well as to the objectives of their performance management, based more recently on values and culture. Said consideration is especially true about the broadening of the free exercise of choice and the receptivity to suggestions of change, and all these processes occur amongst their workers as well as their potential clients.

In summary, the discussion on CSR leadership styles has highlighted the broadness of the topic, in which both academic research and management performance outcomes have strengthened an illustrated vision of leadership concerning CSR. With a vision that focuses mostly on the business model, the main objective for business corporations is the governance on the profitability generation. On the other hand, the critical review of the selected authors, carried out by me, demonstrated that lately leadership within mining management has evolved toward other interests and best practices. Moreover, such evolution integrates sense making of social relationships, communicational skills, and sociocultural responsibility and accountability. Also, ethical attitudes and code of conduct when it comes to negotiating appear to be increasingly and unavoidably working toward improving CSR discourse and action within the mining industry field, especially under that lens of social change awareness.

The proposed leadership style found adequate to CSR practices. Several classical and contemporary theories of leadership and their evolutionary and theoretical frameworks, whether they are essentialist, discursive, constructivist or relational, were critically analyzed by me. After the assessment, I selected the social constructivist framework, since it connects to the discursive perspectives as well as with the relational type, founded on the interrelation between the leader and his followers. However, I also understand that the relational leadership style bears a higher interest associated with social change.

The relational theories are a relatively new approach to leadership and contribute with a different view of leadership and business organization as human social constructions. It is important to consider that the relational orientation gives value to processes and not to individuals while the construction of process considers people, leadership, and other relational realities. As such, the relational perspective is not interested in dealing with the individual attributes of those who participate in leadership actions but only in processes of social construction relevant to themselves. The base for the relational perspective is the assumption that social reality and the context of the relationships are integrated and does not adopt the structures of organization and traditional management. Moreover, it considers business organizations as relationship networks that are part of a complex system in movement through space and time. From this perspective, power distribution happens throughout the entire social tissue; hence, the organizational changes are the result of coordinate actions of peoples at all different

levels and a product of language and action produced within the broad and dynamic socioeconomic environment.

Meanwhile, the social constructivist approach to leadership emphasizes the practical communicative aspects and the construction of social networks. This type of approach highlights the potential for new constructions of human systems exploring those resources built through discourse, as a means of understanding how people give meaning to situations and how they behave. The discursive approach of leadership is a recent development and represents a turn against the lack of coherence of the essentialist approach to leadership and the discontent with the interpretation of the qualitative results thereby issued. The discursive approach of leadership seeks to explore subtle relationships between the role of language, interpretative work, actions and the determined characteristic of leadership, which always co-defines the leadership patterns. As a general concept, the social constructionist researcher accepts all that is perceived and real as the result of social relationships.

The social constructionist research focus is on the articulation of the connections between people, actions, meanings and contexts, defined or established as the integrated complexity of each situation. However, there exists a debate on the agency and quantity of control that leadership actors could exercise on their structuring of the situation. It is plausible to consider the constructionist perspective of leadership as situational, attributional and dialogical, in spite of being explicitly discursive. The basic principle of the approaches to the social construction of leadership is that people produce their own

social and cultural environments while on the other hand and at the same time, these environments are continuously producing them.

Due to its relevance to the research topic, it became important to discuss the leadership synergies and practices associated with the TBL, and corporate and social sustainability. Rogers and Hudson (2011) discussed the synergies and conflicts within the three elements component of the TBL that quite often “call for a higher, more challenging form of leadership” (p. 3), which in turn require a different leadership skill set. Rogers and Hudson (2011) posited that the corporate sustainability is somewhat distinct from many other organizational challenges because it associates with changes in sense making and agency at every level of the organization. Rogers and Hudson (2011) suggested that the most suitable leaders to deal with corporate sustainability matters are the ones that see it as “the next frontier in organizational development” (p. 4), and more specifically leaders that are essentially practitioners and not necessarily top-rank executives. Alhaddi (2015) carried out a literature review on the TBL and sustainability constructs, which is worth reading.

In some leadership roles, the actors interact with each other, or in other terms, corporate leaders, as well as community leaders, find them in an open act of influence and exchange, constituting reciprocal relationships of understanding and community solidarity. Concerning the interactions between company and community, Benit-Gbaffou and Katsaura (2014) stated that leaders took actions as an isolated subject, with interactions between both actors, but not with the rest of society. Within this relational connection, where the constructionist praxis prevails, the moderating factors are the

norms and values of overt behaviors. There is no formal specification of this view of leaderships in roles or status, but it comes as a complementary behavior that must not necessarily be institutionalized or contradictory.

Leadership is fundamental to activate mechanisms to effectively perform essential functions aimed at improved organizational performance, being community relations one of them relevant to this study. Referring to Hazy and Uhl-Bien (2015), leadership practices foster interactions necessary for sound community-building functions as part of effective CSR practices. Furthermore, community-building practices bring in the ethical climate inside the organization and facilitate the interaction of the individuals with the different social groups within a given ecosystem where the organization operates.

Organizational and Social Change and their Relationship with CSR

Organizational change: Path towards a necessary change in CSR policies and practices. Organizational change is an apprenticeship through own experience within cultural assumptions; in other words, organizations determine their basic processes for doing things and deeply embed culture in the goals and organizational meanings. Cummings and Worley (2015) sustained that any intervention related to the social change processes favors learning and is a form of intervention in the socio-emotional processes within work groups and organizations, such as in conflicts, deficient group processes, and lack of communication and norms. I acknowledge that the organizational development field is huge and has a broad application, which permits the selection of the best framework and sense making to establish the correct events and interventions. This understanding facilitates the adoption of specific organizational theories and concepts

that examine the issues that could emerge from the intervention in either the business organization or community.

I found in the literature I reviewed that organizational culture has many different definitions and that the most accepted ones are similar and cover many of the same social and cultural elements. Organizational culture takes charge of the general manner in which a company performs business and can differ between organizations that operate within the same territory (Kottak, 2013; McLean, 2006; Parsons, 2009). One of the most important aspects of the management of the dynamics and the effects of the organizational culture is being conscious of the origins of their culture and its influences. Moreover, to seek the understanding that organizations are composed of many subcultures representing different values, meanings, and thought patterns. Also, there is a perception that culture has a great impact on social interactions of the individual with other individuals of the same group or different cultural groups (or cultures), and the study of the cultural patterns facilitates the comprehension of ideologies, beliefs, values and norms that determine the organizational behavior.

Organizational changes evolved becoming associated with organization meanings and connecting to its practical aspirations of change, as a common cultural practice and these aspects are fundamental in the construction of organizations that intend to contribute to knowledge in general. Gover, Halisnki, and Duxbury (2016) reviewed the current literature on organizational culture change processes and suggested that the research field could benefit from studies confronting both etic (e.g., researcher point of view) and emic (e.g., employee point of view) perspectives to assess how and why

culture has changed. Though, it is important to note that resistance to change within the organization not only goes through macro alignments of the organization but also the micro-politics of decisions such as technical-social systems. However, Walsh (2011) indicated that these views are more long-termed after he had explored the real world and confirmed that changes have occurred.

Nowadays there is an acknowledgment of the practices, contexts, and interactions associated with the daily issues of the social and communitarian system. Corporations and corporate leaders are interpreting an interesting dichotomy between the organization and the community and are coming close to the comprehension of multi-realities. The research of Brander, Paterson, and Chan (2012) demonstrated that the ethnographic research paradigm could foster organizational change through the understanding of the actor's expectations and the development of shared meanings. Brander et al. (2012) explored values, views, philosophies, and practices from socially constructed norms and processes that provided a foundation for a planned organizational change process.

Sustainable CSR initiatives demand a new way of thinking away from the top-down pragmatic CSR programs most encountered nowadays and in this sense social license became an important concept in any and every business field. Syn (2014) contributed to the constructs related to CSR and business ethics with special attention to the concept of social license. For the specific mining industry context, CSR policies typically related to the social license are those associated with social and economic development, with an increasingly focus on long-term sustainable development rather than short-term philanthropic initiatives. Syn (2014) explored the relationship between

the need for a social license and the CSR constructs in response to issues of human rights land violation. The research questions are perfectly in line with both views and informed by them.

In summary, the topics addressed are relevant to the understanding of the nature of organizational culture and aspects of organizational changes necessary for enhancing CSR discourse and practice. Organizational change and organizational culture intertwine, and the latter has strong associations with the organizational mission and objectives and plays an important role in advancing best CSR policy-making and practices. In this sense, organizational culture is also paramount since any organizational strategy toward the organizational change objective will necessarily have to involve organizational development and changes, which entails changes in beliefs, attitudes, norms, and values.

The social systems embedded in the organizational structure are important for any organizational strategy tailored to conform with a new organizational structure seeking to contribute to performance improvements in the field of socially sustainable CSR initiatives. From a mining industry perspective, organizational changes must take place to incorporate new cultural assumptions involved in the basic operating processes associated with social change processes. Said organizational changes must absorb the concept of social license to operate focusing on the avoidance and mitigation of conflicts in the relationship community-company.

Social change: A challenge for CSR. Since the early 80s, there have been experiments and heated debates on organizational culture, and these included issues that

go beyond economic, technical, and legal requisites of a company. Besides, the continuous environmental disasters and violations of human rights have raised public concern, putting CSR in a tough position related to the organizational culture style, which calls for an organizational change long expected. The sustainability of a business organization, as a symbol of an entity that is ethical, equitable, and that transpires the connection with the community and the environment, should sustain changes at least based on social and environmental values, in its daily practices. Kemp, Owen, and van de Graff (2012) acknowledged that changes are taking place, but yet mining companies are constrained in their approaches due to governance structures, and there is a long waited need for facilitating organizational change to improve social performance.

The expected characteristic changes should obey a worldview that includes a sense of justice and equity. Also, in this sense, there are advancements towards behaviors associated with social aspects that corporations should be introducing into their organizational structures and incorporating into organizational strategic planning. Yang, Colvin, and Wong (2013) studied the linkages between cross-cultural ethical issues and CSR strategies and demonstrated that CSR components are not fixed and vary depending on cultural values, organizational actors, and institutional contexts (see also Kuhn et al., 2015). And, added that emerging cultural values and institutional factors are influencing the strategic corporate decision-making to respond to the moral obligations to society at large, domestically and abroad. Many global companies and their executives are embracing ethical behavior and transparency and including them in the development of

new business, regarding clients and creditors satisfaction, in addition to better community practices.

Not all approaches to organizational changes, represented by the values, logos, and slogans, are mere symbolic changes. These organizational changes are contributing to the birth of a new paradigm, as a social reversal that promotes the understanding of people and their narratives as the most important aspect of the business. Brander et al. (2012) sought to acquire knowledge through discourse and critical debate reinforcing that an ethnographic research tradition is an adequate approach to propose solutions for complex social issues through the examination of cultural patterns within a community.

The above mentioned approach is a justification of a praxis that evokes a qualitative design that permits the exploring and comprehension of new business opportunities, shareholders, clients, and local communities as well, with the objective of improving the quality of life and responsibly approaching sustainable development with the community. As previously discussed, changes are taking place in the core of the structure of the companies, regarding their operational philosophy and procedures (organizational culture), and becoming part of their operations as new practices. In closing, social change is setting in within a social actor's model, which is undertaking at least three aspects of the practice and hermeneutic dynamics: (a) the role, (b) the person, and (c) the character.

The great global and systematic models of the western countries are under stress, incorporating subjective aspects into the experiences and creating a space for an untold discussion on social change. Leadership and social change commit to the action logics

with a cultural sense and practice within personal self-realization and social recognition in the construction of the desired identity that complement itself with collective identities. In this sense, the philanthropic view gives way to a view of social and structural change, along with a cultural sense of purposes and values. In the end, the individual's capacities as social actors develop a sense of reality capable of producing changes.

Contemporary CSR Practices Within the Mining Industry Worldwide

A review from a critical-ethical perspective on how the transnational mining companies are doing regarding CSR. CSR practices within mining companies around the world have enclosed the most diverse experiences of the individual and collective learning. The road has been long; some experiences have been real, and some symbolic, yet all based on participation and the improvement of the results of each of these companies. It is interesting to learn that some of the criteria used are realistic, based on trust, but others merely focused on the companies' benefits. Rolston (2015), drawing on her ethnographic research, pointed out the skeptical academic appraisals of collaboration traits between transnational mining companies and communities, and discussed the persistent power imbalances between the actors. Questions emerged from the literature I reviewed querying about the current thinking regarding the approach to social change and the correct understanding of interventions in the community.

At this point, it is valid to provide some insights on CSR conceptualization to contextualize it properly. Okoye (2009) debated about CSR as an “essentially contested concept (ECC)” (p. 613) and discussed the CSR implications for academia, industry, and society. Okoye (2009) pointed out that even though there is a broad acceptance of CSR

as a concept, there are not enough normative foundations to support a homogeneous CSR practice. The absence of a unique definition of CSR, with the proliferation of interpretations, discourse, and agencies, might be at the heart of the conflictive and diffuse measure of its contribution to social development and sustainability. The power models associated with CSR, as discussed by Okoye (2009), add to the already complex corporate-community relationships by the contextualization of other aspects of ethics, culture, and strategy.

The literature in the field neglected the societal aspects of CSR, which has investigated it more from a descriptive or normative view. Brammer, Jackson, and Matten (2012) sought to explore the effectiveness of CSR based on the prevailing notion of CSR as a more institutionalized form of social solidarity given that the form and meaning of CSR remain highly contested. Brammer et al. (2012) highlighted the shift of CSR research towards the interest in the dynamics of the changes that the CSR concept is going through, inclusive considering the aspect of societal diversity. The aspect of diversity bears relevance for the understanding of the cross-national variations of the CSR discourse and practices.

It is interesting to note that even the transnational mining companies have pointed out that there has been a poor response to the challenge of social and community development. Harvey (2014) indicated that in spite of a focus on confronting issues and all declared good intentions; the social development approach adopted by the mining companies is essentially flawed, reinforcing the criticism around CSR in mining in the literature. I suggest the need to explore the challenges of emerging practices looking for

evidence for a positive impact on social development, in light of the numerous case of contentious relationship in this arena.

Transnational mining companies worldwide still face a paradoxical challenge regarding changing community's perceptions about their intentions due to outdated doctrines forcing them into a dichotomy discourse-practice. Hilson (2012) pointed out that companies are providing jobs and are proud of their plans for social work. Attesting that there remains a valid perception that mining companies have placed themselves on a level of corporate hegemony, which gives a misleading vision of change to others; yet the reality in the ground points towards another direction.

There is worldwide recognition of CSR as an effective road to social sustainability and as such, CSR has attracted academic attention, since the values and awareness of sustainable development become more broadly accepted. Zu, Li, Zhao, and Li (2014) discussed the state-of-the-art CSR in China and studied the lack of cognitive level of CSR applied to the minerals industry. Zu et al. (2014) indicated that the corporate behavior concerning CSR issues tended to shift depending on the dynamics of economy and society, acknowledging though that CSR discourse and agency have evolved from a compliance stage towards a strategic stage, still far apart from the civic stage. The relevance of the research of Zu et al. (2014) to the study relates to the character of CSR dynamics on awareness, perception, receptiveness, and behavior on social development and the needs of the stakeholders. The knowledge I gained on these aspects supported the framing of the answers to the research questions about the emic and etic perspectives explored.

CSR as a corporate process for socially sustainable development entails the governance and social pacts. The research of Misoczky and Böhm (2013) focused on understanding the consequences of CSR practices on a community that shares the same “ethical values, epistemic evaluations, and the promotions of citizens’ consciousness” (p. 316), affected by a large mining operation. Misoczky et al. (2013) diverted the focus of the discussion from the perspective of the mining company (the ethnocentric approach) placing it instead on the people’s struggle (the cultural relativist approach). Misoczky et al. (2013) reported at least 120 social conflicts from Central America to Southern Patagonia.

It is in the public domain that Newmont Mining, the world's second-largest gold miner, walked away from its US\$5 billion Conga copper and gold project in Peru in April of 2016, due to relentless community opposition. A report by Global Witness (2016) listed 42 cases of killing in 2015 in Latin America associated with conflicts over mining, being most of them of indigenous people living in remote locations rich in natural resources. From 2002 to date there were around 55 deaths in Peru linked to the mining sector. The UK-based organization estimates that around US\$22 billion worth of mining projects have been canceled or delayed in South America in recent years due to social conflicts.

The literature I reviewed unveiled articles on the complexities of community-corporate conflict over resource extraction. As to the mining conflicts in Guatemala, Costanza (2016) discussed the pervasive nature of mining development strategies and noted the lack of research on the process of pursuing a social license to operate. Pearson

(2013) carried out an ethnographic research on emerging conflicts and community organizing in the USA offering an overview of the responses to the mining industry entailed by organized communities. Baines (2015) offered a recount on an ethnography work in the context of the mining conflict in Peru and likewise, Kirsch (2016) also discussed several mining conflicts across Peru in a multi-sited ethnography study, though considered socially shy from a conventional ethnographic point of view. And, the discussions and findings encountered in both articles shed light on the concept of conflict and the distinctive forms of values involved in the context using classic features of culture beyond cultural identity.

The literature I reviewed indicated that there is a need for a call for a renewal of management development of CSR discourse (policy) and agency (practice). Such renewal should maintain the hierarchy of peoples in its core when developing CSR policies, aiming at counter-effecting the increasingly popular opposition to mining projects (Misoczky et al., 2013). Said renewal should also incorporate organizational mechanisms and practices into CSR necessary to fulfill, among other things, the control of the social process, aligned with the study's purpose of proposing a paradigmatic change in the current CSR discourse and agency.

In all fairness, many consider CSR as not one of the main activities of the company and use it as if it was a platform, which traditionally promotes ethnocentrism from a developed world towards another in the process of development or state of poverty. Furthermore, some CSR initiatives in the African continent reportedly still bear some tones of colonial discourse as opposed to the neocolonial development approach.

Often, translating it in a contrasting view between colonizers and colonized, especially in rural and unprotected towns. Opportune to cite Makarova & Makarova (2013) and quote that “knowledge is a powerful weapon to overcome ethnocentrism” (p. 165) and by knowing the other through ethnography would greatly assist CSR policy-makers in the quest of proposing a paradigmatic change in the current CSR discourse and agency. In the next section I discuss the facets of the CSR hegemonies and the suggested need for change.

Controversy puts forth bridges towards development to mitigate the poverty of the population. It is a fact that certain transnational mining companies have more capital than the countries (states) where these companies carry out their productive activities. Rolston (2015) is of the opinion that the CSR agenda requires an effective state regulation to ensure the symbolic transformation of the power imbalances towards the solution of the communities’ needs and aspirations. However, this conceptualization has remained in the aspirational sense, in the dialogue and critical meditation, but has not become a real development in the community. It is in an embryonic state between an ethical sense on behalf of the mining companies and an impoverishing state of the communities.

The report of the World Commission on Environment and Development (1987), referenced to as the Brundtland Report, stated that mining had developed separately from the local population. This mining development model created distrust and antagonism between communities and mining companies. Cronjé and Chenga (2009) stated, “Mining is fast growing and brings large profits to mining companies” (p. 413) and they generate a

draconian regulatory frame, making democracy a senseless exercise when implementing CSR initiatives. Cronjé et al. (2009) posited, “CSR has become a fashionable term” (p. 419) for sustainable social development. Bice (2015) debated on the lack of studies exploring the CSR implications for the communities it was meant to support, while Cronjé et al. (2009) indicated that planning activities without involving communities are the same as stating: “we know what is good for you” (p. 423).

There is dismal evidence of real socio-economic development brought in by the CSR initiatives within the mining industry, and in spite of the diagnosis, some transnational mining companies search more for corporate sustainability than social sustainability when it comes to community development initiatives. Gilberthorpe and Banks (2012) posited that CSR practices focus more on delivering on global performance standards (an ethnocentric approach) rather than on meeting the specific needs of the social contexts. Yakovleva and Vázquez-Brust (2012) referred to social manipulation and the act of creating fallacies regarding improved life conditions, or put differently, the companies install power ethnocentrically within the established institutions but do not empower either people or communities. In an attempt to counter-effect the weaknesses of CSR discourse and practices, Gilberthorpe et al. (2012) suggested more engagement with the impacted communities (or communities of place) to develop a CSR strategy equally beneficial for both actors.

Another aspect or issue for discussion is the CSR discourse, described as a monolingual paradigm, with a rigid standard vocabulary and grammar, sometimes of difficult interpretation by others. In this sense, Moriceau and Guerillot (2012) studied the

CSR language describing it as monolingualism, with its standardized vocabulary and as being the language of the other, firmly suggesting a review of this post-colonial approach. Moriceau et al. (2012) also offered a distinctive view reinforcing once again the ethnocentric facet of CSR, that this study wants to highlight as a weakness of the CSR process and again as a notable knowledge gap in the literature in the field.

The ethnocentric top-down approach to CSR, in my view, disregards the idiosyncrasies, values, and sociocultural needs of the surrounding affected communities (or communities of place). Dolan et al. (2011) highlighted, “discourse and practice of CSR attempt to standardize, categorize, measure, and routinize different forms of value (economic, ethical, legal)” (p. 6), but fail in addressing the social form, which the researcher is proposing to consider. Owen and Kemp (2014b) claimed that the gap in CSR discourse (policy) and agency (practice) is due to several reasons, as goals and objectives not being aligned, and as commitments made locally receiving lower priorities than production targets imposed by the corporate head-office. But more importantly, the CSR programs are quite often initiated before communities have had the opportunity to raise their concerns and get prepared for the significant economic, social, and environment impacts arising from the mining activity.

It is important to note that in the literature I reviewed related to CSR, I sought peer-reviewed articles on ethnographic research approach that used a sociocultural perspective outside the mining industry as well. In the literature I reviewed on contemporary CSR practices within the mining industry worldwide, I determined that there was a need to address issues that add value to the transnational mining company

from a CSR point of view, and found that there was a knowledge gap in the contemporary literature in the field. I critically analyze the literature from scholars who have produced valuable papers on CSR and its social impact in the mining sector. The literature I reviewed provided constructs that I used for the emic-etic concepts related to CSR, as well.

In summary, most authors align with the ambiguity, volatility, or even absence of the CSR definition, and, as a result, casting doubts on the real contribution that CSR makes to social development. Vague aspects, which, in turn, give room to criticism from the communities affected and rise to the somewhat conflictive nature of the relationship company-community. The character of the CSR dynamics about the economy and society dynamics in respect to the needs of the stakeholders play an important role when juggling corporate strategy versus societal expectations. There is a latent call for a paradigm shift towards the cultural relativism (bottom-up) approach moving apart from the predominant ethnocentric (top-down) approach, sometimes referred to as a post-colonial approach, bringing solutions that are more liberal to the issues at hand. An adequate CSR development model with a more balanced power structure, thus strengthening CSR discourse and agency, would bring corporate sustainability and social sustainability together.

CSR in the context: Transnational mining companies and the community.

Some CSR strategies adopted by some mining companies, as philanthropic gestures, only inform and monitor the intervened community. The critical alliance proposed by Rolston (2015), which is a form of relationship between mining companies and the impacted

communities, is an attempt to improve the often-conflictive nature of the relationship between mining companies and communities impacted by the mining activities. Creating alliances is a transformational commitment of work sharing and integration with the community, which commits to change in society. Unfortunately, with such mining companies' practices, there is still in place a vertical exercise of power.

As a result, community participation appears and disappears in a ghostly manner. Owen and Kemp (2014a) defended that the lack of access to important resources as, for instance, human and financial, highly supports the level and effectiveness of community participation. The objective pursued by the transnational mining companies should be the establishment of a certain systemic manner of functioning and building of the norms, as sustained by Parsons (2009), using thinking about social construction and community cohesion.

The specific aspects of the approaches to CSR do not accomplish social legitimacy or sustainability processes either, since they are merely functions within the corporate processes, and the interested parties (stakeholders) come apart from each other. Moreover, this produces an inverse effect proportional to the expected one. There is a problem with the CSR discourse and Hilson (2012) posited, "the exact function of CSR in the sector remains unclear, and even less so in the case of operations based in developing countries" (p. 133). Martinez and Franks (2014) explored the contribution of CSR to the social license to operate by comparing two mining operations in Chile assessing the factors that affect community legitimacy of the CSR initiatives. The research of Martinez et al. (2014) confirmed once again the disparities of CSR

approaches and the lack of community participation, which was expecting that the negative social impacts should take precedence over other development initiatives.

The social initiatives undertaken by Transnational mining corporations under the CSR umbrella are the critical component for molding the often vague and conflictive nature of the relationship mining-community. Banks, Kuir-Ayius, Kombako, and Sagir (2013) were concerned with the “under-theorized nature of the impacts” (p. 485) of mining on communities from a developmental point of view, either the inherent or planned forms of development, and the social and economic changes associated with it. Banks et al. (2013) were interested in understanding those community initiatives that bring a meaningful benefit for the society, though not always confronted with the business perspectives of CSR. Banks et al. (2013) advocated that mining corporations should embrace the inherent forms of social development with a more responsible CSR approach adopting clearer and singular motives with greater involvement of the communities of place.

Transnational mining companies and communities co-exist in the same milieu and inexorably develop complex power and social relationships, often friendly but quite often conflictive. As a result, when social and power relationships go bitter it gives rise to protests and unrest. Hinojosa (2013) posited that the management of people’s expectations is critical for solving conflicts and a foundational piece for a socially sustainable mining industry, an aspect that the mining companies attempt to handle through their CSR discourse and practice. Hinojosa (2013) advocated, “It is by empowering individuals and communities that relationships with the mining sector can be

significantly improved” (p. 434), and defended that mining companies should place more emphasis on assessing the different impacts mining can have on community groups and individuals. It was my intention to build on these insights and learn from the impacted communities by hearing their voice and hence empowering them, through an ethnographic study.

The power formulas tested, from the spheres of knowledge and science, in countries that are deregulated regarding work and environment, have perfected the general lines of domination. Behind the power mechanism of Foucault (2009), there are social relations hidden between the mining company and community that guarantee utilitarianism and obedience. These hidden social relations become inevitably visible and invisible between the community and the mining companies, which in turn are quite often disciplined, organized and regulated social behaviors. Yakovleva et al. (2012) stated that the mining companies’ institutional framework exercises a top-down power. Besides, Cronjé et al. (2009) stated that the transnational mining companies quite often have encountered incipient regulations and cheap labor to profit from, mainly in developing countries.

Even though it may be at a minor scale than the transnational mining companies need, the power relations of docility-utility often place pressure on the community. In this Foucauldian view of power relations, the communities become more disciplined (or obedient) as the mining corporations become more useful for them and under this view the mining companies, for instance, elaborate recruitment plans considering the native labor. This social relationship (or, an engineered docility-utility Foucauldian system) is

the product of the technical analysis: work-production-discipline, which adjusts the rhythm of life, time, and productive mining activities. This way, the mining companies have converted the community into a thoughtless entity with a controlled architecture, anatomy, mechanics and economy, as a socially disciplined body.

In association with the discourse and linguistic issues discussed previously, the CSR processes, developed by mining companies involved in socially sustainable initiatives, quite often generate poor results due to misinterpretations of the objectives or expectations created by the communities of place. When discussing mining company versus community conflict in mining, Kemp, Owen, Gotzmann, and Bond (2011) recognized the “ever-increasing expectations for the industry to translate high-level CSR Policy into on-the-ground practice” (p. 93). Kemp et al. (2011) also highlighted that due to the nature of the mining business (usually operating in environmentally and socially sensitive areas) there exist patent imbalances in cultural power. Concerning balances of power, Brew, Junwu, and Addae-Boateng (2015) and Anstätt and Volkert (2016) pointed out that it is necessary to satisfy the conflicts between competing conceptions of social needs and different assets involved in the CSR process (e.g., economic, social, cultural, environmental).

Community unfulfilled expectations, related to CSR initiatives within the mining industry, appear to be the core of the often conflictive relationship mining-community. Alstine and Afionis (2013) discussed the power imbalances between communities and mining corporations, highlighting the sense of unfilled expectations and quite often the conflictive relationships with the surrounding communities (Kemp et al., 2011; Kemp et

al., 2013). There had been little evidence of CSR contributions to sustainable community development in spite of the constant pressure on transnational mining companies to enhance the sustainability of their CSR policies and practices (Alstine et al., 2013). This evidence is particularly true when global and powerful mining corporations operate in weak governance contexts in developing countries with the surrounding communities struggling to negotiate their social needs better. The research of Alstine et al. (2013) is similar to my study from a methodological perspective and on the sampling strategy adopted regarding the interviewed groups (e.g., elders, business people, local leaders, senior management, government representatives).

In summary, several authors have underlined the importance of such methodological perspective especially suitable for an initial exploratory work, due to the complex nature of these events. Particularly Alstine et al. (2013), who commented that in spite of the CSR program in place, one of their research findings highlighted the disruption of social norms and community ties; likely, due to the lack of CSR mechanisms to counter-effect such undesirable phenomenon. This particular finding suggests that a cultural relativist perspective could assist in this regard, supporting a successful implementation of the proposed research approach for this study.

The hegemonies of CSR and the need for change. Transnational mining companies have been constructing imaginary worlds by generating wealth for a few in contrast with the poverty of the communities. The different transnational mining companies researched executed two levels of hegemony: one on the ideological level and the other in its practices. Within the first hegemonic scenario, transnational mining

companies try to initiate and stimulate change. As an alterity, the community members ask about their aspirational changes and queries about who is going to benefit from these changes. Community members have doubts about the changes they want in their lives and if they indeed want a change. These controversial questions develop conflict between the transnational mining companies and the communities impacted by their activities.

A contentious nature marked the contemporary rise of CSR as an emergent paradigm from the industrial revolution since early times. All of these aspects could justify the frequent civil unrest often faced by the mineral industry sector, reinforcing the ethnocentric nature of CSR applied more as a tool to mitigate business risk than to promote sustainable social development, reinforcing the need for a paradigm change. The research of Lin-Hi and Blumberg (2012) also supported the need to call for a CSR paradigmatic change due to the fundamental incompatibility of business objectives with social interests, placing businesses at risk of losing its social legitimacy or social license to operate.

Within this new logic, there are elements understood as distinctive, and it is clear that within these differences, there is no guarantee of wellbeing with the construction of schools, hospitals or sports courts. What does occur is that with the building of these noble initiatives, charity and philanthropy initiatives in the community stand out, but these do not assure coherent social guidelines towards the population in a sustainable manner. Notwithstanding and more recently, there appears to emerge a tendency towards the change processes linked to the discovering of the other and the comprehension of the

construction of the closeness, with both aspects bonded and open to those who intend to become involved in the development processes.

Evidence of the rise of mining company-community conflicts, mainly in developing countries, drew the attention of scholar-practitioners, who are dedicating more attention to their roots and consequences. Triscritti (2013) pointed out that community expectations varied depending on aspects of the livelihood and suggested a customization of the corporate-community relations that offer better responses to the needs of both actors. Said customized relationship is so more relevant in contexts with weak CSR and sustainability governances, and acute social imbalances. Triscritti (2013) also advocated that decades of mining conflicts offer a unique opportunity for changes in CSR paradigms aiming at improving social sustainability within the mining industry field.

There is a need for a call for a step forward on the current paradigms and focus on alternative ways to improve CSR discourse and agency as a contribution to sustainable community development. In this regard, Owen et al. (2012a) explored the conflictive nature of the corporate-community relationship in the mining industry field and discussed the potentialities for a changing role process within the community sustainable development context. Owen et al. (2012a) offered the Asset-Based Community Development (ABCD) model that could advance the CSR development agency by the internal application in the corporate organizational context. The model offered by Owen et al. (2012a) emphasized the areas of deficit for a given community from a

developmental point of view and called for a genuine and transparent statement of needs “focusing on how people can work together to enhance development” (p. 391).

The discussion that follows exemplifies the aspects that the researcher intended to explore in the study aiming at proposing recommendations for improvements in CSR policies and practices further. Owen et al. (2014a) confirmed once more the gap between CSR discourse (policies) and agency (practice) by bringing evidence from the field that “the industry’s mode of engagement and benefit distributions is not always defensible, or sustainable” (p. 12). And, called for a business model transformation (a paradigm change) to better respond to social concerns, drawing from recent literature to indicate a prospect for a more inclusive dialog and the opportunities for engaging social research to address the existent conflicts. Owen et al. (2014a) also highlighted that scholars, practitioners, and decision-makers had overlooked the internal social dimensions of CSR approaches. And, supported the study’s purpose by advocating that “the development of conceptual and analytical frameworks that prompt organizations to review both their internal and external systems for engagement is one means by which to determine the strength of practice in this area” (p. 13).

Visser’s approach to Carroll’s CSR pyramid model. The United Nations (UNCTAD, 1996) created the CSR concept with the objective of satisfying current community needs by linking them to those that would be required by future generations. Thirty years ago, the Brundtland Report (WCED, 1991) precisely defined the fiasco of the depredation of renewable and nonrenewable resources in the world. Only 4 years later, Carroll (1991) searched for social legitimacy within company interventions and

elaborated a revolutionary approach to CSR, giving form to a social relational contract whose interests emphasized different points of view in the role played by business within society. Yakovleva et al. (2012) saw, within the cultural context of countries in poverty, the homogenization of the CSR practices in the mining companies that operate in the world. Nowadays CSR has a sense of fashion, which is scarcely clear and very empty.

From this perspective, corporate social responsibility orientations (CSRO), within their broadest base, position firstly the economy, expressed as nature and its resources, which are out there for extraction and in turn, with them, the world changes. From a legal aspect, there is a framework designed by the liberal governments regulating the mining exploitation and, as a result, corporate governance and the ethical aspects emerge from as another perspective. On top of these aspects (e.g., economic, legal, ethical), Carroll (1991) proposed philanthropy as an assisting process for the communities in exchange for the mining resources exploited. Later on Visser (2006) revisited Carroll's CSR pyramid model (see Figure 1) to account for specific regional contextual factors, which should take priority and changed the layered sequencing in the pyramid, as sometimes philanthropy should take priority over legal and ethical issues for instance. More recently, Yakovleva et al. (2012) suggested the addition of a new concept (or dimension) to Carroll's pyramid, the environmental perspective.

The literature I reviewed indicated that there is not a perfect model for CSR. Visser (2006) explained that even though Carroll's CSR pyramid model is not the adequate model to understand CSR in general, there is a great consideration that it is an interesting model for exploring CSR. Visser (2006) recommended looking at Carroll's

CSR model from a regional and contextual point of view, seeing the pyramid for the African continent, for instance, in a distinct way from the pyramid in Europe or North America. This variation is due to the relative importance of the four levels encountered in Carroll's CSR pyramid model (economic, legal, ethical, and philanthropic). I understood that a sustainable approach to CSR should take into account specific historical and cultural factors as well, and sought to collect data to propose recommendations for improvement in CSR discourse and action, regardless the model adopted.

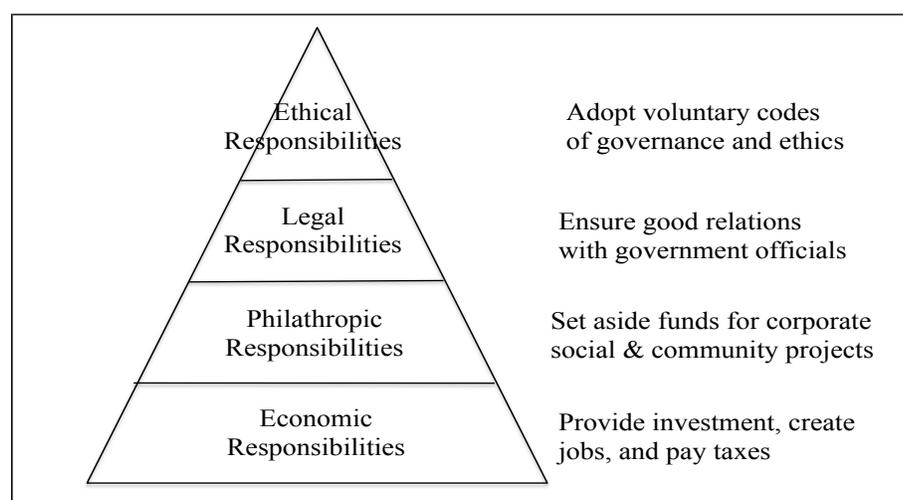


Figure 1. Carroll's CSR pyramid model

Undoubtedly, Carroll's pyramid has great adherence to CSRO due to its practical and managerial effects, which strive to obtain greater profits and benefits. Nevertheless, in the praxis, Carroll's intentions have faded away while indicating necessities, scarcity of resources, and the decision-making regarding those aspects. The environmental variable added by Yokvleva et al. (2012) to Carroll's pyramid model suggests a quick encounter among mining companies, communities, and the new necessities in socially sustainable development, which summons feelings and sensations of clear strategies and

leaderships. The researcher wanted to raise his voice to address a topic apparently so far disregarded during the evolution of the CSR model, the sociocultural dimension.

Social sustainability as opposed to corporate sustainability. Within the CSR analysis, resource sustainability plays an important role since mining resources are nonrenewable, in other words, at some point in the productive history said resources would reach total depletion. Transnational mining corporations have in a certain manner position themselves within the sustainability concept. However, this type of sustainability strategies connects directly to investment risks. Owen et al. (2014a) alerted that in spite of what the mining companies proclaim and publicize, the social benefits distribution and mode of engagement with the communities are questionable and difficult to defend as sustainable.

Fair to say that besides this specific aspect, it is also necessary to consider from this view the conditions for workers, community, and the environment. At this point, it is necessary to put under scrutiny the environmental, social, and production model, planned to reach a transformational style of change, which will lead the citizens, the community, and the society to a paradigm change. While social sustainability is part of a cluster with corporate sustainability variables, by keeping the status quo unchanged the company's actions will not be able to reach the authentic commitment of credibility before the community. Being the reason, the distance that separates the satisfaction of the corporate interests from the social needs and interests of the community affected. The efforts generated by the transnational mining companies are sturdy, offering jobs and satisfying

some of the community needs while citizens aspire for a citizen-type mining corporation that shows how the parts involved are active and receptive to positive social changes.

Transnational mining corporations should become aware and concerned about the communities' social needs within the social contract framework and some communities started already preparing an assessment of their social needs. Weaver (2012) developed his research on Moir's proposition when discussing the CSR business case on the drivers for business policies. Weaver (2012) also alluded to "the nature of corporate-community engagement forces the understanding of the capabilities and limitations in a way that reflects the needs of society" (p. 584). Consensus between the corporation and the community contemplating the expectations of both actors should constitute a social contract reflecting the CSR policies and practices (Weaver, 2012).

It would be advisable for CSR policy-makers to consider sustainable legacies for the community after the company has left, due to the alteration of the sociocultural dynamics, thus allowing the community to rescue its sociocultural heritage. The research of Owen and Kemp (2012b) approached CSR and the social license to operate bringing another perspective to the social sustainability of the business post the mining operations closure. And, studied the case when a mining company is a close neighbor of an already established community, which is exactly the case of the Andacollo community. Owen et al. (2012b) also offered an interesting review of the underpinnings of the complex social, political, and business relationships formed before the inception of the mining activities and the impacts generated in the community left behind after the mine closed down. Also, more importantly, the fact that the relationships forged initially became no longer a

priority from a CSR perspective, demolishing the concept of sustainable business, which will inexorably happen to the community of Andacollo and many other communities around the world in this situation.

It became quite a consensus after the literature I reviewed that sustainable CSR discourse and practice should aim at mitigating negative social impacts because of the mining operations to deliver on a larger social sustainability taking into account the diversity of cultural knowledge and values. To exemplify, Everingham (2012) added relevant knowledge on the topic contributing with approaches to CSR with views to managing social impacts of mining from a social sustainability point of view.

Everingham (2012) pointed that it is possible to achieve this objective by “harnessing diverse knowledge, resources, and values and integrating social, environmental and economic considerations at the local level ...” (p. 101). Everingham (2012) also discussed the alternatives for improving social sustainability for communities around mining operations, through social impact and strategic management plans, which would be a step forward for current voluntary initiatives to obtain the social license to operate.

CSR as a social system that integrates order. I approached CSR as a structural-functional social system, in its Parsonian heuristic scheme, whose structure leans towards the satisfaction of one or various needs. Parsons (2009) posited that every system possesses the four patterns (or functional imperatives) known as AGIL. Where, the “A” stands for adaptation, the “G” for goal attainment, the “I” for integration, and the “L” for latency. These patterns are a reflection of the proposed changes to a system whose gearing maintains what is available in the concrete reality as it is.

From this point, the system start developing the objectives and needs, and an interrelation between its constituent parts, so much so to maintain the latency of the motivational patterns amongst the social actors. On the one hand, the mining companies intend to maximize their profits at the minimum cost and, on the other hand, the cleverest communities maintain their motivations for social integration and controlling their constituent parts. In the end, the constituent parts behave as a cultural system that fulfills norms and values among their actors, to motivate their actions.

The foundations of the society organization lie on an explicit ideological aspect behind the components of AGIL. From a CSR perspective, the actors interact given the objective of reaching the highest level of gratification, with symbols structured in a cultural way regarding their status, which in turn, determines the productive system's framework. This way, what surfaces is the development and utilization of CSR as a fashion trend with the actors' roles granting meaning to the functionality of the system. In other words, it is a structural-functionalist social system whose characteristics outline the functions contained within every social system whereby the actors are passive recipients of the productive processes, and they take on the mining company's philanthropy with gratitude. Also, corporations operate in the open rather than closed systems in a context where communities are anger to participate in the decisions about social responsibilities and the contributions that CSR can bring to the complex social problems at stake (Muthuri, Moon, and Idemudia, 2012).

The Parsonian structural-functionalist social system collaborates with the analysis of social structures and the integration of the different social systems in force, and CSR

does not escape from this conceptualization in its systemic analysis. Including the subsystems that summon a functional imperative, such as political structures (e.g., the State), and a deregulated market that promises not to modify the field of action, for instance. Other subsystems of culture, schools, and families also concur, and they come through with the function of transmitting norms and values, and also, only institutions articulate as systems, not human beings, as the motor of these changes.

From this systemic view, the diagnosis and praxis of the several countries revisited regarding their CSR processes and sustainability approaches do not consider either the population or the communities with the application from their hegemonic norms. One begins to realize, understand, and view the society fragmented into antagonistic pockets, wherein on one side there is abundance, and on the other, it contrasts with poverty and misery. I assumed that there is a connection between the consistency of CSR policies and practices and the Parsonian structural-functionalist social system, through their integration and order. Safwat (2015) analyzed the evolving relationship between business and society by differentiating CSR and concepts like business ethics and corporate philanthropy. These factors are forcing mining corporations to rethink their role in society in light of the strengthening power of the organized communities and the vague nature of the CSR concept itself, which often leads to a misuse of CSR as a mere public relations instrument without any sustainable impact on society.

CSR and cultural development. The diagnosis of the literature I reviewed regarding different transnational mining companies around the world leaves us with an

incomplete sentiment, like asking a question and receiving back an unclear answer. It is not anything new that within the establishing of a transnational mining company in a given region or area, there is a before and an after state. Modifications in the landscape take place and flora and fauna acquire the quality of life values, for instance.

The respect for culture and heritage should become an integral component of the CSR guidance and a way to conduct sustainable mining operations worldwide since protecting culture and heritage is important for the communities impacted. The literature I reviewed provided evidence and highlighted the relevance of the correct management of cultural heritage, which is one of the key topics of the study (Bainton, Ballard, & Gillespie, 2012; Forsyth, 2012; Logan, 2013; Oviedo & Puschkarsky, 2012). It is about time for mining corporate leaders involved with CSR policies and practices to understand why sociocultural factors and specifically cultural heritage matters and start incorporating cultural heritage management into social development programs. The communities regard as very important said sociocultural values and I framed the issue and wanted to explore and understand better the topic using an ethnographic approach to CSR.

The knowledge gap in the CSR contemporary research literature. The most relevant outcome of the literature review, as per the assessment and critical analysis of the segmented group of authors, is the indication that current sustainable CSR policies and practices scarcely consider the sociocultural factors and the aspects of the sociocultural context. I did not encounter such sociocultural needs in the literature I reviewed regarding current CSR policies and practices adopted by the transnational mining companies while implementing social development programs for communities in

the area of influence of mining operations. On the same vein, the models proposed by Carroll (1991), Visser (2007), and Yokvleva et al. (2012) do not take into account the sociocultural dimension either. The proposition for changes or amendments to existent CSR models is not part of my research objectives though this could clearly be a topic for future research studies.

It is my intention, though, after the interpretation of the fieldwork data and discussion of findings, to most likely return to this subject and recommend the addition of the sociocultural values (or needs) to existent dimensional models. In this sense, the research of Bjerregaard and Luring (2013) also illustrated the gaps between policies and practices and sustained that more research is needed involving CSR concepts due to its multiple logics (e. g., business, social, ethical). The research of Bjerregaard et al. (2013) contributed to CSR knowledge by offering insights for practice and management policies that supported the research problem and questions.

There is an academic consensus that there exists a gap between the policies (or discourse) and the practices (or action) of the CSR programs of the transnational mining corporations. Slack (2012) reinforced this consensus by indicating that the informed gap is due to the shallowness of CSR principles integrated into the CSR business models. Harvey (2014) went even further advocating that the social development component of the CSR principles is “fundamentally flawed” (p. 7). There are underpinning issues with the application of current thinking and approaches, due to the “lack of engagement with business overall and continuing marginalization of host communities” (Harvey, 2014, p. 9). Harvey (2014) also recommended more research on changing organizational

behaviors in an attempt to secure the social license to operate and deliver on the developmental goals for the communities.

There are immense disparities between CSR discourse and action, and the perceptions and expectations of the communities in the area of influence of mining operations. The literature I reviewed can widely confirm this assertion, offered throughout the critical analysis in the specific sections of this dissertation, and the research of Cronjé and Chenga (2009) specifically provides support to it, as well. Cronjé et al. (2009) added that the process of aligning the CSR actions and the community expectations, relevant to all stakeholders in the quest for a more adjusted sustainable CSR development model, is a priority for leadership involved in such process. I sought answers and proposals for a sustainable CSR development model in line with the Brundtland Report (WCED, 1991), which calls for a “development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (p. 43). Considering the environmental dimension as the required foundation for sustainable development and the economic dimension as an instrument for achieving sustainable development then it is necessary to consider the social dimension as the main purpose of sustainable development (or, CSR sustainability).

In summary, the discussion is relevant to my research topic as it highlights the scarcity and narrowness of approaches to sociocultural factors and cultural context within the CSR research field, particularly the current literature related to the mining industry. The existent CSR models, which are the foundations for policy-makers and practitioners, do not take into consideration the sociocultural dimension, deemed so important for

fulfilling the social needs of the impacted stakeholders. The literature I reviewed supports the exploration of new paradigms and perspectives, and a call for a review of current CSR discourse and action (Bjerregaard et al., 2013; Cronjé, 2009; Slack, 2012; Harvey, 2014). In this sense, my research design and approach was set to explore such knowledge gap in the CSR field, using a single-sited ethnographic paradigm with the in-depth interviewing process, built upon a sound conceptual framework.

Aligning CSR with the TBL

There are only a few CSR models available in the contemporary literature and all of them built upon Carroll's model. Carroll (1991) suggested that CSR has four stacked layers: a) economic, b) legal, c) ethical, and d) philanthropic, being the economic layer the foundation on which other layers built upon (p. 42). Carroll (1991) pragmatically summarized the concept stating, "The CSR firm should strive to make a profit, obey the law, be ethical, and be a good corporate citizen" (p. 43). Yokvleva et al. (2012), in an evolutionary effort, expanded on Carroll's pyramid model by adding the environmental dimension. Other CSR models (e.g., intersecting circles, concentric circles) evolved from the original pyramid model but still preserved the four original dimensions. The matter of the fact is that in the end, most transnational mining companies are still applying Carroll's CSR model in detriment of the stakeholders' sociocultural needs.

None of the mentioned CSR models placed any emphasis on social stakeholder interests and social needs when looking into the conceptualization of corporate sustainability (UNCTAD, 1996) and its three components (e.g., economic, environmental, social) defined as the TBL. By adopting a new perspective for the

interpretation of the TBL, regarding the quest for leveling profits and the challenges to reporting acceptable environmental and social performance, it would also be necessary to call for a paradigm change towards sociocultural needs. It is quite reasonable to accept that the concept of sustainability as stated, though with an enhanced interpretation adding more importance to the social dimension (or social capital), would be an adequate approach to CSR. As already mentioned a few times, it was not the objective of my dissertation to propose a new CSR model, though I outlined the path for future research in the field offering recommendations in this sense in Chapter 5.

A brief discussion about culture

Culture has various dimensions and I offered a brief discussion in this Section only to provide a context rather than discussing it widely since it is not the objective of my literature review. It is plausible to characterize the culture construct as a layered concept stacked in three levels, being behavior and objects the most evident level, which in turn and actually, consists of patterns of behavior observable in external manifestations of culture (Kottak, 2013). The following level is the subjacent one, the determinants of behavior in general, although not directly observable as behaviors. On the deepest level, appear the concepts assumptions and beliefs, with the assumptions sustaining all and emerging from values. When studying culture, it is necessary to comprehend the three levels, though adding another aspect, which is the group or cultural unit that sustains a culture.

As discussed, culture represents itself as a hierarchical structure of multiple layers. The most general and broad level of a culture is the individual's national culture,

characterized as a function of values and behaviors, which define the typical form of living in a country or region in particular. It is possible to subdivide the dimensions of national culture into (a) individualism versus collectivism, (b) the distance of power, and (c) control of uncertainty. The degree of individualism, the distance of power, and the avoiding of uncertainty found within a determined culture, may affect social interactions.

The next immediate internal level is industry's culture, which is a function of the accepted practices for a particular field of industry, as an example, some industries have a culture that is more oriented toward safety than others. Organizational culture is part of the industry's culture and refers to the culture that prevails within a specific organization, for which very often an organization's culture simply imitates the industry's group. As CSR and organizational cultures are intrinsically related, Gover et al. (2016) sought to explore how individuals, leaders included, perceive changes in organizational culture within planned cultural change initiatives adopting both etic and emic perspectives. Within the limits of the industry's culture, it is possible to find the occupational culture (or professional) that partially overlaps the organizational culture, characterized by the dominant culture within a particular functional group of a determined organization or industry group. Occupational culture entails norms and values of the high-ranking members of the profession and becomes the base for a common connection between people within the same professional practice.

Working with the views of Kottak (2013) on culture, I focused on the subculture category, subjugated to national culture, and addressed in this study as the culture of traditions and patterns, based on symbols associated with particular groups. Subculture

holds enculturation using a learning process between elder persons and the younger generations, which may or may not be conscious of the generational transferring of a way of thinking and acting regarding society. The classic school of thought thinks of culture as a bounded and homogeneous unit unalterable by time, whereas the contemporary schools of thought assume that the culture is subject to influences from the environment and change over time.

Recent ethnographic studies do not align with the perspective of the classic school of thought regarding the culture concept, in the sense that it is not possible to entail cultural relativism simply by the fact that cultures are different and particularistic. This fact was evident in the research of Li (2007), who posited, “cultural relativists and universalist alike typically assume that culture is a self-evident or commonly agreed upon concept” (p. 152). Li (2007) offered an interesting consensual working concept for culture, “a body of informal knowledge that is historically inherited, transformed, embodied, and contested in traditions, incorporated and innovated in practices, and transmitted, altered through social learning, in a community of evolving and porous boundaries” (p. 155). This working concept encompasses a dual appraisal of culture’s normative (legitimizing) and heuristic (explanatory) significance, bearing relevance for and contributing to the study of data interpretation. A multi-perspectival analysis of the CSR culture helps to understand how the organization generates and sustains the CSR cultures, often permeating the larger organizational culture.

The CSR literature, at this time, within the mining sector is very shy on the leadership and organizational culture components (or variables) of the CSR process. On

the organizational culture component, Baumgartner (2014) developed a conceptual framework identifying and embedding three management levels in aspects related to corporate vision and mission, to sustainability engagement and organizational culture aspects. The leadership component, it is an active and transformative agency for the CSR process. Both the leadership choices and the organizational culture constructs have an impact on and a substantial contribution to at the CSR organizational level process. Baumgartner (2014) reinforced the need for the development of multi-level models of CSR considering predictors, mediators, moderators, and outcomes, which would greatly assist corporate leadership to manage the sustainability issues better.

Mining corporate leaders must be aware and sensitive to the fact that corporate culture and community culture bear unique complexities and representations, and without a reasonably clear understanding of these differences, conflicts would likely arise. Farrell, Hamann, and Mackres (2012) posited that mining corporate leaders should act more consciously and place emphasis on the cultural dimension of the social relationships, mainly when interacting with communities with a distinctive culture. Farrell et al. (2012) contributed to the debate on mining-community conflictive relations in the context of CSR discourse and practice, which quite often only look into compliance disregarding the interpersonal, communicative, and evolving aspects of culture, either corporate or community. Farrell et al. (2012) also drew the attention to the usually remarkable differences between corporate culture and community culture, which makes company-community relationships a legitimization and participatory social process that the corporate leaders must acknowledge minimizing the potential risks of conflict.

In summary, the level of individualism can affect social interactions, the power distance, and uncertainty avoidance encountered within a certain national culture, and more specifically in the individual's national culture, as a function of values and behaviors. As discussed, and due to its pluralistic dimensions, my study adopted a consensual working concept for culture and a multi-perspectival analysis of the CSR culture, observing its relationships with leadership and organizational culture. I embraced the views that organizational culture is a predictor of CSR performance and that leadership, at all organizational levels, is an active and transformative influence on the CSR process. The interpersonal, communicative, and evolving aspects of culture should be better regarded in the relationship mining-community seeking to a more productive (e.g., not conflictive) alignment between corporate culture and community culture, within the context of CSR discourse and action.

Cultural Relativism

Viewed as an emerging theme from the CSR literature review. It became apparent to me that there is more ethnocentrism and less cultural relativism in the contemporary CSR literature I reviewed. The sense that emerged from the literature I reviewed is that transnational mining companies worldwide bring into play standard CSR policies and practices disregarding the pertinent idiosyncrasies and existent local sociocultural values. Even though the best stakeholder management practices, an integral aspect of CSR policy, imply public consultations to discuss the communities' aspirations towards the transnational mining companies, there is a scarce discussion about the aspects related to sociocultural needs and values. In this regard, the cultural relativism

perspective opens room for a change in the public consultation strategy when approaching sustainable community development.

I briefly discuss ethnocentrism in this section to confront it with cultural relativism. Bizumic (2014) posited “ethnocentrism is an outcome of a process in which a superordinate category is better represented by one's own group than by other subgroups” (p. 7). Other researchers discussed the political implications of a conceptual analysis of ethnocentrism informing the usefulness of reconceptualized ethnocentrism and its implications for political phenomena moving apart from other concepts as the mere out-group negativity and in-group positivity (Bizumic & Duckitt, 2013).

Cultural relativism proposes the interpretation and comprehension of the mining culture and its meanings, taken from practice or beliefs within its cultural context. By the adoption of this methodological technique, I focused on the understanding of another culture and on how its society sees their world. From this worldview, the emic system becomes comprehensively functional, corresponding to a gnosiological, epistemological and methodological vision of praxis to concrete reality. The cultural relativist approach gives room for an etic meditation or in other words, cogitation with scientific theoretical capacity regarding causes and cultural similarities. This methodological approach highlights the local human condition, as part of a wider and more variable mosaic of its people.

It is not plausible to assess cultural values and norms against commonly held standards without a previous analysis on how to interpret a given culture, tradition, and community. Li (2007) discussed the working concept of culture and its implications with

cultural relativism, which raised the awareness of some perspectives regarding the topic. Li (2007) also revisited the topic of normative cultural relativism and postulated, “Normative cultural relativism differs from descriptive cultural relativism” (p. 160). In the sense that the latter discusses the relativity of judgments and describes the differences in moral views and standards between cultures and the former in contrast, base judgments on the cultural standards of the community.

Cultural relativism reinforces the principles of tolerance and contends that the members of one culture must tolerate the members of other cultures, even though considering that the principle of tolerance is relative to a culture as well. Benet (2016) embraced the notion of cultural relativism as a substitute to the hierarchy of civilization and postulated “cultural relativism holds that every civilization exists in its own context and has its own worldview (thus the notion of culture rather than civilization)” (p. 4). And, added that cultural relativism is the foundation for the construct diversity. Karanek (2013) critically reviewed the cultural relativism theory categorizing it as “destructive in both theory and practice” (p. 2) claiming that from a theory perspective it negates reason and objective reality, and from a practice standpoint it endorses violence and repression.

Individuals worldwide from different cultural groups think, feel, and act in different ways, and research on cultural differences in cultural groups and societies require a positioning of cultural relativism. While reviewing cultural relativism, Karanek (2013) contended, “given that its foundation is mutually exclusive with any objective cross-cultural standard, value, or method, cultural relativism thus eliminates the possibility of cross-cultural judgment” (p.4). I acknowledged the relevance of the

discussion around the topic but did not take any of these views with regards judging opinions while interpreting the answers of the subjects.

I used the literature review as an opportunity to better understand cultural relativism as an emerging theme in CSR discourse and action. The richness of the sociocultural context indicated the need for additional research on the Andacollo community, so that is why I reviewed the work of selected Chilean regional authors. I assumed that the selected group of authors was sufficient for the research purposes regarding alignment to the nature and context of my study, which provided valuable insights into the history of the community and positioned me well for fieldwork.

Summary and Conclusions

In Chapter 2, I focused the main topics on contemporary CSR policies and practices that transnational mining companies are developing and implementing around the world. I discussed the state of art of ethnographic studies involving CSR while delving into its status and perspectives (Lichterman, 2015; Lichterman & Reed, 2014; Urban et al., 2013; Walsh, 2011). I also investigated and critically analyzed the contemporary research associated with ethnographic research technique applied to CSR (Briody, Fine, Graffman, Krawinkler, McCabe, Sunderland, & Denny, 2013; Kemp, Owen, & van de Graff, 2012; Lozano, 2015; Rego, Cunha, & Polonia, 2015; Yang, Colvin, & Wong, 2013).

I also critically assessed the relevance of leadership as a key component of the study and the CSR process (Claasen et al., 2012). I discussed leadership role in CSR and social change (see Carroll, 1991) due to their relation to the research questions. My

review of relevant peer-reviewed articles supported the arguments for the proposition of the leadership style found adequate to CSR practices (Hazy & Uhl-Bien, 2015; Rego, Cunha, & Polonia, 2015; Van Wart, 2014).

I reviewed the major theme of my study, the CSR policies and practices in the mining industry worldwide, from a critical-ethical perspective, seeking to understand how the transnational mining companies are performing regarding CSR (Bice, 2015; Hilson, 2007; Cronjé et al., 2009; Rolston, 2015; Yakovleva et al., 2012). I put in context the CSR policies and practices discussing the performance of the transnational mining companies in contrast with the responses of the impacted communities (Rolston, 2015; Yakovleva et al., 2012; Cronjé et al., 2009; Hilson, 2007). I assessed the hegemonies of CSR and discussed potential changes in the field. I also discussed in my literature review the perceived knowledge gap in the CSR contemporary research literature (Carroll, 1991; Cronjé et al., 2009; Yakovleva et al., 2012).

While it is true that the dynamics of the CSR takes on a wide variety of initiatives in practice, such initiatives are not able to pass or surpass the critical point of a fruitful and positive involvement and participation of the affected communities. In this manner, the transnational mining companies play a philanthropic role by financing and delivering projects and initiatives to the communities, sometimes contributing with large sums of money, but unfortunately are not able to identify themselves with the local communities. These initiatives are related to the types of the mining corporate leadership that scarcely promote social participation and with strategic objectives focused more on the

exploitation and positive economic results for the shareholders. These are the leadership styles found in Carroll's pyramid but still with the same economicist approach of the 80s.

I found a substantial convergence in the literature I reviewed related to the ethnographic approach to CSR within the business and research fields that could open possibilities for improvement in CSR discourse and practice (Bainton & Macintyre, 2013; Bjerregaard & Luring, 2013; Brander, Paterson, & Chan, 2012; Dolan, Garsten, & Rajak, 2011; Kemp & Owen, 2013). To a large extent the literature I reviewed pointed out towards the need for a paradigm change in CSR policies and practices aiming at balancing the power relations and improve community participation and social sustainability (Alstine & Afionis, 2013; Brew et al., 2015; Everingham, 2012; Hinojosa, 2013; Kamlongera, 2013; Martinez & Franks, 2014; Owen et al., 2012b; Triscritti, 2013). The conflictive nature of the relationship between mining company-community became acutely exposed in the literature review substantiating a need for a change in CSR discourse and agency, highlighting the importance of ethical leadership and organizational culture change in the process (Dolan, Garsten, & Rajak, 2011; Hinojosa, 2013; Misoczky & Böhm, 2013; Owen et al., 2012a; Owen & Kemp, 2014b; Triscritti, 2013).

Even though some peer-reviewed articles touched on the topic, actually I found none of the articles I reviewed exploring at depth the sociocultural dimension and approaching CSR from a sociocultural perspective, which characterized a knowledge gap in the CSR scholar-practitioner research field within the mining industry. As it is evident from the literature I reviewed, the mining industry worldwide has implemented a top-

down model in communities involved in mining operations, often informing ongoing actions, transferring benefits and material assistance as part of their organizational culture, rather than a policy making sustainable process agreement. I wanted to explore an alternative approach by investigating the impact of the sociocultural dimension and contributing to the improvement of CSR discourse and agency for the community of practice. Also, to suggest new avenues for ethnographic research in the field and offer propositions for a CSR paradigm change.

My review of literature on corporate governance and social responsibility indicated a need to address issues that add value to the transnational mining companies from a CSR point of view through effective relationship building. In addition, the literature I reviewed on work-based research provided the foundations for a pragmatic approach to the ethnographic research paradigm I adopted for the study. Equally, the literature I reviewed on leadership as a key component of the CSR process provided elements for an updated view on the relevance of leadership to CSR and social change, which I used to propose an adequate leadership style more aligned with CSR practices. Lastly, my review of literature on organizational and social change and their relationships with CSR assisted me with the critical analysis of the necessary paths towards changes in CSR policies and practices, and of the challenges for CSR when affecting social change.

The most important outcome of the critical analysis of the literature I reviewed, is the discovery of a gap in knowledge in CSR policies and practices. It surfaced that the sustainable corporate social responsibility policies scarcely consider the sociocultural factors and the aspects of the social and cultural context while implementing social

development programs for communities in the area of influence of mining operations. I proposed the utilization of ethnographic techniques aiming at uncovering the sociocultural needs of the community, improving this way the design of CSR policies making them more aligned with the preservation of the cultural heritage. And, without disregarding the benefits of the other components of the existent CSR models and practices. In Chapter 3, I discussed the rationale for the selection of the research design considered adequate to address the central phenomenon (sociocultural needs) investigated, providing elements to explore the research questions and the study purpose, and to substantiate the recommendations to fill the knowledge gap in the literature.

Chapter 3: Research Method

The purpose of this qualitative exploratory ethnographic study was to address the scarce contextualization given to the Andacollo community's sociocultural factors, and to identify its basic sociocultural needs by interpreting how this culture-sharing group perceived and reacted to a CSR development program. In Chapter 3, I offer a discussion of the ethnographic research methodology I chose. I have organized it in sections, beginning with a discussion of the research methodology, followed by sections on the research design and approach and the dissemination of findings, and closing with the chapter summary. I have broken the research design and approach section down into subsections on the research setting, and sample strategy, and the participants. In Chapter 3, I also included a discussion about the data collection methods, the survey instrument I used, and the steps I took while conducting fieldwork. Further, I discuss data analysis, storage, and management, continuing with a discussion of the data reduction process, layout, data processing, coding, data presentation, and the reporting plan. The chapter closes with an overview of my role as researcher, threats to quality, research feasibility and effectiveness, the ethical concerns (protection of human subjects), and the dissemination of the research findings.

Selection of the Research Methodology

The process for selecting the most suitable research methodology included considering several methodologies and comparing and contrasting their weaknesses and strengths based on (a) research objective, (b) approach, (c) methods used, (d) data gathering instrument, (e) type of data presentation, (f) researcher's role, and (g) research

setting. Since my aim was not to generate answers to an inquiry through numeric evidence, I excluded the quantitative methodology. I wished to investigate and explain further a particular phenomenon, which necessitated my choice of a qualitative methodology beforehand.

On one hand, in quantitative methods, the approach to the research problem starts with testing a theory or confirming a perspective, and the focus is on describing trends (survey) or on testing the impact of a certain intervention (experimental). On the other hand, Merriam (2016) noted that qualitative researchers approach the research problem with an exploratory view and focus on a single concept or phenomenon using data collection, analysis, and reporting. I relied on an inductive model using a bottom-up strategy with the categorization and interpretation of the emerging codes using thematic analysis, for an in-depth understanding of the phenomenon.

Qualitative researchers use inductive logic, holistic comprehension, recursiveness, and flexibility patterns, whereas quantitative researchers apply a deductive approach. The research questions in a qualitative study are open from the beginning to the end until categories and emerging concepts from the key informants will lead the researcher to a network of significant findings. As Patton (2015) has noted, evaluation and exploratory studies frequently use qualitative methods whereas quantitative inquiry is specifically suited for research seeking to generate theory from fieldwork, which is not the objective of my research.

In qualitative research, data analysis is focused on interpreting themes, whereas in quantitative research (either survey or experimental) statistical tools are used for analysis

and interpretation. In a qualitative strategy, the researcher is immersed in the population studied; the researcher collaborates with the participants, brings personal values into the study, and he/she is considered a key instrument of the study. On the other hand, in quantitative strategies, the researcher is merely an observer, and can by no means interact with the subjects of the study. Both strategies must ensure validity and reliability of the results, but the qualitative strategy poses an additional requirement for “generalizability” (since the focus is on particular concept or phenomenon).

I found the qualitative paradigm more elaborative and creative, whereas the quantitative paradigm is more rigid in its methodology. Patton (2015) posited that both methods have distinct strengths and weaknesses, though they are not mutually exclusive and can complement each other. I understood that the preferred research method for social constructivist and discursive research is the qualitative paradigm, which privileges closeness and a socio-ethical commitment to the participants of the study. I based the criterion for the chosen design on what I believed to be the ideal tradition to best respond to the research questions.

Once I had chosen the qualitative research strategy, I critically assessed the existent qualitative methods, aiming for the one that would render an optimal approach to the phenomenon investigated, and that would generate ideal responses to the research questions. Narrative inquiry seeks to unveil the “why” behind human behavior and action, allowing the research participants to produce data in their words while the researcher, through appropriate data analysis strategies, attempts to uncover the underlying “why” behind the personal reflections. Phenomenology is a method that

places emphasis on individual and collective experiences and their views of the world. Phenomenologists seek to understand the subject(s) of their observations from the individual's perspective, and they use an iterative process aimed at increasing the depth of the understanding of the focus of the consciousness. I did not seek to generate any conceptual model through the conceptualization of different emotional and behavioral actions/reactions, perceived needs, or the adoption of specific coping strategies; hence the grounded theory research approach was not justified.

The qualitative inquiry is not constrained only to the speed with which the world advances and often entails that subjects be heard over and over again, through intensive use of dialogue and participant observations, which are the basic tools of ethnographic studies. Urban and Koh (2013) noted that the discipline is making intellectual advances and pointing out directions to enhance societal benefits. In the same vein, Pink and Morgan (2013) sustained that ethnography is useful for applied research projects, and is an effective way of acquiring knowledge. In this sense, research inquiries other than ethnography (e.g., narrative, phenomenological, grounded theory, case study, action research), would not serve the same purpose.

An alternative to ethnography would be a case study approach aiming at developing an in-depth description and analysis of a case (social development program), whereby the unit of analysis would be a program affecting more than one individual (the community). The data collected for the alternative case study would include multiple sources like interviews, participant observation, documents, and artifacts as well. The written report would serve as a detailed analysis of a social development program (the

case). However, a case study approach would cover only contextual conditions, which was not exactly my aim.

Action research could also be an alternative research method to ethnography. To exemplify, Ripamonti et al. (2016) discussed the integration of theory and practice adopting a reflexive dialogical action research, which could develop relevant knowledge to practice and facilitate change, which is one of the objectives of my research. Action research is a method by which the researcher maintains social control of the research process with the purpose of identifying intersubjective meanings between the actors using a dialogical approach. Action research is broad and seen as a learning constructivist approach, but it is not suitable for describing and interpreting a culture-sharing group and the sociocultural needs associated with it.

The Walden University's Institutional Review Board (IRB) approval number for my research is: 05-05-15-0154943.

Research Design and Approach

The research central question is: What causes the institutional CSR policies and practices of the transnational mining company to disregard the community's sociocultural needs in the Andacollo mining area, in the views of community members and corporate leaders? I designed the first research sub-question to look into the central concept from an emic perspective to explore the perceptions of the sociocultural group (the Andacollinos) investigated: How do the Andacollo mining community members being investigated perceive the CSR program in respect to its sociocultural needs? I designed the second research question to explore the phenomenon from an etic perspective,

seeking to capture the core motivations of the transnational mining company executives: How do the transnational mining executives understand CSR from a leadership and organizational change perspective in respect to the Andacollo community's sociocultural needs?

The design I adopted for the research was an ethnographic inquiry seeking to address the central phenomenon (sociocultural needs) investigated with a focal point centered on social activities. The objective of my research was to assess social development context from the community perspective and recommend propositions to the board of directors of a transnational mining company to consider the incorporation of the basic sociocultural needs of the individuals impacted by the CSR initiatives, into the corporate, institutional CSR program. In my research I identified the contrast between emic and etic perspectives and proposed measures to mitigate and improve such differences, with aims of enhancing the expected final results of the CSR development program. My ethnographic research, using participant observation and interviews with community members of the community subject of the development initiatives, unveiled concepts, themes, and patterns relevant to the design of CSR initiatives more aligned with the specific sociocultural context.

I worked on the investigative lines of ethnographic qualitative methodology, comprehending and deepening upon the phenomenon by exploring the participants' perspectives within a natural environment and its context. Thus, coming closer to subjective realities to explore potential solutions to perceived problems, contributing to knowledge, and generating new questions and themes. I explored all new scenarios and

the sources of data considered in the in-depth interviews, typical cases, and expert opinions, and considered in all of them the sense of emergence and ethics of the subjective work. The key themes of my research were those derived from the emic-etic view, as complementary anthropological views, and I referred to annotations in the field diary while interpreting them.

My research design lies within the social sciences, precisely in socio-anthropological science, whose paradigm is subjective, and I utilized the ethnographic model to enter the field. The fundamental characteristics of the qualitative approach encompassed exploring the phenomenon in depth, with the environment being the natural one, with data collection from oral depositions and rigorously verbatim and, finally, not founded statistically. The investigation process involved patience and was inductive though I did not follow any particular linear sequence. In other words, the investigation process depended on my experience and the definition of emergence, diving with great depth into the meanings and interpretive richness.

I introduce the research concept map in Figure 2, positioning the research design and approach in the context of my study. It is important to highlight again that it was not part of the research scope and objectives the proposition of any new theories or models, but potentially recommending the inclusion of the social needs dimension into the Carroll's CSR four-dimensional model. Any recommendations in this sense were dependent on the interpretation of the data collected through the interviews. The researcher suggested as well in Chapter 5 some new exploratory topics for future research

but anticipated that was not going any farther than this as proposing any theoretical binding, for instance.

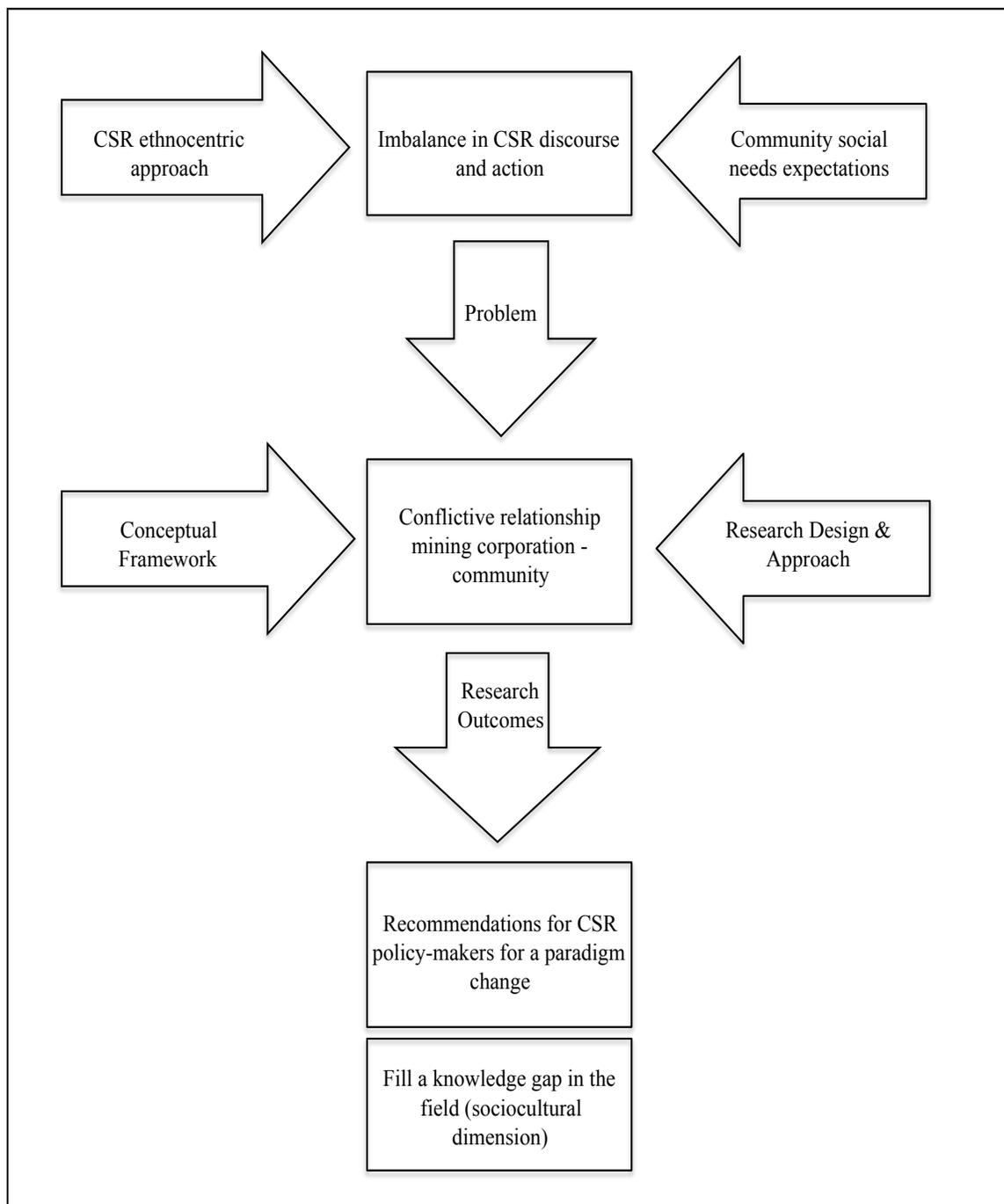


Figure 2. Research concept map

My research approach contemplated, through the research questions and post data analysis, exploring vertical and horizontal associations through the lens of the conceptual foundations. The horizontal associations were part of the analysis due to the social networks, associated norms, and social accounts of the community members, and are related to horizontal community ties that emerged giving a sense of common purpose. It is necessary to note that the link between the vertical associations and the relationship community-company and community members-community leaders transcends the social divides. The horizontal and vertical associations are important elements for the assessment of a potential need for a paradigm change in CSR approaches.

I delimited the conceptual framework by my choices to explore specific core themes and selected conceptual foundations, found more relevant to my research problem and purpose, based on the literature review, study's scope, and research time limitations. Other core themes (foundational concepts) were eliminated after my critical assessment of the literature review since were not deemed applicable to my study. I found the selected set of core themes aligned with the research questions and deemed sufficient to providing elements for the interpretation of the symbolic processes, communication relationships, culture-sharing patterns, values, and everyday life experiences associated with the phenomenon investigated. The conceptual foundations are in line with the research design and approach, as they were sufficient to explore perceptions and address social needs from a bottom-up perspective, through the research design and approach.

Other research themes also emerged to cover a span of concepts considered relevant for the purpose of the study as well. Such as corporate governance, social

responsibility, social change, sustainable social development, organizational culture, leadership traits, and organizational change, all applied to the mining industry field. When it comes to selecting other potential conceptual foundations, the stakeholder theory could assist with models for approaching the relationship community-mining company, but it is not suitable for assisting with the interpretations of the study participants' perceptions of the research problem.

In the research plan I placed emphasis on the effects of social development interventions within organizational and cultural contexts, using an ethnographic approach, aiming at integrating theory and practice, and developing knowledge in the field of ethnographic inquiry. I designed the qualitative research plan to use critical theory with an ethnographic approach providing broader explanations and describe normative behavior inherent to sustainable CSR policies, commitments, and practices. In the study I sought to explore, using an ethnography research approach, the sociocultural needs of a cultural group aiming at exploring and understanding how the culture-sharing group perceives and reacts to current CSR policies and practices.

The first stage of my research considered a plan of study founded on my professional experience and intuition, and gradually moving on to focusing the emerging concepts on heuristics to understand the phenomenon in all its dimensions. This first stage was a sort of exploratory planning with a focus on the comprehension of the emerging themes, seeking for closeness, and an active involvement of the study's participants. The guiding pattern for my study was at all times the ethical one, which explains and shares the study's objectives and goals, such as the signing of the informed

consents. For the data collection and the analytical processes I adopted criteria such as accuracy, validity, and reliability, with data interpretation supported by the ATLAS.ti 7 (2014) software package.

The first stage of my investigation also focused on topics such as leadership, social organization, CSR, social actors, social change and poverty, among others. However, due to the research subjective characteristics, I left open other lines of study (or categories), because of their emerging conceptualizations. Entering into the field was the most valuable part of the research when I gained a trustworthy connection with the community members. Moreover, when the emic-etic constructs emerged from the community members and I acquired the community members' a flexible and unbound involvement. What I searched for in my investigation was to learn about the community sociocultural aspects and worldviews, and their interpretations.

Research Design

I determined that a qualitative ethnographic research design was suitable and adequate to address both the research problem and purpose, and ethnography provided the necessary answers to the research questions from a participant's point of view. The objective of my research, exploratory by nature, was to interpret and describe how a culture-sharing group perceives and reacts to current CSR development initiatives, through the adoption of social constructivism and participatory worldview (or paradigm). The unit of analysis for my research was a group that shares the same culture, and the focus of my research was on describing and interpreting a culture-sharing group. The type of problem was best suited for an ethnography research since I sought to describe

and interpret the shared cultural patterns of the community at the micro (individual) and macro (level).

The research I designed adopted a participatory and pragmatic worldview with a critical stance on the implementation practices of a social development program, analyzing the etic and emic aspects involved, organizational control, occupational culture, and I sought to propose recommendations for further improvement in practice. I also wanted to investigate ethical aspects and normative behavior inherent to corporate sustainability and social responsibility policies and commitments. One of my research objectives was to offer a description and understanding, with a holistic view, of a culture-sharing group. My rationale behind the decision towards the ethnography research was that this approach would allow the promotion of changes in practice and foster social change at the micro (individual) and macro (group) levels. My research design adopting ethnography inquiry has relevance to professional doctorate and ultimately business organizations and society.

Since the research design is a descriptive method, my focus was on the available body of knowledge related to both the cultural phenomenon investigated and the research questions. In this sense, cultural anthropology theories often guided the interpretative analysis. During the ethnographic research, during the observation process I used the methodology as a tool when selecting the topics, which guided me during the data interpretation phase through the lens of the conceptual framework. The research questions assisted me with limiting potential biases of the research associated with my professional experience in the field and personal insights used for data interpretation.

Research Approach

Ethnography is a versatile research approach used to explore different needs since it has a reflexive nature, bears its distinctive data collection procedures, and it is always concerned with the cultural context. Many business organizations turn to ethnography to gain a deeper understanding of their customers, to gauge interest in an innovative idea or concept, to test a new product, or to uncover new trends in a specific industry or area, just to name a few contemporary research themes. Ethnography has an inherent appeal in the sense that the objective is to learn from the individual members of the group investigated, rather than to study, aiming at understanding their worldviews, as they perceive it. In my ethnographic research I explored knowledge through systematic inquiry aiming at developing common sense understanding by reflexive examination of existing perceived worldviews.

I selected the ethnographic research approach after a review of the anthropological concepts and the methods and techniques that ground this method of inquiry and after comparing and contrasting this approach with other selected research worldviews. Ethnographic research starts with the selection of the theme or subject investigated or explored, and ethnography inquiry applies a typical model grounded on a phenomenological paradigm where the participants are essential partners of the research design (see Gioia, 2014). And, ethnography is an ambitious enterprise with a deep immersion in the complex world of social interactions seeking out for intriguing lived experiences and placing the focus of the inquiry on the patterns of human thinking and behavior. In addition to that, I acknowledged that adopting a critical instance in

ethnographic research is often a challenging enterprise, but it offered the greatest opportunity to promote social change. A critical realist approach to ethnography can be valuable as a sensitizing tool and technique for conceptualizing the phenomenon under investigation since realist ontologies advance beyond the subject's conceptualizations of the events while also aiming at looking into the social structures.

Research Setting and Sample

Determining the sample size in a qualitative research design and assessing how large the sample should be, required common sense and the researcher's knowledge of the context and setting when deciding on the number of ethnographic observations and interviews to reach saturation. In other words, it depends on the qualitative approach to the research questions and even if it is not possible to establish frequencies with small samples, the researcher should be able to find the range of responses required for the research questions. As the qualitative approach is interested in the core features of subjects sharing the same category or coding, the qualitative researcher is interested in identifying the commonalities between subjects and then interpreting the implications of these commonalities to the larger whole. Since the emphasis is on commonalities, the researcher may interpret that he/she reached saturation, as the evidence is so repetitive that there is no longer need to continue.

Sampling has several implications for qualitative research such as external validity or generalizability, often also described as comparability, translatability, or totalization. Sampling is an important component of the research process and after the identification of the objectives of the research, and then the researcher designed the

sampling strategy (i.e., a strategy for selecting study participants). I designed the sampling strategy aiming at answering two basic questions: (a) what types of participant best suits the research objectives and (b) how many participants should be included in the study to achieve the research objectives. Based on the study objectives I determined the attributes of the units of study (e.g., participants, artifacts) and the units of study determined the population needed for the research by addressing the issues of where, when, and how to find such units of study. I also determined the selection and the sampling procedures adopted for the research study based on the units of the study.

My next step in the research process, concerning sampling strategy, was to refer to the research questions, as they determined the appropriate sampling frame and the sampling strategy. My sampling strategy influenced on the selection of the participants (those out of the population that is supposed to meet the criteria to answer the research questions) as well. I took the sample for the study at participant and process levels and followed the recommendation to use one or more sampling strategies (Merriam, 2016). Miles et al. (2014) provided a set of criteria and guidelines for sampling based on the research questions evaluating the sampling strategy regarding six different attributes. Regarding the research timeframe strategy, Patton (2015) recommended a time sampling strategy with fixed-interval sampling, keeping an eye on the criterion of usefulness.

I decided to adopt a maximum purposive sampling strategy. Merriam (2016) posited that the purposeful criterion sampling places emphasis on the selection of information rich units of study from which the researcher could discover, understand, and gain a deeper insight on issues deemed critical to the research. On another perspective,

Patton (2015), proposed a sampling strategy known as snowball sampling aiming at identifying participants that can identify other participants relevant to the research objectives and questions.

I understood that there was a need for a thick and detailed description of the culture-sharing group, which made it necessary for this ethnography research to select a small sample population, even though knowing that small samples do not allow statistical generalization to a larger population, but can allow analytic generalizations. My focus for my ethnography research was not on generalizing but on developing themes from the data collected about the people subject of the study, aiming at having a thorough understanding of a particular situation. Given the time and budget limitations for the research, I wanted to observe and interview an as wide a sample of individuals relevant to the research questions as possible, though limiting it to a reasonable number without losing sight of the whole. I also acknowledged that the issue of sample size in ethnographic research is not straightforward and easily determined. The number of participants in a sample will depend on the research questions, the data collection, the analysis and interpretation of the data collected, and the resources available to support the study (Merriam, 2016).

As qualitative research methods are habitually involved with gaining an in-depth understanding of a certain phenomenon or focused on the heterogeneity in meaning, hence preoccupied with the how and why of a specific issue, the sample size adopted is often smaller than in quantitative studies. Dworkin (2012) posited, “in-depth interview work is not concerned with making generalizations to a larger population” (p. 1319) but

rather to produce “categories from the data and then to analyze relationships between categories” (p. 1319). To answer the question how many interviews are necessary, Dworkin (2012) informed that “an extremely large number of articles, book chapters, and books” (p. 1320) recommending guidance and suggesting a size between five and 50 participants as appropriate. Baker and Edwards (2012) offered a compilation of conferences, debates, reports and a myriad of publications on this subject matter.

I acknowledged that redundancy (or theoretical saturation of the data) is the norm for the justification of the qualitative research sample size and that was considered to provide the adequate rationale for determining the study's sample size. Fusch and Ness (2015) highlighted the relevance of data saturation on the quality and the content validity of the study positing that saturation will be achieved more rapidly for a small than for a larger research, warning that failure in achieving data saturation will have a negative impact on the study's validity. Fusch et al. (2015) informed that the researcher achieved data saturation when she/he acquired the required information to replicate the study. And, also, when there is a generation of no novel information, and additional coding is no longer viable.

I learned that in qualitative research design, the sample size does matter. The key aspect is that the sample must be large enough to ensure that the researcher is likely to capture all the relevant perceptions, lived experiences, behaviors, attitudes, and the core values fundamental for the development of the study. One of the objectives (or empirical rationale) when designing the sampling strategy and determining the sample size for a qualitative research study, should be to reduce the likelihood of failure in uncovering

relevant themes or not capturing important perceptions, rather than reducing the estimation error as in quantitative research.

I designed a pilot study to assist with grounding the questions in the interview script, reducing biases, and ensuring that the interview questions were addressing the issues at hand. The interview strategy I found adequate for the ethnographic research plan considered the adoption of a set of open-ended questions, as part of the fieldwork interview guide built upon the script developed during the pilot study. My interview guide was consistent with a list of relevant research topics with the purpose of ensuring intercase reliability. In this regard, I offered the matrixes of questions against research questions and research goals, topics, concepts, and perspectives for each group of subject samples in the Appendices C, E, and G.

I decided to use 30 samples in the study, grouped and classified as:

- Expert sample: considered subjects experts on the research topic; category frequently used in qualitative studies to bring a sense of correctly setting the objectives.
- Typical sample: contrasted the richness, the depth, and the quality of information with the quantity of the subjects; sample category frequently used within the members of the social and demographic groups that have similar characteristics.

I found that the selected sample size (30 participants) allowed the analytical generalizability of the findings while producing believable descriptions and explanations. I also acknowledged the possibility of changing the sample size (e.g., increased, reduced)

as the study was unfolding and I was gaining a better appraisal of the data analysis to assess the likelihood of accomplishing the intended objective of the research; though that was not the case. The most important aspect to bear in mind is that at the end of the study, my qualitative research accomplished its objectives, which was to uncover (not measure) potential relevant insights that add to the body of knowledge.

Participants. Based on the literature I reviewed and discussions in the previous sections, I understood that the sampling strategy for my ethnography research plan should consider a maximum purposive and a purposeful criterion sampling strategy. The selected strategy is relevant to both the conceptual framework and the research questions and considered a time sampling strategy with fixed-interval sampling. Based on the discussions above, the researcher adopted an overall sample size of 30 participants (subjects), subdivided into two subgroups of 20 typical subjects and ten expert subjects. I subdivided the latter subgroup among five mining executives and five politically represented community leaders. With this sampling strategy I aimed at having sufficient ethnographic observations and interviews necessary to avoid missing any important perception, attitude or behavior.

The participants I selected for the in-depth interviews, considered 25 individuals of the town of Andacollo and five transnational mining executives, categorized as follows:

- Category A (20 subjects): Community members and opinion leaders, domiciled in Andacollo for minimum 5 years and at least 3 years as a

community opinion leader. Group selected amongst professors, students, neighborhood leaders, cultural leaders, sports leaders, and religious leaders.

- Category B (five subjects): Community leaders, political, and administrative authorities of Andacollo, domiciled in the community for at least 5 years and elected through a democratic and informed manner.
- Category C (five subjects): Corporate leaders and transnational mining executives. At the time of the fieldwork, they were developing administrative and technical work in connection with CSR.

Data Collection

From a data collection point of view, in the research method I considered participant observations, with emphasis on active and committed listening, and in-depth semi-structured interviews. The research plan I designed for my ethnographic research envisaged the use of multiple methods of data collection including observing, listening, conducting interviews, scrutinizing documents in archives, and artifacts. I also designed the data collection strategy to address the data necessary and required to answer the research questions and made use of different data collection techniques. The diversity of research methods allowed data triangulation (crosschecking), the accuracy of the data collected, and the validity of the analytic findings. Finally, the data analysis and interpretation followed an iterative process whereby data was collected, organized by coding (i.e., the descriptions of behavior were identified and coded), and reduced in such a way that enabled the accurate interpretation and understanding of the phenomenon under investigation.

In my ethnographic research plan I contemplated a fieldwork strategy based on in-depth interviews founded on the research objectives and questions, and adequate to the research context. I also planned on collecting and investigating documents (e.g., texts, photographs, videos, films) in addition to observations and interviews. Therefore, I coded and analyzed (a) observation field notes, videotapes, and photographs; (b) interview records (e.g., videotapes, transcripts, and notes); (c) archive documents; and, (d) other artifacts (objects, tools). Due to the somewhat large amount of data collected, I adopted and employed the software package ATLAS.ti 7 (2014) for data management, and data analysis.

Observation is one of the key tools used in ethnography research, and for the fieldwork I was considered occasionally as a participant often as a nonparticipant observer. Participant and nonparticipant observations are at the two ends of a continuum, and often some researchers adopt a combination of both types of observation, depending on the research context and field circumstances. I looked at enhancing my fieldwork skills learning the “why” of the methods (see Gioia, 2014). I designed a fieldwork strategy based on structured participant observations founded on the research objectives and questions, and adequate to the research context (see Lopez-Dicastillo, 2014).

I acknowledge that it is not always possible to observe everything, mainly behaviors, feelings, thoughts, and events that took place in the past, which suggested me to ask questions about such events or situations. In general, ethnographic interviews are not as formal as and somewhat less interviewer-driven than the classical interview formats, since the basic ethnographic interview is more similar to a conversation than to a

classic or traditional interview, whereby the researcher ask questions, probes, reacts and respond, express and discloses feelings. Patton (2015) posited, “The purpose of interviewing is to allow us to enter into another’s person’s perspective” (p. 341), and added, “The quality of the information obtained during an interview is largely dependent on the interviewer” (p. 341). Patton (2015) informed that often ethnographic interviewing is cross-cultural with the “advantage of being grounded in long-term relationships and in-depth participant observation” (p. 391). As part of my professional CSR practice, I worked with the Andacollo community for more than 2 years and grew relationships with its members, which assisted largely in strengthening my research integrity.

Instrument. The approach I used to format the questions for collecting qualitative data for my ethnographic plan was founded on an interview guide (instrument) establishing the basic guidelines for the inquiry and exploring topics related to the research objectives. Merriam (2016) recommended that the researcher must construct questions in such a manner to keep participants focused on their responses to the questions and the questions organized in a narrowing sequence. Also, for the interview protocol I considered follow-up questions or prompts to ensure obtaining optimal responses from participants.

During the interview process I narrowly inquired the questions with the adoption of an in-depth interview script. I used a protocol and an interview script, which contained the most important topics that reflected the sense of the objectives of the research. I elaborated the interview script using comprehensive elements to connect me

with the community members in an easy way; the interview script was validated later on through the pilot study since it did not need any additional refinement or adjustment. I included the interview scripts for each category of sample group in Appendices A, D, and F. The corresponding matrices of questions IDs against research questions and objectives and research goals, topics, concepts, and perspectives for each group of subject samples are in Appendices C, E, and G.

My interview protocol consisted of five topics, derived from my research questions and sub-questions, and the research problem. The five topics are listed as follows: a) employment, entrepreneurship, and training; b) infrastructure; c) culture and patrimony; d) physical and perceptual environment; and, e) sociocultural needs. From each topic, I extracted 23 questions that formed a preliminary and final pilot script, applied to those sample subjects categorized as Groups A, B, and C.

I intentionally selected five subjects for Groups A, B, and C for interviewing during the pilot study. After the completion of the pilot study I proceeded with the validation of the preliminary version, which became the final version of the in-depth interview protocol script for the final study. During this process, I maintained the same preliminary interview script with the same number of questions confirmed as still relevant to the research topics and significant from the interviewee's point of view.

Fieldwork: entering and exiting the field. Fieldwork is a fundamental component of the ethnographic research plan and entails documenting people's beliefs and practices from their perspectives, aiming at cultural interpretation. Ethnography researchers collect data in natural settings, and fieldwork provides the opportunity to

appreciate the participant's beliefs and actions as they occur. Merriam (2016) discussed data collection activities as a circle or a series of intertwined activities "aimed at gathering good information to answer emerging research questions" (p. 118).

Ethnographic researchers collect data through fieldwork by observing and talking to people, and by reading documents, reports, records, and collecting objects. Merriam (2016) informed that in ethnographic research, "the investigator collects descriptions of behavior through observations, interviewing, documents, and artifacts, although observing and interviewing appear to be the most popular forms of ethnographic data collection" (p. 131).

I considered a phased approach at the onset of entering the field, after gaining the IRB approval to proceed, by making initial contact with the community members aiming at sharing the research objectives and goals. I made the initial contact with the community members and opinion leaders, the democratically elected representatives of the Andacollo community, and the executives of transnational mining companies. I introduced the informed consent and the selected subjects were invited to join the research by signing the document. Then, I informed the research activity schedule and the tasks planned as per my research plan deploying in sequence the process to the entire sample.

Then, I commence the fieldwork to carry out the in-depth interviews with the typical and expert samples (categories Groups A, B, and C), recording all entries in the field log and these entries shed greater clarity on the social findings. Before that, I promoted a discussion about the fundamental ideas, objectives, and goals of the research

with the subjects before beginning any interviewing process. The encounters lasted 45 minutes maximum, and there was the need for one or more encounters, as per the data validation criteria.

Before the start of fieldwork to carry out the interviewing process with the key informants and opinion leaders, each interviewee signed an informed consent beforehand. This document gave authorization for being part of the investigation, acknowledged the objectives and authorized the tape-recording, videotaping, and photographic takes. The participants signed the informed consents in two separate copies; one copy remained with me and the other copy was given to each of the subjects involved that had signed said document.

I considered the fieldwork and the interviewing process completed after interviewing all subjects at satisfaction and as per my research plan, and then I withdrew from the field. Then I proceeded with the office work once the fieldwork was over, organizing the recordings, videos, photographs, and notes, and processing and translating the interview transcripts, using the software package ATLAS.ti 7 (2014). I proceeded with the drafting of the report of findings and started writing the final dissertation chapters. Once the researcher obtains the final approval of the dissertation, and after its publication, the next and last step considers sharing and discussing the information with the research subjects and the community. This communication process will take place by presenting the scoping, findings, conclusions, and recommendations for improvement in CSR policies and practices, where and if deemed adequate, and then my research effort will be considered as finalized.

Data Analysis, Storage, and Management

Organizing, analyzing, and managing a vast amount of data collected is a critical issue in qualitative research and very important for the success and credibility of qualitative studies. Since the strategies for collecting data considered interviews, oral accounts, and participant observations, and the data records were usually with many details and quite extensive, I carefully organized all the records and notes including the eventual changes in the work design and the research questions. I also captured, stored, and organized all the data in a manageable format suitable for the analytical process. Miles et al. (2014) offered several useful data management principles for qualitative research, in addition to the computer packages available to the qualitative researcher, which assisted me with the organization and management of all data collected during my research.

I adopted the ATLAS.ti 7 (2014) software package program for the analysis of qualitative research data to facilitate the encoding and analysis of transcripts and documents. I used the software for data storage, data organization, and production of summarized reports on the most significant data emerging from the analysis. Besides, it also allowed the combination of a double dimension in the analytical process, integrating the narrative (qualitative) perspective with the analytical (more quantitative) perspective. The main advantages of the ATLAS.ti 7 (2014) software are to assist researchers working on the compilation of non-structured material, comparing and decoding information in a fast and safe way, and to expand the knowledge on the software, I recommend reading Friese (2014). The software ATLAS.ti 7 (2014) is considered one of the most complete

and complex products used in social research. It brings the functions of creating quotes, codes, and categories highlighting the possibility of linking transcripts to digital files (e.g., audio, pictures) and the possibility of doing the same directly from the application. The potential of the software ATLAS.ti 7 (2014) lies in its strengths as a qualitative analytical tool based on network and discourse analysis.

The ATLAS.ti 7 (2014) software package possesses a series of characteristics that support the analysis or investigations, from importing, classifying, and analyzing digital files (e.g., audio, video, photographs, and documents). It also counts with the singularity of working with or without transcripts, analyzing the material directly from the audio files, or creating transcripts primary documents (hermeneutical units) in the word editor software used by the researcher. I used the software package ATLAS.ti 7 (2014) for all data storage, data management, and analysis, though I fully understand that the software is simply a tool to assist the researcher with data analysis, facilitating data storage, coding retrieval, uncovering themes, comparing, and linking. Nevertheless, at the end of the day, the researcher must do the analysis, which will involve creativity, intellectual discipline, analytical rigor, and a great deal of hard work.

Data Reduction

Given the characteristics of the software ATLAS.ti 7 (2014), the organization and classification of all material gathered by me was greatly facilitated, which allowed a swift interpretation process. Since the software facilitated and speed up the management of the gathered information, I had more time to dedicate to the identification of tendencies and patterns, to develop and test concepts and theories, and to the investigate topics and

themes. After completion of the in-depth interviews, I carried-out the transcriptions to proceed then with the encoding, which allowed for the storing, organizing, and obtaining of summary reports on the most significant themes and topics that emerged from the analysis.

Data reduction was the first step in the subsequent process, which entailed the sorting of the information to make it meaningful and manageable. Data reduction constitutes rational operations that ordinarily reside in the categorization and encoding, identifying, and differentiating units of meaning. Data reduction also admits the selecting of part of the collected material, based on a theoretical and practical criterion, as in when the researcher summarizes or outlines field notes. I performed the data reduction process in grammatical units, which consisted of separating segments related to the same theme, even with the difficulty of finding fragments of different lengths, in which cases I adopted the distinction between record units (fragments referring to the same theme or topic).

Layout and Data Processing

As for the layout I intended to obtain an organized set of information, presented in a normal spatial manner, embraceable and operative, which allowed the identification of potential solutions to the research problem (Rodríguez, Gil, & García, 1996). Data processing took place when the layout supported a change in the language used for expressing the organized set of information, and some of these procedures related to charting or diagramming, which allowed the exhibition of data and the observation of relationships, and the deep structures intertwined. Miles et al. (2014) envisioned the

matrix design arranging together the different types of information (texts, quotes, summaries, or symbolic figures) and different formats. I used the software ATLAS.ti 7 (2014) during the layout and data processing phase, which greatly helped the qualitative analysis. Once again, ATLAS.ti 7 (2014) cannot replace the researcher's deductive capacity, but it helped in the instrumental phases of the analysis to perform operations such as text encoding, category relationships, elaborating of typologies, profiles, search, and counting of encoded units.

Coding

Categorizing and coding a set of data involved the activity of identifying and classifying elements. Categorizing is the most important mechanism of the qualitative analysis, which lies in conceptually specifying and giving meaning to the units that are rooted in a same topic or theme. Encoding is in itself a task of synthesis present when categories with similarities group together into meta-categories, or when meta-codes are defined and grouped into a set of codes (Saldaña, 2016). The establishment of categories resulted in an inductive procedure when exploring data or in a deductive procedure when the categorization system (coding) was determined beforehand. Notwithstanding, I followed a mixed criterion between both procedures.

The coding I adopted for my research was the axial type (or free node) coding, which attempts to facilitate the analysis process from the grounded theory precepts. Paragraphs or phrases from the document analyzed were selected and summarized in only one word (category or analysis dimension), and that word became a node (or category). Nodes work as folders filled with discourse fragments that seem to correspond to the

same analysis category. After the revision of the document, the respective coding, and all the analysis topics, I organized the nodes relatives to each other, trying to structure them introducing one within the other or giving them names that are more generic. I also organized the nodes (or categories) in a creative manner to give them sense and meaning.

Data Presentation and Reporting Plan

For the presentation of the report of findings, I merged the nodes into only one category, which allowed the crosschecking and summarizing of information of the encoded categories within the investigation, and I then presented them in the report of findings. This process consisted in selecting different node subcategories and merging them into only one large category, then the software ATLAS.ti 7 (2014) recognized the total number of coding done in that category. I organized the presentation of the results as follows:

- **Reports:** Corresponds to the stage of the previous encoding, showing the existing similarities between the diverse subjects interviewed on a common topic; it allowed the summarizing of information following the number of codes implemented by the researcher.
- **Comparative analysis:** The study focused on a relatively small number of cases (sample population of 30 interviewees). The number of cases in the comparative analysis is limited because one of my concerns was to get acquainted with each subject included in the study. This process considered how the different parts of each case relevant for the study corresponded to each other. In other words, the knowledge of each case bears an important

objective within the comparative investigation. The emphasis of the comparative analysis is on making the approach adequate for the exploration purposes pertinent to the study, for interpreting the cultural or historical relevance of the fact, and advancing theory. As previously indicated and for my research purpose, in the reports I presented the analysis comparing the different cases, and the common or uncommon conceptions of the objectives posed in my study.

The Roles of the Researcher

I sought to explore, by using an ethnographic approach and through different emotional and behavioral actions and reactions, the perceived sociocultural needs of the community being investigated, aiming at generating potential specific new CSR sustainable strategies. I played a role in reflexive thought and the identification of topics and questions, as well as in the selection of contexts as the strategy for entering the field, data gathering, and preliminary assessment. Completing the fieldwork (e.g., interviewing, observations) and exiting the field, the analysis, and interpretation of data, and the writing assignments were part of my role.

I learned that ethnographic research demands patience and ethnography is a technique that can enlighten experiences that are difficult to get to know and understand from an ethical, moral, or personal perspective. I was informed and had a raised awareness about the importance of writing during all phases of the ethnographic research process from data collection to the reporting of findings, and the importance of seeing data analysis as an ongoing process. In addition to that, ethnographic research can be

both theoretical and empirical and reliant on theory so can assist with the articulation of a broader concept involving a particular phenomenon that the researcher wants to explore. Ethnography is relevant to assist with the examination of communication and interaction in the context, and in real time, by exploring people and sense making in the context of their natural environment. It is worth noting that I was not identified with those subgroups at the lower scale of the power relations and likewise with the subgroup at the higher scale of the power or authority, within the cultural context of my investigation.

Threats to Quality and Credibility

There are several criteria to judge the quality of qualitative research studies and in overall terms, qualitative research, irrespective of the approach, needs to be trustworthy and able to demonstrate processual rigor and the relevance of the final product to the target audience. I acknowledged and understood that the qualitative research findings are both context and case dependent, and strived to do not over-generalize the research findings. It is common knowledge that one of the greatest challenges in qualitative research is how to ensure the quality, trustworthiness, and credibility of the research findings.

The literature I reviewed indicated strategies to ensure evidence of quality, trustworthiness, and credibility in qualitative research. And, I agreed with several strategies, such as (a) prolonged and persistent fieldwork, (b) multi-methods strategies, (c) multiple researchers, (d) member checking, (e) participant review, (f) ethical and professional integrity, and (g) intellectual and analytical rigor (Merriam, 2016; Patton, 2015). I acknowledged that in qualitative research paradigms, knowledge claims are

highly dependent on the data collection and data analysis techniques adopted and over and above on the research instrument (the researcher).

In ethnographic research, it is also important to pay attention to issues of quality control, reactivity, reliability, generalizability, validity, and threats to credibility. Briody et al. (2013) suggested a few strategies for avoiding pitfalls while doing the fieldwork when discussing issues associated with quality control, reactivity, reliability, and validity. Strategies associated with looking at behaviors and events from different angles and viewpoints, and checking for member validation as one of the means of achieving pragmatic validity. It is important and relevant to note, though, that it is difficult to ensure validity for different cultural interpretations given that no cultural account would necessarily be as good as another (Briody et al., 2013).

Since culture is a relative concept, I should not deal with it from a generalized manner, so I adopted a particularistic approach for the research. I sought to follow the recommendations of Roy and Banerjee (2012), who suggested that ethnography “should deal with living characters in a social or cultural context, keeping in mind the native’s own viewpoint, but not excluding the trivialities, which surround the native’s environment.” (p. 9). I took into account the community members’ point of view, seeking to identify underlying themes of cultural relativism.

The ethnographic research approach is quite often under criticism for the lack of reliability and in light of this concern I sought to ensure the trustworthiness of the qualitative content analysis to facilitate the assessment of the research validity. Founded on the research of Elo et al. (2014), I strived to ensure validity in every step of the

qualitative content analysis from data collection through the reporting of the results by scrutinizing the trustworthiness of every single phase. I sought to provide to the reader a clear indication of the whole trustworthiness of the study in the abovementioned steps altogether adopting the checklist suggested by Elo et al. (2014). Based on the above, I expect that from the perspective of validity, the reporting of the results described how they were achieved allowing the readers to follow the analysis and the resulting conclusions.

In my qualitative ethnographic research plan I adopted a variety of data collection methods and techniques, like participant observation, interviews, and documents review, which allowed for methods triangulation. I submitted the preliminary findings to participant review (or validation), as well, to ensure “reliability” of the transcription process and ethical integrity. In my research plan I considered inductive analysis and holistic thinking, keeping the focus on the research context, and implemented measures to minimize biases brought into the study attempting to avoid misunderstanding and misinterpreting observations and interviews leading to inaccurate conclusions.

Research Feasibility and Effectiveness

Participation, rather than just observation, is one of the key components of the ethnographic process and of paramount importance for the effectiveness of the research. I am a senior practicing professional with considerable expertise in the social development field, willing to deepen my approach to practice through research. I was very familiar with the organizational and occupational culture found in the context object of my study.

Even though I was more concerned about addressing perceived issues and achieving social change, transformation, and developments in the field, I was also concerned with the correct application of the ethnography research technique. I strove to keep my ethnographic approach aligned with my professional practice (focus of interest). Since I explored and researched my professional practice and context, it appeared that this constituted an advantage for the success and effectiveness of my research endeavor.

With my ethnographic research I brought a substantive contribution to the understanding of the Andacollo's social life impacted by the CSR initiatives promoted by a transnational mining company. Moreover, I brought a contribution associated with the impact that my research would have on both the community's individuals and social groups affected by the CSR development program. My research is an expression of reality when it comes to offering a credible account of the cultural, social, individual, and communal sense of the real needs of the community or cultural group investigated.

An ethnography approach to the CSR program brought an in-depth understanding of the community meanings and of its sociocultural needs, preferences, and expectations. Such approach to CSR ensured the best results for my research from a stakeholder point of view. The correct interpretation of the sociocultural factors (or needs) of the stakeholders through ethnographic research increased the probability of success of my study. Or, conversely, reduced the probability of failure associated with the lack of understanding of the basic behaviors and frameworks of the stakeholders affected by the CSR program.

I was familiar with the workplace culture, completely socialized with the research subjects, and in possession of informal knowledge and insights deemed relevant for my ethnographic research. Walsh (2011) indicated that the practice of research is changing and highlighted the rise of the practitioner-researcher with professionals researching their practices or contexts, which is notably my case. Fostering work-based approaches pave pragmatic avenues to more valued and relevant studies and the development of more well-informed and accomplished industry-based scholars (Sense, 2016). Work-based researchers are effectively more prepared to undertake high-level research than academic-based researchers do (Walsh, 2011), and I felt privileged to be in a position to carry my research due to my field experience allied to my academic background. I was always mindful about the research feasibility, effectiveness, and likelihood of success during both the study design and development phases.

Ethical Concerns

I strove to address the pertaining ethical issues that emerged from the field, faced during data collection, and during the analysis and interpretation of the research findings. Discussion of data collection cannot take place without addressing the pertaining ethical issues that emerged in the field and faced by me during data collection and the analysis and interpretation of the research findings. Merriam (2016) warned about a critical ethical issue in ethnographic research related to the sharing of individual experiences with participants in an interview setting, which could have serious implications for the construction of meaning and lead to the reduction of information collected. The dissertation committee and the internal review board (IRB) approved the interview

strategy, and the interview protocol before the researcher entered the field. Patton (2015) offered a 10-item checklist on ethical issues, which I considered and followed in my qualitative inquiry during the design, data collection through interviews, and in the data analysis process.

Protection of human subjects. Ethnographic researchers must abide by a code of ethics. I always considered ethics as an integral component of my research design. Ethics and ethical standards are so important that they must be involved in any and every aspect or phase of the design, implementation, and reporting.

I was aware of the ethical dilemmas and ethical concerns that should be present during the selection of the method when assessing the conceptual framework, establishing the research objectives, selecting the research questions, and addressing the validity concerns. Given the interdependent relationships established between researcher(s) and subject(s), usually, researchers must abide by a code of ethics as the one developed by the American Anthropological Association (AAA, 2012) and honored by IRBs. The guidelines present in the AAA's code of conduct include gaining informed consent and assuring confidentiality of all research participants. As a scholar-practitioner, I kept my awareness high in the sense that ethical conduct, while developing fieldwork and interacting with subjects was central to my practice. Ethics is of paramount importance, and the norm should constantly be upholding high ethical standards while developing research and promoting social change.

The statement on ethnography and IRBs adopted by the AAA (2012) stipulates that ethnographic researchers must cultivate a solid foundation for the ethical conduct of

research with human subjects. The statement seeks to interpret the Common Rule in its application to ethnographic research studies for policymakers, IRBs, and ethnographers. It is necessary to trade-off all risks of harm with the potential benefits of the ethnographic research pursued. There should be an active process involving the researcher and the IRB, the researcher and the participants, and ultimately the IRB, the researcher and all stakeholders. I fostered an ethical climate through trust amongst all involved in the development process of my research.

Informed consent considers three core components: (a) communication of information, (b) comprehension of information, and (c) voluntary participation. The AAA (2012) considers informed consent as an interactive process whereby the researcher informs the subjects of the intent, purposes, procedures, risks and benefits associated with the ethnographic research study. In some specific cases, the AAA (2012) considered not appropriate to obtain a written signed-off form (e.g., illiteracy, human rights abuse) and in such circumstances recommended seeking for alternative ways of obtaining informed consent.

The principles and guidelines in the Code of Ethics approved by the AAA (2012) provide the necessary tools for the commitment to the development and reinforcement of an ethical framework for anthropological (and ethnological) studies. Scholar-practitioners involved in ethnographic studies must be aware of the ethical obligations involved in the production, dissemination, and utilization of anthropological knowledge, and be prepared to make the right ethical choices during the conduct of anthropological research. The AAA Code of Ethics offered a framework for my decisions. Scholar-

practitioners must always bear in mind that all choices associated with the research related to assumptions, facts, and specific issues are clear and properly address the contexts, priorities, and relationships considered in the ethical decision-making process. The researcher's primary responsibilities carrying out ethnographic research relates to (a) people and animals, (b) scholarship and science, and (c) the public and society.

For sound moral and practical reasons, the production and utilization of knowledge must be achieved in an ethical way. Scholar-practitioners have obligations to the scholar discipline, society and culture, human and other species, and the environment. The researchers also have an ethical obligation related to the potential effect of the research and the dissemination of the findings on all subjects directly or indirectly involved with the research. The AAA (2012) recommended that anthropologists should seek periodic training on current research practices and ethical issues, being always current on ethical codes related to the field. I acknowledge the AAA's recommendation and from a professional practice point of view I already abide by several Codes of Ethics.

Dissemination of Research Findings

I reported the research findings in such a way to provide a truly and comprehensive interpretation of the experiences lived by the study's participants. I understand that the outcomes and findings of my research belong to the people researched and ultimately to their cultural archive. Therefore, for a responsible acknowledgment of the outcomes and an effective improvement in practice, I will share the research findings with the community members upon the final approval of the dissertation. I planned to share all findings resulting from the research with not only the

community members but also with the transnational mining corporation's management, taking into account and respecting all the confidentiality and ethical aspects involved.

I intend to publish the dissertation findings and recommendations in recognized academic journals (e.g., Business Ethics, Ethnography, and Sustainable Development). I also intend to disseminate the research outcomes in professional conferences (e.g., AusIMM-Australasian Institute of Mining & Metallurgy; PMI- Project Management Institute, Global Congress, Mega SeminarsWorld; SME-Society for Mining, Metallurgy & Exploration). Moreover, throughout presentations to local and related groups, such as the Andacollo City Council, the Board of Directors of the transnational mining company, just to name a few.

Summary

In Chapter 1, I discussed the nature of the study as a construction from everyday life that depends on insights and language abilities considered as an approach to the epistemological reality of how one comprehends society with its symbolic and real interrelationships. Philosophically speaking, individuals impose a form of reality on the world by the way they organize their thoughts about it, thus imposing order on their world through categories created by the mind. For the average individual, common sense says that there is a real world of perceivable objects and it is possible to analyze and understand them with a high degree of accuracy. That was the purpose of my ethnographic approach to the study.

Continuing, I informed the objectives and the context of my research and introduced the ethnographic research approach, considering the explanation of the

background of the study, and the presentation of the problem statement. I discussed the purpose and the nature of the research setting the stage for the introduction of the research questions. My design of the research central question regarded sociocultural development amongst the population of Andacollo. In Chapter 1, I continued with a description of the conceptual framework followed by the presentation of the definition of the key concepts, closing by addressing the research assumptions, limitations, scope, and delimitations.

In Chapter 2, I concentrated on the literature review of the state of the art of CSR policies and ethnographic research, and their application in mining industry worldwide. The literature I reviewed brought to light evidence that CSR has been applied more as a philanthropic instrument than a sustainable development process, characterizing the gap in knowledge that I wanted to investigate. CSR should be a sustainable development process aiming at the empowerment of the development strategies envisaged by the mining companies and expected by the impacted communities, but conversely and, as a result, the community feels abandoned and displaced from its traditions and local culture.

Still in Chapter 2, I critically analyzed the approaches that ethnography generates as a socio-anthropological paradigm, as the emic and etic concepts, culture and cultural relativism, and the pertinent ethical considerations. It is within this new scenario that I explored corporate sustainability, leadership, and organizational and social change as well. I considered these constructs as basic to articulate and suggest the consideration of a new dimension to Carroll's CSR pyramid model. Without disregarding the care with

the surrounding environment, and the ethical and moral decisions assumed by the transnational mining companies concerning collaborators and impacted communities.

In Chapter 3, I offered a discussion on the selection process for my research methodology, research design and approach, research setting and sampling strategy, researcher's role, a methodology for data collection and analysis, protection of human subjects and ethical aspects, and the dissemination of my research findings. The highlight of Chapter 3 is the research strategy design aimed at an effective fulfillment of my research objectives. I justified the adoption of the ethnographic research methodology and the reasons for selecting it; and, among other reasons, its plasticity and adequacy to an emic-etic approach within an ontological and methodological process. I identified and justified the sample strategy and the criterion for entering the research field. I discussed the overall purposeful sample of 30 subjects along with its breakdown into 20 typical (community members) and ten expert subjects subdivided in five mining executives and five community leaders.

In Chapter 4, I discuss both the pilot and the final study and amongst other pertinent topics, the presentation of the data collection and analysis, with a description of the codes, categories, and themes that emerged from data, along with the reporting plan. I describe the evidence of trustworthiness and the results section address the research questions offering the data supporting the findings. I structured Chapter 5 considering the interpretations of research findings, recommendations, and relevant implications for positive social change. Following with a description of the methodological and empirical

implications along with recommendations for professional practice, being the chapter closed with a strong conclusion statement.

Chapter 4: Results

Introduction

I designed this exploratory qualitative ethnographic study with the pragmatic purpose of investigating the basic sociocultural needs of the Andacollo's community members, affected by an institutional CSR program implemented in the area of influence of the mining operation, while interpreting the views of CSR policy-makers. I sought to describe and interpret, from a cultural relativism perspective, how a culture-sharing group perceived and reacted to the ethnocentric CSR policies and practices, confronting the top-down and bottom-up CSR approaches, with the goal of finding a pragmatic alignment between CSR discourse and action. I designed the central research question to explore the perceptions regarding sociocultural development of the inhabitants of the town of Andacollo, and sought to identify what sustainable CSR development means, from a culture-centered perspective, for a community member impacted by the mining operation. I designed the sub-questions to investigate relevant actors in the different clusters of the community and for the transnational mining corporate executives as well. Below, the central question and the two sub-questions:

What are the perceptions of conflict existing between the institutional CSR policies and practices of a transnational mining company and the mining community's sociocultural needs in the Andacollo mining area, in the views of community members and corporate leaders?

SQ1 (emic perspective): How do the mining community members being investigated perceive the CSR program in respect its sociocultural needs?

SQ2 (etic perspective): How do the transnational mining executives understand CSR from a leadership and organizational change perspective in respect to the Andacollo community's sociocultural needs?

I have organized Chapter 4 into nine sections, starting with the introduction to the chapter, which reiterates the research purpose and the research questions. In sequence, there is a discussion about the pilot study, followed by a description of the research setting. The participant demographics are presented along with all participant characteristics relevant to the study. The chapter continues with a brief review of the data collection plan, followed by a description and discussion of the data analysis process.

In Chapter 4, I also describe the evidence of trustworthiness, reporting that I made no adjustments to the strategies originally envisaged for the final study after completing the pilot study. In the results section, I address each research question, offering the supporting data for the findings. The corresponding tables and figures illustrate the results, followed by a discussion of all discrepant cases or non-conforming data, as appropriate. Chapter 4 closes with a summary of the answers to the research questions and the corresponding transition to Chapter 5.

Pilot Study

I planned the pilot study to test the interview scripts before engaging in the interviewing process for the final study. It consisted of interviewing a sample of six

participants (four from Category A, one from Category B, and one from Category C) from the 25 participants selected for the purposive sample of the final study. In the pilot study, I adopted a general inductive approach for analyzing qualitative data, and used the qualitative two-phase content analysis process outlined in the literature in the field (Merriam, 2016; Miles & Huberman, 2014; Patton, 2015; Corbin & Strauss, 2015): descriptive and interpretative. I chose the inductive approach as a simple and straightforward approach for deriving findings linked to focused evaluation questions, and took into consideration that my goal was not to develop any theory or model. Using these analytic strategies, I considered the core meanings I identified in the transcripts as relevant to the research objectives.

I designed the Pilot Study as a mini-version of my full-scale study therefore it complied with all the requirements in terms of conceptual framework, research methodology, and research design and approach. The Pilot Study was a crucial element to pre-test the research instrument (the interview script) and the research design, fulfilling a range of important functions and providing valuable insights for me as a novice ethnographic researcher (Doody & Doody, 2015). The literature I reviewed discussed the relevance and highlighted the need for carrying out a pilot study, and identified their useful functions when carrying out a qualitative inquiry (Morin, 2013; Tickle-Degnen, 2013; Doody & Doody, 2015; O’Cathain et al., 2015). Morin (2013) stressed the value of sharing the pilot study outcomes but didn’t discussed any aspects related to potential biases that the piloting could have introduced into the final research work.

The pilot study is a usual procedure to test the quality of an interview protocol and to identify potential researcher biases, since the researcher has the opportunity to test the proposed methods and check if the planned procedures perform as designed. A pilot study can be used to support researchers (O’Cathain et al., 2015) and enhance the credibility of a final study (Doody & Doody, 2015). The literature I reviewed about pilot studies encouraged me to consider my Pilot Study into the Final Study and if I had not done so I would be committing the same mistakes that other researchers did, and not contributing to the knowledge base relative to developing culturally competent research practice. By not including the Pilot Study interpretations in my Final Study, I would be suppressing relevant data that was difficult to collect and interpret and not making justice to those subjects (samples) that were interviewed, and losing the opportunity to enrich the research outcomes.

During the pilot study, it was possible to test and confirm the relationships between the research questions and the research themes that emerged in the in-depth interviews, indicating that the interview script proposed was adequate. The pilot study was also important in the sense that it allowed me to test the quality and relevance of the questions structured by the proposed interview matrix that I designed to meet the goal and purpose of the study. The fieldwork designed for the pilot study allowed me to gauge the degree of openness and receptivity of the respondents regarding the issues asked, and gave me a good appraisal of themes either of higher sensitiveness or higher social significance, for instance. During the pilot study, I noted that the timeframe allowed for the interviews and the language used in the interview script were adequate to

ensure the data collection process was in line with my research objectives. Finally, as to the analysis of the data collected, the pilot study allowed me to identify and test the appropriate coding strategy and select the open codes that would function as the key (core) codes I would use to structure all relationships from the axial coding, in accordance with the adopted model.

Soon after I finalized the Pilot Study report, confirming that the designed research instrument was adequate and the answers were actually addressing the research questions, I was able to rollout the Final Study. For the Final Study I used the same instrument and methodologies used in the Pilot Study, just complementing the subjects necessary to meet (or make-up) the total sample population number informed and approved in the IRB form. It is important to stress that all subjects (either for Pilot or Final studies) rigorously followed the same inclusion/exclusion criteria and requirements for the purposive sampling.

In the presentation of the findings, I offer descriptions of the most important themes, and show how the results fostered a proper understanding and interpretation of the phenomenon (social needs) under study. Also, the thematic analysis I carried out provided an exhaustive process for identifying numerous cross-references between the emerging themes and all related information gathered, allowing for the linkage of various constructs and opinions that emerged from the participants. The thematic analysis allowed for the comparison of constructs and opinions from data collected and stored in different situations at different times during the phase of primary information collection (participant interviews). For acquiring insights on the subtleties of the thematic analysis

approach, I referred to guidelines from the work of Vaismoradi, Turunen, and Bondas (2013). In the pilot study, I identified the vertical and horizontal relationships between the themes that emerged from the thematic analysis of the networks, confirming that the instrument and data analysis strategies I selected were adequate for the main study.

Research Setting

I selected the participants from the Andacollo mining community applying the sampling criteria outlined below:

- **Category A:** This category had a typical sample size of participants selected from a list of 25 potential participants from the Andacollo. The participants for Category A complied with the following socio-demographic attributes: (a) geographical belonging; (b) town resident for at least 10 years; (c) involved with the mine industry context; (d) legal age above 18 years, and (e) economically active. No gender discrimination applied. From an initial list of 25 participants, I purposefully chose a narrowed sample of 20 subjects, leaving the other five candidates for eventual replacement in case of withdrawal or conflict of interest. I collected no records of any personal or organizational conditions that could influence the participants' experiences during the interpretation of the data.
- **Category B:** This category had an expert sample size, with participants selected from a list of Andacollo community leaders who met the following selection criteria: (a) political and/or administrative authority; (b) democratically elected, either recently or in the past; and (c) a minimum of 2

years term in office. In the absence of individuals meeting these criteria, I had the option to select distinguished and active community members (union leaders, police officers, church delegates, and public school teachers). No gender discrimination applied. From an initial list of eight participants, I purposefully selected five subjects, leaving the other three candidates for replacement in case of withdrawal or conflict of interest. I collected no records of any personal or organizational condition that could influence the participants' experience during the interpretation of the data.

- Category C: This category had an expert sample size, with participants drawn from a database organized according to the following criteria: (a) high ranking transnational mining corporate officer ("C" suite or Director), (b) involved with CSR policy-making, and (c) international working experience. No gender discrimination applied. I collected no records of any personal or organizational condition that could influence the participants' experience during the interpretation of the data.

Demographics

Below are the participants' demographic characteristics relevant to the study:

- Ethnicity: I considered ethnic groups (e.g., indigenous) as relevant and desirable during the participant selection process because of the study's sociocultural approach, and my interest in aspects related to cultural heritage.
- Age distribution: This was important for a balanced spectrum of age intervals, because I aimed to understand how individuals at different age intervals

respond to the CSR initiatives. This was also relevant because the elders are the transmitters of the cultural heritage. I excluded participants below the age of 18.

- Educational level: This was relevant because participants with a higher level of education responded to the interviews in a more articulate and elaborate way, and I expected that they had a more open attitude and a greater motivational interest. Further, I expected that the mining executives had education compatible with their roles and positions.
- Origin: This was a relevant and fundamental demographic variable since it concerns to participants' situated thoughts and commitments to the Andacollo community context. Understanding participants' origins permitted me to understand and uncover beliefs, values, traditions, and, more importantly, their sociocultural perspectives as a "real" active community member.
- Belonging: Participants with active social networks were relevant to the study due to its qualitative paradigm; therefore, it is relevant to identify the inner groups in which participants are opinion-makers and in which people acquire socialization and information exchange, between either family members or social circles.
- Household Income: Relevant for the selection process as indicative of the different spectrums of the social levels, being an important demographic factor that sheds light on the differences of the answers and discourses.

Because participants stand out from their status and role in society, it is important to understand the way of life and expectations of the participants at different social levels within the community.

All the above-mentioned demographic factors allowed the configuration of differentiated clusters, which permitted an efficient analytical process and helped the interpretation and understanding of the participants' way of life, expectations, and reactions to the CSR initiatives implemented in the community by the mining company. Abridged tables with the demographics for the interviewees by category group are presented in the Appendices I, J, and K. Below the inclusion and exclusion criteria adopted for the selection of the participants in the study:

Inclusion criteria for Categories A and B groups:

- Andacollo resident.
- Economically active individuals.
- All genders.
- Legal age: above 18 years old.
- No mining working experience required.

Inclusion criteria for Categories C group:

- Corporate mining executive (CEO, COO, CFO, Vice-President, or Director level).
- Relevant CSR policy-making experience.
- Relevant experience in leadership roles.
- Relevant experience in organizational change roles.

Exclusion criteria for Categories A, B, and C:

- Individuals that don't comply with the requirements established in the inclusion criteria for categories A, B, and C.
- Members of NGO and/or activist groups.
- Perceived conflict of interests with any of the potential interviewees on the list, apart from belonging to different political parties
- Economically disadvantaged individuals.
- Individuals with criminal records or under investigation, and residents of any facility (prison, treatment facility, nursing home, assisted living, a group home for minors).
- Individuals that have limited communication skills and cannot express themselves in a free and coherent way.

Data Collection

In my research design I targeted 30 participants. I approached all the participants individually with discretion and privacy. I kept confidential all participants' IDs. I adopted an overall sample size of 30 participants (subjects), subdivided into two subgroups of 20 typical subjects and 10 expert subjects (Baker et al., 2012; Bryman, 2015; Dworkin, 2012; Fusch et al., 2015; Robinson, 2014). The latter subgroup was subdivided further into two categories: five mining executives and five politically representative local leaders.

- Category A = 20 subjects.
- Category B = five subjects.

- Category C = five subjects.

As previously indicated, the sampling strategy I selected for my research plan considered a maximum purposive and a purposeful criterion sampling. The strategy I selected is relevant to both the conceptual framework and the research questions, and considered a time sampling strategy with fixed-interval sampling. I designed the sampling strategy aiming at answering two basic questions: (a) what types of participant best suits the research objectives and (b) how many participants should be included in the study to achieve the research objectives.

I held all the interviews during the pilot study and the final study phases in the Andacollo community perimeters, for the participants from Category A (community members) and Category B (community leaders). I carried out the interviews with the participants from Category C (corporate leaders) via e-mail due to their different locations (e.g., Australia, Canada, Europe, and the United States of America), as established in the approved IRB form. During the pilot study phase, I did the interviews over two weekends for the participants of Categories A and B and the participant for Category C took three weeks to respond. For the final study phase, I carried out the interviews with the participants of Categories A and B during five consecutive weekends and the participants of Category C took 3 to 4 weeks to respond. During the final study phase, I observed all participants for Categories A and B during the interviewing process; just to confirm that there were no observations carried out during the pilot study phase interviewing process.

Data were obtained and recorded on the paper (e.g., interview notes, observation, journals) and by electronic media (e.g., interview tapes, transcriptions files, scanned files) and stored and managed in a project file using the ATLAS.ti software package. On security provisions, I implemented the following measures:

- Data collection:
 - Access code for hermeneutic units: Each participant assigned with a proper hermeneutic unit code, configured/coded individually.
 - Participant's identity code protection: Each participant assigned with a personal identification number (PIN), which is practically a direct identifier, configured/coded individually. Study code numbers assigned to each participant category (e.g., A, B, C) with the purpose of managing individually participant's folder interviews.
- Data transfer: All data collected either manually or electronically further uploaded to the project file on the software ATLAS.ti data management, which in turn has its password-protected access code.
- Data archiving and management: Same security provision as for data transfer (above).

I established a two-step checking process:

- Following the research strategies I adopted, I performed data triangulation (crosscheck) of the data collected to ensure the accuracy of the analytic findings, which is an important indicator of data collection accuracy.

- I provided a copy of the interview transcription to each participant for their review, to ensure the accuracy of the transcription process and ethical integrity of data collected.

I implemented a contingency and remediation plan regarding potential adverse events during the fieldwork, considering:

- If any interviewee wished to stop and end the interview, another subject of the same category would replace him/her.
- If any adverse and unexpected event occurred during the interview session, the interview session was to stop and the interviewee provided with another date to complete the session and end the process.
- If any subject after the interview process felt not comfortable with his/her own-authored text and wanted to withdraw, then I would replace the subject by another person of the same category and destroy the former interview records accordingly.
- I reinforced my commitment toward transparency and integrity in the data collection process.
- In the case of any eventual conflict of interest arising during the interview sessions, I would ensure no options to offer any false expectation to satisfy the subject needs and I would ask if the interviewee would agree to stop the conversation then excluding the subject from the study.

- I maintained the highest awareness possible towards confidentiality during all the stages of data collection and processing to prevent and deal with any breach of confidentiality (e.g., criminal/malicious attack, human error), I ought to treat any unpredicted breach of confidentiality responsively and as established in the remediation plan outlined below:

- Incident response: Prompt response to the incident to minimize risks of further breaches;
- Incident Containment: Identification of the scope of the breach and taking steps to contain it; efficient and ethical incident handling by the severity of its socially damaging effect;
- Incident Notification: Prompt identification of those participants (and other individuals) whose privacy had been breached and notification of the breach, and
- Incident Investigation and Remediation: Identification of the root causes, discussion of lessons learned, and proposal of mitigation measures by the severity of its socially damaging effect.

There were no variations in data collection from the plan described in Chapter 3 during the pilot study and the final study. I did not encounter any unusual circumstances during the data collection process for the pilot study phase and the final study.

Data Analysis

The list of network codes in Appendix L informs the 40 codes I adopted during the categorization process as part of the open and axial coding method, which emerged

from the interview responses. In the coding concept map in Figure 3 I inform the structure adopted for the categorization during the open and axial coding process that produced the six networks. In the matrix in Appendix M I indicate the relationship between coding and conceptual framework. In the data collection and interpretation concept map in Figure 4 I illustrate the data collection and interpretation and its relationships with the conceptual framework and the conceptual foundations.

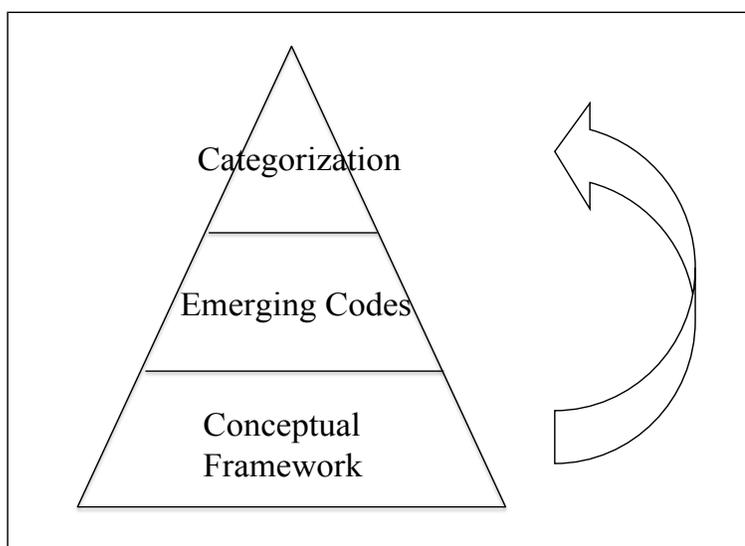


Figure 3. Coding - concept map

The open coding was the first level of codes assigned conforming to the meaning extracted from each interview. In the second level of coding (axial coding) I sought for a central code (hub or a referential code) to which the other codes reference to or gravitate around. At this stage, I identified and build up families or networks of codes, in such a way that the referential code interrelates with all the other listed codes. Each network has its specific content related category (summary key theme) resulting from the open coding

process. For each network, I selected a central code, corresponding to what I had delineated for the inductive approach based on the discourse of the six participants.

During the axial coding process I performed two main actions: a) assessed the relevance of the codes for each one of the networks based on expert judgment, and b) established any connection that could help describe what kind of relationship could exist between the codes. These actions considered three types of possible relationships between the codes: a) transitive, b) symmetrical, and c) asymmetric. For each type of relationship there are certain logical connectors, for example, for the transitive relationships the connector used was: is part of; and, for the symmetrical relationships the connector used was: is associated with; while for the asymmetrical relationships the connector used was: contradicts. With these connectors, it was possible to describe what kind of relationship could exist between the codes.

For the analytical process, it is important to note that the axial coding is a tool designed to assist the researcher in integrating the structure with the process of relating the categories of codes with its sub-categories. The allusion to axial coding process is due because it occurs around the central (hub) code of a given category, and establishes relationships between the categories of codes regarding their properties and dimensions. Axial coding is the "act of relating categories with subcategories, along with the lines of their properties and dimensions and observe how they interact and connect" (Corbin & Strauss, 2015, p.135). In this regard, axial coding is the process of linking codes (categories and properties) with each other via a combination of inductive and deductive thinking.

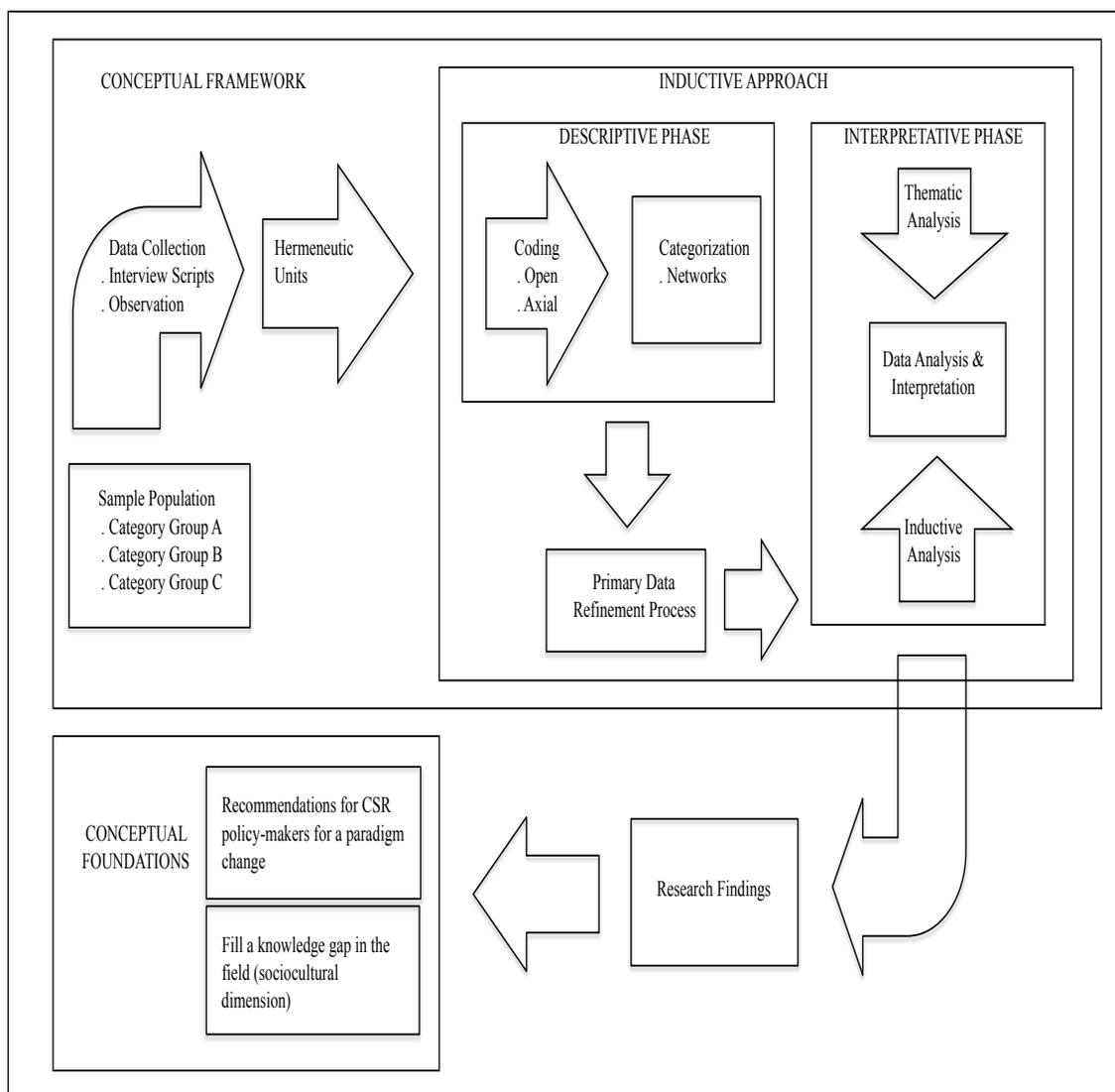


Figure 4. Data collection and interpretation - concept map

I also adopted the thematic analysis as a method for identifying, organizing, analyzing, and providing for patterns or themes from a careful reading and re-reading of the information gathered from the interviewing process. This way, the results inferred fostered a proper understanding and interpretation of the phenomenon (social needs) object of the study. Also, the thematic analysis consisted of an exhaustive process for

identifying numerous cross-references between the emerging themes and all related information gathered, allowing for the linkage of various constructs and opinions emerged from the participants. The thematic analysis allowed me to compare between constructs and opinions with data collected and stored in different situations at different times during the phase of primary information collection (participant interviews).

I inductively selected six thematic topics (key themes) and developed six networks (contend related categories) for the thematic analysis process: a) Phenomenon; b) Causal conditions; c) Context, d) Intervening conditions; d) Intervention actions strategies; and, e) Consequences. I grounded my selection on inductive reasoning and the definitions offered in Chapter 1. The key (hub or core) codes for each network are those with the largest number of emerging codes during the first phase of open coding.

I founded the criteria for selecting the key codes on both the repetitive frequency of quotations in the participants' interview responses and the highest number of codes during the process of axial coding. For each single network, I grouped the codes following criteria based on the number of quotations assigned to each code. As a result, a given network can have more codes depending on the frequency that participants refer to a particular theme or topic related to the question asked. Also, said topics are highly significant to the participants to the point of affecting the cycle of social and community life (or way of life).

Phenomenon

The phenomenon network (contend category) consists of six codes, namely, social risk dimensions, negative valorization of the current and future job opportunities in

Andacollo, family development expectations, personal development expectations, concern for the corporate image, and negative feedback about the CSR implementation. For a better visualization of the relationships of the coding categories within this specific network, refer to Appendix N; it is also recommended to refer to Appendix M for a better understanding of the relationships between the codes and the conceptual framework. The prevailing (key or core) code for the phenomenon network is the social risk dimension, which stands out as the Andacollo community vulnerabilities or as the consequence of the mining activity around the village. The code negative valorization of the development opportunities in Andacollo linked to the key code, being part of the risks to which the community members face consonant to the respondents. Also, from social risk dimensions, it is possible to identify other interrelated codes, such as future family plans and family development expectations, which in turn associates with the code perception of his/her priorities of family living and the code personal development expectations.

Causal conditions

This network consists of eight codes, namely, ethnocentric perspective of CSR, vision of the corporate leader about the relationship between environment and company, mining company CSR policies, extrinsic motivator of the use of CRS, negative opinion about the mining management, negative perception of environment conditions, negative opinion of the authorities roles, and negative opinion of the working capital distribution. For a better visualization of the relationships of the coding categories within this specific network, refer to Appendix O; it is also recommended to refer to Appendix M for a better understanding of the relationships between the codes and the conceptual framework. In

this network, the key (hub) code is the ethnocentric perspective of CSR, in which emerges the type of motivators associated with CSR.

This perspective results in a vision of the corporate leader about the relationship between environment and company. It is relevant to note that even when the leaders of the mining companies express their interest in implementing CSR initiatives, the local stakeholders perceive the implementation process as not aligned with the standards and criteria linked to the CSR policies. In this regard, the findings of Estes (2010) are particularly relevant when recommending that leaders should place people's commitment at the center of the corporate strategy for the realization of the extensiveness of the communities' basic needs.

Context

This network consists of six codes, namely sociocultural characterization of Andacollo, positive valorization of the Andacollo's people in regard to its identity and heritage, perception of the mining industry sustainability in time, personal experience in the mining industry and knowledge about it, current occupation, and self-perception of his/her priorities of family living conditions. For a better visualization of the relationships of the coding categories within this specific network, refer to Appendix P; it is also recommended to refer to Appendix M for a better understanding of the relationships between the codes and the conceptual framework. Sociocultural characterization of Andacollo is the dominant code in this specific network.

Comparably, this code is associated with the code positive valorization of job opportunities in Andacollo, since the current occupation of the interviewed subjects

allows them to rank their priorities about their family development plans. Moreover, it is noted a contradiction between the codes sociocultural characterization of Andacollo and personal experience in the mining industry and knowledge about it. There is a negative perception about the sustainability of the mining industry, as the Andacollo citizen feels or perceives that there are high chances that the large-scale mining activities cease their operations shortly.

Intervening conditions

This network consists of six codes, namely, community demands to mining industry issues, community reactions due to the impact in case that the company ceases its activities, corporate leader opinion about the measures of the company to protect the culture heritage, lack of knowledge about CSR, corporate leader passive leadership, and top down CSR perspective of the corporate leader. For a better visualization of the relationships of the coding categories within this specific network, refer to Appendix Q; it is also recommended to refer to Appendix M for a better understanding of the relationships between the codes and the conceptual framework. The code top down CSR perspective of the corporate leader is the key code of this network, which brings out the code corporate leader opinion about the measures of the company to protect the cultural heritage.

The latter is in confronting position to the community issues demands to the mining industry. Similarly, the code passive leadership of the corporate leader closely links with the cornerstone code. On the other hand, the codes community reactions due to the impact in case that the company closes its activities, community demands to the

mining industry issues, and finally, lack of knowledge about CSR are in contradiction with the key code top down perspective of the corporate leader.

Intervention actions strategies

This network is defined by and considers seven codes, namely, intervention actions of the corporate leader to implement CSR, intervention actions proposals of the community members, community opinion about CSR, corporate leader opinion about the community demands, demands of the community from the perspective of the corporate leader, negative opinion of the working capital distribution, and positive valorization of the opening dialogue from the mining industry. For a better visualization of the relationships of the coding categories within this specific network, refer to Appendix R; it is also recommended to refer to Appendix M for a better understanding of the relationships between the codes and the conceptual framework. The key (central) code for this network is intervention actions proposals of the community members, which contradicts the code corporate leader opinion about the community demands, which in turn generates a negative opinion of the working capital distribution and contradicts the code demands of the community from the perspective of the corporate leader. The key hub code, which is the central code in each network, is also associated with the code positive valorization of the opening dialogue from the mining industry. Finally, the group of codes that refers to the corporate leader opinion about the community demands links with the code intervention actions of the corporate leader, which in turn, is part of the code reference to the interest of companies to implement CSR.

Consequences

Network composed of eight codes, namely, corporate leader expectations about government benefits, economic impact and negative valorization of the development opportunities, harmful features of the mining activities, lack of knowledge from the corporate leader over the preservation of sociocultural heritage, lack of tools to link the stakeholders, negative opinion about company roles, current job conditions, and perception of the lack of response from the community about the initiatives of CSR. For a better visualization of the relationships of the coding categories within this specific network, refer to Appendix S; it is also recommended to refer to Appendix M for a better understanding of the relationships between the codes and the conceptual framework. The core code of this network is harmful features of the mining activities being the code economic impact and negative valorization of the development opportunities in Andacollo part of the core code.

In turn, the code current job conditions, is also part of the key code harmful features of the mining activities and also part of the code economic impact and negative valorization of the development opportunities. The core code associates with the code lack of knowledge from the corporate leader over the preservation of sociocultural heritage. The latter, in turn, is part of the code negative feedback about company roles.

Evidence of Trustworthiness

Credibility

I implemented the credibility (internal validity) strategies discussed in Chapter 3 without adjustments to establish internal validity by working for prolonged periods

during the fieldwork activities. Also, I aimed for a heterogeneous population to increase the span of observations as much as possible within the sample criteria adopted, attempting to avoid biases of the unit of analysis and reduce the researcher's subjectivity. I briefly discuss the credibility strategies, as follows.

- I adopted methods triangulation by carrying out participant observations during the interviewing processes for the sample Categories A and B.
- I was systematic and repetitive on varying conditions through an iterative questioning process for the sample Categories A, B, and C.
- The interviewees were asked to validate their answers as means of achieving pragmatic external validity (or generalizability) and ethical integrity.
- I ensured intellectual and analytical rigor by using inductive analysis and holistic thinking.
- I performed thematic analysis identifying core and basic themes, organized themes in specific networks, and explored horizontal and vertical relationships.

Transferability

I implemented the transferability (external validity) strategies discussed in Chapter 3 without adjustments to establish external validity by the provision of contextual information about the fieldwork to the readers. Also, I note that my investigative plan adopted a coding process that is purely inductive, technical, and only follows the logic of structuring the emerging data, following to one or more narratives. I adopted this approach for reasons of transferability and scientific rigor, using a

structuring system based on the networks or families of content related categories (or key themes) relevant to the research.

Even living and working in the area for many years, I positioned me without any personal involvement and avoided going native. I always kept in mind the need to address the local reality and believe that I did not over-generalize the research findings. I note that research findings are specific to the study and it is almost impossible to demonstrate that the findings and conclusions apply to other situations and populations. It is also important to note that ethnographic studies are bound to their temporality.

Dependability

I implemented the dependability (the qualitative counterpart to reliability) strategies discussed in Chapter 3 without adjustments. I provided information on research effectiveness to the readers, such as research design, data collection techniques, and the reflective appraisal of the study. I elaborated the interview script matrix for all sample categories ensuring that the in-depth interviews addressed the key themes highlighted in the research questions. Similarly, in the observational protocol (refer to Appendix H) I registered the interactions within the context where the interviews took place. I considered the methods triangulation strategy adequate for data triangulation consistency, providing valid and coherent data analysis and interpretation.

I achieved data saturation during the analysis and interpretation of data collected given the convergence of the identification and description of key themes and specific phenomena associated with the mining activities in the area within the sample population selected. I was able to gather the evidence to ensure the quality of the coding procedures,

by the use of a proper audit trail. The audit trail allowed me to review the investigation processes to ensure that the results were consistent within the three sample categories.

Confirmability

I implemented the confirmability (the qualitative counterpart to objectivity) strategies discussed in Chapter 3 without any further adjustments and in this sense the software ATLAS.ti is an important tool for maintaining confirmability. I provided information about the research design and approach and on the research methodology to the readers. Following up on the methodological description offered in Chapter 3, I safely stored all the data collected and the analysis performed in the Corpus' module of the software ATLAS.ti. The collection of 30 primary documents, seven networks, 64 codes, 1,194 quotations, and 76 types of relationships constitute the ATLAS.ti Corpus, which can become available to other researchers; this is one of the strengths of the tool. The nomenclature used by the software ATLAS.ti is of easy interpretation for auditing the codes and the quotations that emerged from the interviews, using the following example:

P20: Interview Script_Category C_Participant Code_Answers.txt - 20:1: "Companies have a duty to produce metal in a socially responsible manner. Some do this better than others, driven by both regulation and the corporate culture". (11:13), where:

- 20: is the number of the primary document in the software Corpus
- 1: is sequential number for the quotation in the coding procedure
- 11: number of the starting paragraph of the quotation in the primary document
- 13: number of the ending paragraph of the quotation in the primary document

From the discussion I offered in Chapter 3 on the methodology selection, it is possible to assure confirmability by the data collection technique employed, with textual transcriptions and direct quotations. Other researchers, who want to examine and audit the research findings and recommendations, can access all safely stored transcriptions. I adopted a data-oriented approach with data collected and organized in a data trail, then gathered and processed, driving to the findings and recommendations. Data triangulation, already discussed in previous sections, also helped to reduce my biases.

Study Results

I organized this section by relationships between thematic topics. The findings from the thematic analysis of the six thematic topics selected suggested a vertical-horizontal relational structure between the key themes. In Table 1 I summarize the horizontal and vertical configuration of the thematic topics that emerged from the thematic analysis of the networks.

Table 1

Thematic Topics – Horizontal and Vertical Relationships

| Horizontal Relationships: Thematic Topics | Vertical Relationships: Thematic Topics |
|--|---|
| <ul style="list-style-type: none"> • Context: sociocultural characterization of Andacollo • Intervention Actions Strategies: intervention action proposals of the community members • Phenomenon: Social risk dimension | <ul style="list-style-type: none"> • Causal Conditions: ethnocentric perspective of CSR • Intervening Conditions: top down CSR perspective of the corporate leader • Consequences: harmful features of the mining activity |

Horizontal Relationships

In this section I discuss both the emic and the cultural relativism approaches to CSR in light of the research findings. In Figure 5, I map the horizontal relationship between community members (Category A) and community leaders (Category B). The map depicts an intertwined set of meanings, values, shared culture, associative perspectives, and life experiences that suggest a web of socio-cultural needs that cuts the different social strata of the community of Andacollo transversely.

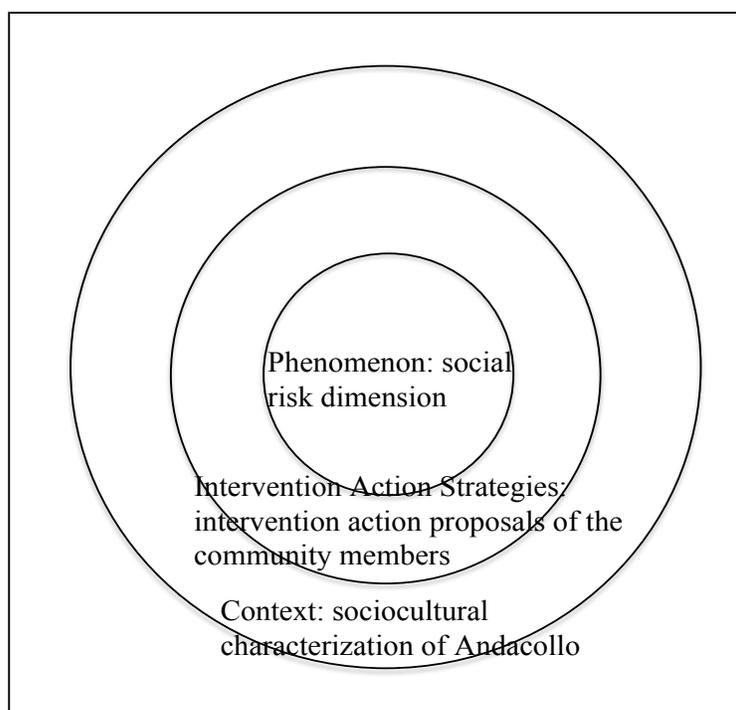


Figure 5. Emic and cultural relativism approaches to CSR – concept map

I adopted a three concentric circles diagram following the selection of the thematic topics associated with the data analysis of the participants interviewed about the Categories A and B. The context is the set of conditions attached to the existent reality or the locality under investigation. Said conditions may influence the intervention

strategies. The mainstreaming in the axial and selective codes reflects the sociocultural foundation that characterizes the mining town of Andacollo, its essence, and its community identity.

Being part of a community culture and living in an unstable local reality impacts people on their present and future life plans. Said condition provides a sense of security and meaning to people to define appropriate strategies in situations of hardship (e.g., unemployment, lack of job opportunities, occupational illnesses, deterioration of public health, and degradation of the quality of life). Such strategies adapt to respond consonant to their needs and standards of living. Therefore, the nature of the phenomenon (social risks) would determine the action strategies that characterize the desire of maintaining the community bonds. The analysis of the thematic topics identified the following risks: public health, education, environment, quality of living, and low social sustainability attached to the mining industry crisis. There is a general perception of community bond as an important condition to mobilize material and symbolic resources in the event of the establishment of an open and productive dialogue process regarding CSR policies and practices between the mining companies operating in the area and the community.

Vertical Relationships

In this section I discuss the ethnocentric perspective of CRS policies in light of the research findings. In Figure 6, I illustrate the interpretive process associated with the corporate leader interviewed (Category C). I adopted the pyramid-type diagram following the reasoned selection of the thematic topics linked to the corporate leader. At the base of the pyramid, one finds the causal conditions; that means, those events and

actions that could lead to the occurrence of the phenomenon under investigation. Just to remind that phenomenon relates to those events connected with the social risks resulting from the mining activity around Andacollo, as defined by me and corresponding to the interpretive model I built from the narrative of the interviewees.

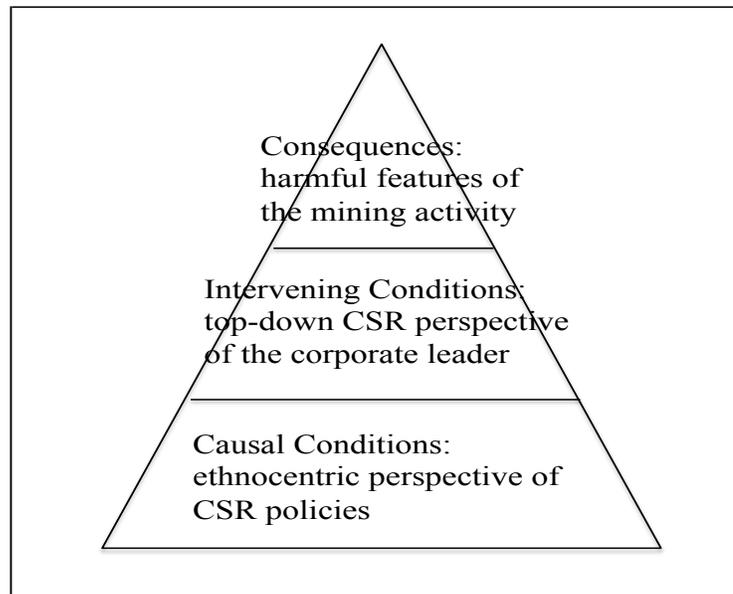


Figure 6. Ethnocentric perspective of CRS policies – concept map

The main causal condition present in the corporate leader's discourse is the ethnocentric perspective attributed to the CSR policies and practices. The vertical relationship follows the logic of a closed system to the extent that the leader reveals his /her belonging to a corporate organizational culture per se, indifferent to the community demands and open dialogue. This proposition suggests that the CSR policies and practices adopt an ethnocentric perspective, imposed upon the local actors, and implying that the thematic topic intervening conditions are consequences of a top-down CSR perspective during implementation. Because both the causal and intervening conditions invigorate the concept of corporate ethnocentrism reflected in the CSR policies and

practices, as opposed to the perspective of the community, it is not possible to attribute the consequences and the results to the corporate management negligence. Indeed, in the thematic topic consequences are evidenced the implicit assumption harmful features of the mining activity, though this reflects the opinion of the interviewees from Categories A and B based on their worldviews. In conclusion, the consequences perceived by the community about the mining operations, allowed me to infer and configure that there are negative externalities and tangible collateral damages in Andacollo associated with the negative impact of the local mining activity.

Vertical and Horizontal Relationships

In this section I discuss the ethnocentric and emic CSR perspective interfacing with etic and cultural relativism values, in light of the research findings.

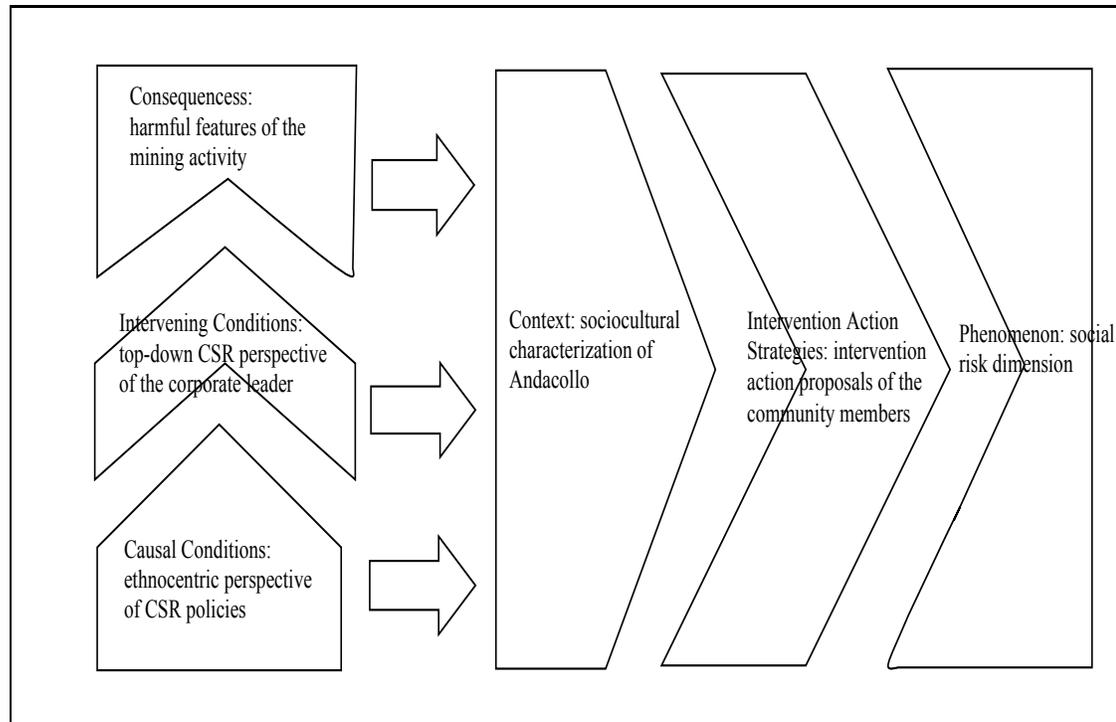


Figure 7. Vertical and horizontal relationship - concept map

In Figure 7, I depict the concept map of my study in which the interactions of both horizontal and vertical levels lead to the following observations and perceptions that emerged from the interpretations of the data collection:

- The CSR ethnocentric component and the community ties of reciprocity and identity bring to light the horizontal and vertical relationship involving the constructs emic-etic.
- The conceptual foundations explained the relevant aspects of the study, for example, the community's etic sociocultural perspectives did not suggest that the interviewees perceive the actual effects of social sustainability and development in line with their expectations. Therefore, the sense of a negative social impact due to the effects of the mining activity emerged.
- I found that the social and organizational change approaches are not attributable directly to the CSR policies and practices, but are instead simply internal routine management aspects adopted by the mining companies locally, and fail to permeate to the outside world and the community actors.
- The leadership models, their effects on the relationship company-community and the CSR role are still not clear at this stage of the investigation.
- The structural-functionalist theory allows the outlining of some considerations about the integrative relationships, the adjustments between systems and context, and the subculture of resistance, but do not clarify the areas of conflict as suggested by the vertical and horizontal relationships.

- The foundational concepts (research core themes) tie up to the top-down logic of the business ethnocentrism (CSR etic perspective). The community world, where sociocultural needs constitute the grouping of individuals with opinions about the future of the community (e.g., religious tourism, return to artisanal mining, service providers, micro-enterprises), considers the likelihood of the mining companies ceasing operations in the not too distant future.

I discussed and defended the research findings, as follows:

1. The expectations of personal and family development are a fundamental part of sociocultural needs as perceived by the participants of Categories A (community members) and B (community leaders).

The expectations of personal and family development formed a category constituted by two open codes, namely, family development expectations (in the network Phenomenon) and self-perception of his/her priorities of family living (in the network Context). These two open codes are critical for the understanding of the findings. Referring to the hermeneutic unit, 26 codes including 120 quotations grouped into the Phenomenon and Context networks (content categories) composed these two open codes. Said quotations are evident in the category samples Categories A and B. Below, some representative quotations to support the findings:

P1, for instance reported, “Well, my husband just would like to say suddenly ... let’s see a house in La Serena and let's go there because our oldest son is in the seventh grade so he can continue studying there ... and, then that in the future he also thinks about moving out of here.”

P10, informed, “All those that don’t work directly with mining but as services providers do not want to live, but all those that indicated they want to go, yes they will.”

2. The interviewees saw the presence of mining companies in the area from two conflicting perspectives; it creates opportunities but at the same time is a threat, which is an obstacle (technically a risk) to the implementation of sustainable development strategies seeking for community social change.

This finding is associated with the network Consequences and supported by the interpretations of the code harmful features of the mining activities, which in turn encompasses the two sub-codes harmful/hazard features of the mining activities and health risk because of the mining activity. These two sub-codes altogether account for 114 quotations stressing the two conflictive perspectives, as indicated by the hermeneutic unit referring to the sample Categories A, B, and C. I exemplified the most significant quotations that provide support to the findings below:

P6, candidly shared, “The mining industry, in general, creates impacts in the surrounding environment and this is proper to the nature of the business. Most of the times these impacts are severe in the landscape, for instance, just to cite one.”

P14, in turn, informed, “The mining company ABC, as it is smaller and is further north, doesn’t produce as much impact as the mining company DEF ... DEF is huge; it is as much longer as or even more than the village; then the damages are unavoidable ... this would be a point that I’d like to highlight.”

P16, on the other hand, stated, “The airborne dust in the mornings is quite unpleasant ... the bad smell that comes from the mining companies ... also the smell of sulfur like garlic ... there are days in that for instance ... I have coworkers that come from La Serena y suffer very much with their eyes ... need to keep using eye drops because the dust bothers them too much ...”

3. The demands of the community members directed to the community leaders suggested the need for a change that would permit to overcome the logic of philanthropy, and in this sense, the CSR could open room for productive dialogue and collaborative relationship.

This research finding is associated with the network intervention actions strategies, where the code positive valorization of the opening dialogue from the mining industry stands out, integrated by 72 codes presented in the sample Categories A, B, and C. There are 19 quotations in this network and the hermeneutic unit evidenced that the participants are heterogeneous and are distributed homogeneously within the community members (Category A) and the community leaders (Category B) as well. Below, some representative quotations to support the findings:

P6, for instance, reported, “I’d qualify that the dialogue between both parties has been quite productive not disregarding the difficulties sometimes faced due to the difference of objectives and opinions.”

P1, also, shared, “Well they have now worked on ... there are round tables on various environmental issues ... on infrastructure ... quite all.”

P4, on the other hand, stated, “The relationship, I think that is good ... as I say I always listen to the radio, and well they are always updating ... also give warnings, things that when they are doing ... sometimes before doing an activity the mining company calls up the radio station ... they are reporting all the time to the neighborhood committee ... to the schools.”

4. I found the ethnocentric perspective as a barrier between communities and mining companies whereby the corporate leaders are part of a corporate organizational culture indifferent to the social demands of the Andacollo community.

This finding emerged from the networks causal conditions and intervening conditions and is associated exclusively with the three sample categories (Categories A, B, and C). From a horizontal relationship perspective, this finding is in contradiction with the community expectations. From a vertical relationship point of view, it strengthens the presence of the ethnocentrism, the etic vision, and the mismatch between the expectations of the community members and the posture of the mining companies. The hermeneutic unit for the network intervening conditions highlights two codes, community demands to the mining industry issues with 79 quotations, and top down CSR perspective of the corporate leader with six quotations. It is possible to appreciate the conflictive perspectives from these two codes in the following selected quotations:

P14, candidly shared, “Well, about this subject I believe that the CAO [Comunidad Andacollo Organizada] ... and, actually, it put some pressure on both mining companies ... on ABC with less force but on DEF asking it to return the money to the community by a sort of indemnity for the damages it imposes ... and, about this, there is a signed agreement whereby the mining companies commit to assist in the public health area, in the infrastructure area, and in work related affairs.”

P5, in turn, said, “What is missing is that the companies truly feel the burden of what is taking place here in Andacollo with respect to the existent pollution.”

P17, on the other hand, stated, “Yes, the mining companies are responsible for the entire world around us ... for instance the environment ... for the people next door ... the neighbors ... this responsibility should include the environment.”

On the other network causal conditions, two codes emerged, ethnocentric perspective of CSR with five quotations from sample Category C, and negative opinion about the mining management with 47 quotations from the sample Categories A and B. It is possible to appreciate the emerging divergent visions in the following selected quotations:

P6, for instance, reported, “In the past, many industries, including the mining industry, were not respectful of local communities and cultures, but this attitude has changed ... especially within the mining industry, during my career.”

P12, stated, *“I believe that the communities see the value in our presence, but it does not hurt to remind them of the contribution and to share our realities like the financial turn-around in progress and the contribution that we make as taxes, royalties, local employment, local good, and services, etc. I would hope that we are recognized by the community for positive participation.”*

P10, also shared, “Look, I foresee darkness once the mining companies are gone in the sense that the companies cover it up ... I mean, they open up a huge hole in the ground ... dig up all the ore, and then they cover it up ... I believe that that’s the law and me as my personal opinion I believe that there is too much-abused bureaucracy.”

P2, in turn, noted, “... they are lowering down the phreatic level so what happens is that these waters are already contaminated, and this nobody else knows ... but only them.”

5. The discourse of the corporate leaders alluded to a strictly business-driven and pre-conceived CSR perspective; by the corporate leaders’ logic associated with the development of CSR policies and practices for the mining companies working around Andacollo, it should not necessarily consider any social change and sustainability policies for the community.

In respect to this assertion, in the hermeneutic unit appeared seven codes associated with the network intervening conditions, in which the code community demands to the mining industry issues can be highlighted with 79 quotations within the

sample Categories A (community members) and B (community leaders). I offered below the most significant quotations:

P1, for instance, stated, “And, the dust is too much ... I used to make up my eyes before and now I can’t because I spend all day with itchy eyes ... and I can no longer do anything in my eyes ... now I have this cough for more than a month coughing, and I was told it was viral and everything but it still continues, it keeps going on ... and, as I work every day there the atmosphere is saturated, the smell that comes from blasting. The people there I think is the most impacted by the issue of Minera Carmen, for example, those who live there in that sector Chepiquilla, as it is called.”

P5, candidly reported, “The mining companies should embrace social responsibility. It is a duty of the company to worry about where it operates ... that is contaminating and is taking away the resources of that place, as what happens here in Andacollo ... they should have a social responsibility to the community.”

On the other hand, the cornerstone code top down CSR perspective of the corporate leader, encompasses the following open codes: understanding about CSR, corporate leader opinion about the administration of the economic resources provided by the mining industry to the community, corporate leader opinion about the characteristics of a company that implements CSR, and knowledge of the corporate leader about the environmental impact of mining activities. I found six quotations associated with the cornerstone code for this network. To appreciate better the antagonistic relationship between the community demands and the position of the mining companies, it is

necessary to refer to the three quotations below, one associated with the sample Category A (community members) and two with the sample Category C (corporate leaders):

P27, informed, “Yes, I understand as social responsibility the obligation that the companies ... the majors, the medium tier and the small ... have to return to the society the great usufruct enjoyed from the richness, which is a patrimony of all the Chilean people.”

P6, stated, “My understanding about CSR within the mining industry is that it is the combination of policies and activities put in place by mining companies to gain social license to operate.”

P11, for instance, informed, “Previous Company had important social contribution due to a less sophisticated community near Brazil; the mines had annual programs where they had a series of booths to provide inoculation, help people resolve citizen issue.”

As a result, the relationship ethnocentrism versus cultural relativism became restricted to the lack of knowledge about the importance of CSR. Therefore, the community demands a higher commitment for the projects developed by the mining companies in light of a potential closure of the mining activities. And, this research finding indicated that there would be a great opportunity for a more friendly and participative mining activity around the community.

6. The negative consequences associated with the end of the local mining boom (e.g., environmental issues related to mining processes associated with negative externalities such as wastes, residues, contaminants), directly affects the community members, but no evidence was found that these negative impacts align with the CSR ethnocentric perspective.

This research finding associates mainly with the network consequences, particularly with the two open codes harmful features of the mining activities and economic impact and negative valorization of the development opportunities in Andacollo. The core code for this network, harmful features of the mining activities, was associated with 114 quotations within the three sample categories (Categories A, B, and C). Also, the core code has the following three sub-codes: harmful/hazard features of the mining activities, health risk because of the mining activity, and negative valorization of the development opportunities in Andacollo. I presented below the most relevant quotations to support the findings:

P1, for instance, reported, “looking forward I also think about moving out of here, because one says the companies have 20 years more around here, so imagine how we are right now ... the atmosphere here, so in 20 years more how will we be? ... in 10 years? ... but, it is for the health issue more than anything, because the economic aspect you know bucks are still coming in, but the health issue ... we ourselves will begin to deteriorate; the seeing ... the seeing of the children with mercury in the blood ... there is an investigation that came out recently, and there are children with too much mercury in the blood.”

P5, in turn, informed, “Many people recently have died of cancer ... from diseases that once were not seen, and they are cancer that appears out of nowhere and a week later the person is dead, then the rumor is that there is too much greed for too long and has a lot to do with the company, for the pollution that it is producing to the community, my brothers they are in a secondary school here in Andacollo ... municipal school ... and from Europe ... from Austria came some people to carry a study ... the project was called little snails and children were checked if they had mercury in their body and what occurred, what would happen and it results that all children of Andacollo have mercury in their body in the community ... anywhere in the body ... in percentage.”

On the other hand, the open code economic impact and negative valorization of the development opportunities in Andacollo (part of the core code) is represented in 106 quotations within the sample Categories A and B. I subdivided this open code further into four sub-codes (negative valorization of the development opportunities in Andacollo, economic impact in the community, positive valorization to the mining industry presence in Andacollo, and positive valorization of the development opportunities) to explore the development opportunities in Andacollo better, either positive or negative. I selected a few quotations to support the findings, including one quotation from the sample Category C that confirms the perspective of the participants of the sample Categories A and B:

P2, reported, “My opinion about the mining companies ... and, one is from the positive side, they are providing jobs for some people ...”

P6, for instance, declared, “I’d highlight the improvement in the local economy for instance, which is a remarkable positive change for what the company is largely responsible for and should be recognized for it.”

P8, on the other hand, stated, “... as long as there is ore in the economic sense I believe that the community is going to continue growing ... it is going to have an important economic sustainability because actually that is the relevance that is attributed here as well”.

P1, added, “... require the companies to hire people from here ... require the companies to create small businesses for people who have other specialties also to emerge ... more workshops, more training.”

P4, in turn, declared, “the companies bring their people ... well, there’s debate ... there are good fights, but also, they should give at least 50%, but it is not 50% from here ... luckily it would be a 20%.”

P6, stated, “The mining industry, in general, creates impacts in the surrounding environment and this is proper to the nature of the business. Most of the times these impacts are severe in the landscape, for instance, just to cite one.”

P20, for instance, informed, “I rate them as strong positive economic impact offset by relatively minor environmental impacts ... a very high-grade deposit allows for a high environment spend to offset negative impacts. It is my perception that the community acknowledges the investments being made and are very appreciative of them.”

7. There is a horizontal relationship between the participants interviewed of Categories A (community members) and B (community leaders), in which it became evident the reciprocity and community identity relationships that oppose to the unilateral and ethnocentric view of CSR expressed by the corporate leader (participant Category C).

The network intervening conditions supported the code confrontational relationship, which is associated with the core code top down perspectives of the corporate leader. The core code emerges from the sample Category C. To highlight the ethnocentric perspective, I selected the following quotation representing the point of view of the corporate leaders:

P6, stated, “I find that the mining activities in general and not only the ones related to my current company are important for the development of local communities as they bring substantial contributions to the local economies, which if well managed could cascade into other developmental activities, as sociocultural.”

On the other hand and supporting the findings, I selected the following quotations representing the point of view of the community members

P9, for instance, reported, “Well, the mining companies put the money ... when they are suggested they come with some money for several projects, which are proposed to them ... they are also doing these reclamation works with green areas, which are part of their commitments to the community as well.”

P17, informed, “Yes, the mining companies are responsible for everybody ... for instance the environment ... with the people around the operations ... with their neighbors ... this kind of responsibility should cover the entire community.”

In order to highlight the horizontal relationship, I selected the code community demands to the mining industry issues, with 79 quotations from the sample Categories A and B. In addition, to reinforce the level of community reciprocity, the following quotation supported the findings:

P14, reported, “Well, about this subject I believe that the CAO [Comunidad Andacollo Organizada] ... and, actually, it put some pressure on bot mining companies ... on ABC with less force but on DEF asking it to return the money to the community by a sort of indemnity for the damages it imposes ... and, about this, there is a signed agreement whereby the mining companies commit to assist in the public health area, in the infrastructure area, and in work related affairs.”

Continuing with the perspective of confrontation and critical opinion about the mining companies, as stated in the following selected quotation:

P18, for instance, informed, “ ... the other issue that we have here in the community is that the assistance provided by the mining companies is minimal ... one

doesn't see all that we make and spend here, in the local small businesses ... the gasoline ... not sure if there is an adequate return. The majority of the people go out ... they come and go every single day and what they leave behind to the community is very little.”

8. There is evidence in the codes of an expression of a vertical logic attributable to the corporate leaders and the CSR policies and practices, consonant to the discourse of the participants interviewed.

The interpretations of the network causal conditions supported this finding, which is mainly associated with the core code ethnocentric perspective of CSR identified in quotations within the sample Category C (corporate leader). The following selected quotation highlights the key aspects of the logic encountered:

P6, candidly stated, “... that said the present expectations from communities in the western hemisphere are commonly ... just that ... they expect a company is coming in to provide schools, roads, water systems, and health facilities.”

There is also a correlation with the code ethnocentric perspective of CSR within the sample Category C (corporate leader) to support the findings. In addition, to support the vertical logic, there are the codes negative opinion about the mining management identified in 47 quotations and the code negative opinion of the authorities roles with 94 quotations, both within the sample Categories A (community members) and B (community leaders). In this regard, the following selected quotations were of significance to support the negative appraisal about the mining management:

P14, stated, “Well, we feel a great commitment of continually been remembering to the mining companies the need to work according to the regulations in place and don’t contaminate the air.”

P16, declared, “The damages they are causing is quite substantial as for taking all the mineral resources and leaving everything destroyed behind.”

In closing, the negative opinion encompasses as well the authorities roles, as expressed by the three sample categories (A, B, and C) in the selected quotations below:

P3, for instance, reported, “... if they are not listened to is because the mayor has too many demands, too many petitions ... but, just a few are executed anyways.”

P15, in turn, declared, “Well, the actions were taken by the communal authorities here, mainly the mayor is that there have been some concerns but actually never have surpassed the expectations of the mining companies ... that means, the mining companies always rule.”

P6, on the other hand, said, “I don’t believe that companies should be forced to take the place of governments, especially when those same governments are collecting taxes ostensibly to support infrastructure and basic needs of their people.”

9. The vertical relationship between community and mining companies evidenced a dysfunctional relationship between subsystems, in which the corporate leaders’ perspective delineated conflicting domains between organizational

culture and sociocultural values; in light of the foregoing, I interpreted that CSR policies and practices are ethnocentric and defined unilaterally without any dialogue with the community stakeholders.

This research finding was supported by the interpretations of the network intervening conditions and is associated with three codes: a) top down CRS perspective of the corporate leader, with six quotations associated with the sample Category C; b) the code corporate leader passive leadership with 15 quotations within the sample Categories A, B, and C; and, c) community demands to mining industry issues with 79 quotations within the sample Categories A, B, and C. The following quotation exemplifies the top down CSR perspective of the corporate leaders (Category C):

P6, stated, “My understanding about CSR within the mining industry is that it is the combination of policies and activities put in place by mining companies to gain social license to operate.”

The following quotation represents the opinion of the subjects from Category A marking the community members’ vision:

P9, for instance, stated, “Well, the mining companies put the money ... when they are suggested they come with some money for several projects, which are proposed to them ... they are also doing these reclamation works with green areas, which are part of their commitments to the community as well.”

When it comes to the code corporate leader passive leadership, the following selected quotation exemplified the vertical relationship and the perspectives of the Categories A, B, and C:

P6, stated, “Actually, I have not been consulted as much as I'd like to and to be quite frank there has not been much discussion internally to my company in this regard.”

P19, informed, “... that means before there were more green areas ... lately, there has been a few more of green areas left ... they keep reclaiming the tailings little by little ... anyways, they are decontaminating a little ...”

P10, shared, “Like it or not, we the Andacollinos will have to die with the company on top of us ...”

In order to complete the interpretative analysis, it is important to highlight the community's perspective represented by the following quotations:

P1, for instance, reported, “.... suddenly the matter started being politicized ... they started putting people that not even live here and actually don't know what the local people needs are ... they started talking about money ... simply money and not what the community members need.”

P16, on the other hand, declared, “I believe above all that the sectors public health and education ... the contributions to the secondary school and to the development of the technical area of the secondary school, but in the public health sector I have not seen much progress ... I don't know, the attention of the local hospitals is very bad in the sense that people need to wake up at 7 o'clock in the morning to get an appointment scheduled if one has no means to go to La Serena, or one needs to wake up at 6:30

o'clock in the morning and the front desks distribute let's say 30 tokens and nothing more, and if it is not enough then the patient needs to go to La Serena, simply because there is no money for this type of things ...”

10. Within the Andacollo's social context, I perceived active reciprocity ties, which is a subculture or culture of resistance, due to the vertical nature and local opposition to the CSR policies and practices.

The network causal conditions identified this opposition, associated with the code ethnocentric perspective of CSR and supported by five quotations all within the sample Category C (corporate leaders). The confrontational aspect between the business verticalness and the community reciprocity ties, whose speech points toward resistance and closeness, was also stressed in code negative opinion about the mining management, with 47 quotations within the sample Categories A and B. Likewise, it was possible to find this same aspect in the code mining company CSR policies with 27 quotations within the sample Category C. Below, a representative set of selected quotations to support the findings:

As expressed by the corporate leaders:

P28, for instance, declared, “I believe that the communities see the value in our presence, but it does not hurt to remind them of the contribution and to share our realities as financial turn-around in progress, and the contribution that we make as taxes, royalties, local employment, local goods, and services, etc. I would hope that we are recognized by the community for positive participation.”

P12, on the other hand, informed, “I can assure that CSR is an integral part of the business, set the policy, provide for the resources and funding, pay attention to the development of a plan or program, monitor and periodically check on the performance of the program, and be seen to provide leadership and credibility to both the company staff and the stakeholders affected by the program. Every so often, it is useful to solicit a view from an objective and independent party to ensure that the CSR program is all that it needs to be and the company is “not drinking its own cool-aid.”

P6, in turn, stated, “CSR leadership, policies, and actions are needed by any company that plans to operate a business that impacts the socio-economic setting of a community.”

P6, highlighted, “If there is little or no impact, say for example setting up a business office in a large city, then little or no CSR work is necessary.”

As expressed by the community members (Category A) and community leaders (Category B):

P2, informed, “ ... that the government do something more serious than the companies with all the power it got ... if one company is as powerful as the government, then something is going bad with our country.”

P14, candidly shared, “It sounds to me that the local authorities are very shy ... I don’t want to make any moral judgments, but it appears to me that they are extremely

weak ...it is my view that the economic benefits that the mining companies can make here greatly depend on the pressure that the local community authorities can exert on them.”

P5, in turn, said, “... so the mining companies have contributed to the ecological decay in general and ourselves included.”

P14, on the other hand, declared, ““Well, we feel a great commitment of continually been remembering to the mining companies the need to work according to the regulations in place and don’t contaminate the air.”

11. The horizontal relationships found in Andacollo’s culture and values suggested the presence of a strong local identity and could be a resource for modifying existing CSR policies and practices.

My interpretations of the network Context supported the perception of a local identity and it is mainly associated with two codes: a) sociocultural characterization of Andacollo, with 23 quotations within the sample Categories A and B; and, b) positive valorization of Andacollo, with nine quotations within the sample Categories A and B. Below, a set of selected quotations to support the findings:

P2, reported, “We must teach them what really the culture means in Andacollo, here there are many things that nobody knows ... (they) know the town simply but do not know what is out there.”

P7, for instance, declared, "... this village, because it is a calm and religious as well."

P5, stated, "Well, to me to live in Andacollo is great because it is home to me ... it is where I was born ... where my family lives, and it is a cultural patrimony for me as well."

P15, for instance, informed, "For the religious tradition existent in Andacollo ... it is beautiful to live here because of this tradition."

12. The vertical and conflictive relationships between the community and the transnational mining corporations, especially how the community evaluated them in light of the CSR practiced in Andacollo, emerged in consequences and topics such as environmental pollution, the priority given by companies to outside workers, deterioration of work opportunities, public health, and poverty.

This research finding bears its significance due to its association with the network Phenomenon, in which there was a prominence of the codes related to the emergent level of conflict. The core code social risk dimensions counted for 46 quotations within the sample Categories A and B, and the code negative valorization of the development opportunities in Andacollo catered for 64 quotations also within the same sample Categories A and B. The following selected quotations are examples that supported my research finding:

P2, for instance, reported, “Here in Andacollo unemployment is not seen by the companies, but if you put yourself to look around the people, I know there are many people who are unemployed.”

P9, in turn, declared, “The job opportunities are not very plenteous indeed ... well, is necessary to consider that the majority of the people of the Andacollo community doesn’t have the necessary academic level either as to succeed in a mining company.”

P4, on the other hand, stated, “Down here too many people go outside to work and return in 15, 20 days ... being away, one loses the family ties when someone is not here ...”

Summary of Findings: Concept Map

In the concept map in Figure 8, I illustrate the summary of findings, indicating the horizontal and vertical relationships between the key codes that emerged in the study, segregated by sample category group. My aim was to visualize the links between the core codes and the emic-etic constructs, in light of the interpretations of the data collected from the three sample category groups. In the concept map I suggest the verticality between emic and etic, and the conflict between the ethnocentric CSR perspectives and the community’s needs and expectations, as per the thematic analysis. I placed the community leaders at the center of the diagram due to their moderator’s role in the vertical and horizontal relationships.

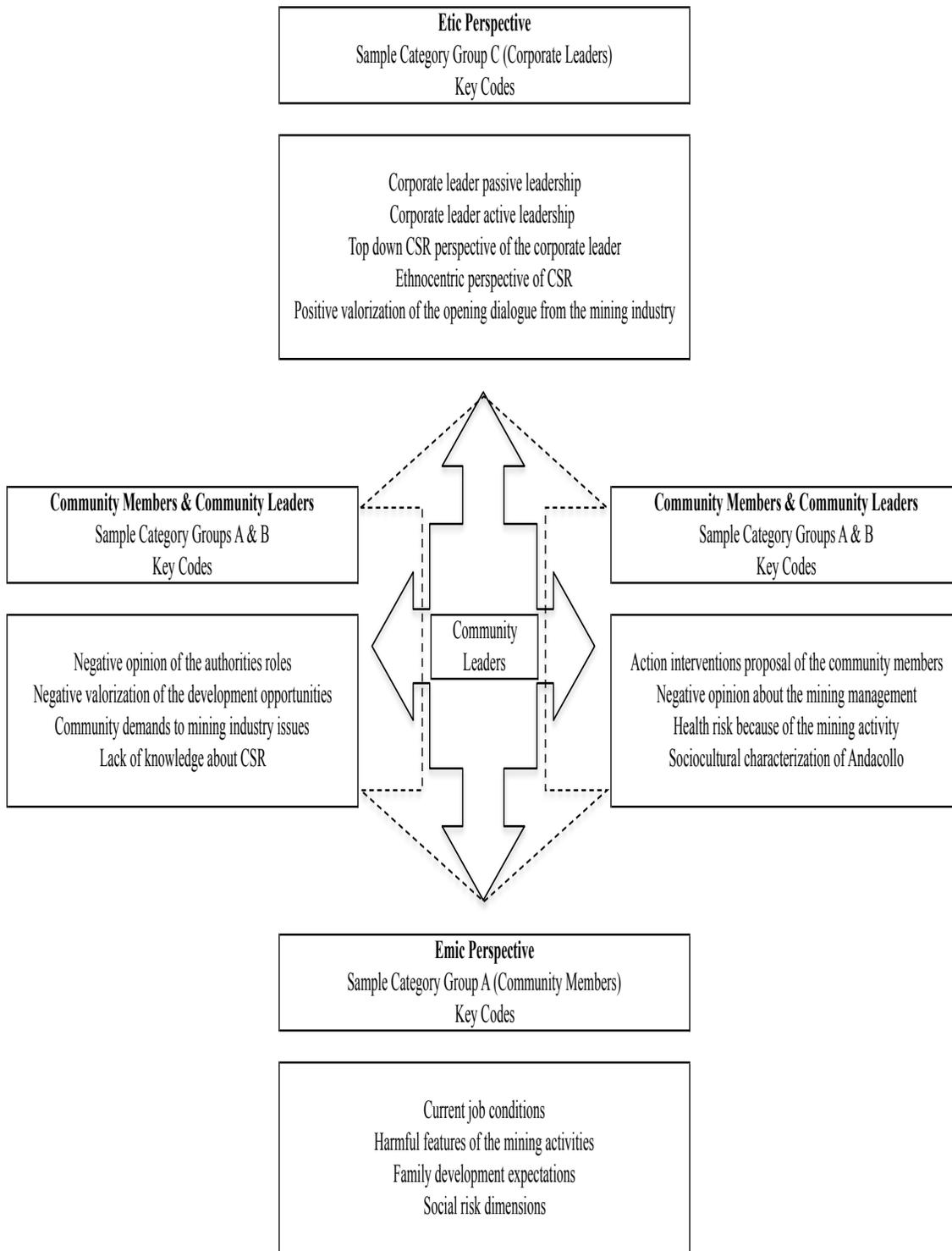


Figure 8. Summary of findings - concept map

Summary

Based on my research findings it was possible for me to conclude that there are epistemological and conceptual alignment and internal consistency between the problem statement, the purpose statement, and the research questions. The key themes I highlighted in the problem statement (community's sociocultural needs and ethnocentric CSR approach) and the objective set in the purpose statement (basic sociocultural needs, views of CSR policy-makers, cultural relativism, and top-down and bottom-up CSR approaches) oriented my data collection process toward answering the research questions. The analytical methodology I applied in my research allowed me to evidence both the emic-etic and the horizontal-vertical contrapositions, and observe the distance between the CSR discourse and policy-making from the unfulfilled needs and expectations of the mining community of Andacollo strictly.

With regard to my research's central question, my interpretation of the perspectives and views of the community members, community leaders, and corporate leaders (mining executives) consolidated the duality between the ethnocentric and cultural relativist approaches when it comes to the fulfillment of the sociocultural needs of the community. I summarized the answers to the central question as follows:

- As per the community members, the fulfillment of the sociocultural needs falls short, since the CSR policies do not incorporate communitarian requirements (e.g., health, education, training, poverty factors, upgrade of the urban and road infrastructure).

- In many cases, it was evident the complete ignorance about the own nature of the CSR, as expressed by the interviewees from Groups A and B.
- The negative evaluation of the performance of the local authorities became evident in addition to the negative assessment of the management of the transnational mining companies when it comes to CSR matters.
- The results of my investigation provided elements to respond to the central question, mainly concerning the vertical etic perspective, as the community members do not perceive a positive steering towards sustainable development. The etic perspective consolidates the lives of the local inhabitants when it comes to the social impact and risks associated with the mining activity,
- In respect to the horizontal emic perspective, related to the transnational mining executives (corporate leaders), even though when they acknowledged the difficulties associated with the implementation of the CSR policies, the behavioral logic is attached to an action dictated by a paternalist leadership. In addition to an instrumental reasoning by which the transnational mining companies operate under a routine of mitigation measures rather than proactive actions.

In respect to the sub-question SQ1, in which I sought to investigate the perceptions of the mining community with respect to its sociocultural needs, I summarized the answers as follows:

- The CSR policies and practices should be a core and permanent theme in the dialog between mining company-community.

- I confirmed that the emic perspective from the inhabitants, who expressed that the mining companies should intervene more and increase the development of the social projects in Andacollo.
- Given the negative impacts of the mining activity in the present and future of the Andacollo inhabitants, it is warranted a recommendation that transnational mining companies pay more attention to the local employment opportunities to offset the perceived damages.

As to the sub-question SQ2, which I designed to explore the knowledge of the corporate leaders in respect to the community's sociocultural needs, I summarized the responses as follows:

- The interpretation of the selective coding method allowed me to identify the corporate philanthropic discourse, which denoted a lack of closeness with the community members and hence a lack of understanding of its sociocultural needs.
- The local CSR policies and practices are top down, which confirmed the worldwide tendency as identified in the literature research, illustrating locally the unbalance between community expectations and corporate practices.
- The transnational mining companies operating in the area did not seem to consider the sociocultural needs as a decisive component of their CSR policies and practices.

In Chapter 5, I discuss the analysis and interpretation of the data collected, shedding light on both the research scope and the most relevant research findings. The

discussion will draw up systemically on the findings more in line with my research purpose, in light of the conceptual framework and the nature of the study. However, the discussion will not disregard those diffuse and non-conclusive interpretations, which did not satisfy my research objectives and the research questions.

Chapter 5: Discussion, Conclusions, and Recommendations

Introduction

The purpose of my exploratory ethnographic study was to investigate the basic sociocultural needs of the Andacollo's community members, affected by an institutional CSR program implemented in the area of influence of the mining operation, while interpreting the views of CSR policy-makers. I sought to describe and interpret, from a cultural relativism perspective, how a culture-sharing group perceived and reacted to the ethnocentric CSR policies and practices, confronting the top-down and bottom-up CSR approaches, with the goal of finding a pragmatic alignment between CSR discourse and action. My research approached the perceived scarce sociocultural considerations involved in the CSR policies and practices applied to the sociocultural context of the Andacollo mining community. I also sought to develop recommendations for optimizing a CSR development program, fill a gap in the scholarly literature concerned with sustainable CSR development programs, and expand the body of knowledge on CSR related to work-based research. I have used the research findings to develop recommendations for the improvement of a specific CSR development model and program that will lead to additional and better benefits for the individual community members and the cultural group as a whole.

I categorized the study as exploratory by nature because I employed an empirical qualitative method (ethnography), and applied an inductive and interpretative process using thematic and content analysis to explore emerging patterns of the phenomenon investigated. I selected the ethnographic research approach because of its exploratory

nature, in line with my objectives to explore a cultural group in its natural setting and to interpret its sociocultural needs and expectations. My intention was to uncover and interpret the particular worldviews of the community members and leaders, including corporate executives of transnational mining companies. I designed the qualitative ethnographic research to explore themes related to CSR discourse and action adopted by a specific transnational mining company operating around the mining town of Andacollo, Republic of Chile. In this specific case, I aimed to use a cultural relativist worldview to expand the limits of the academic research in the field and set the ground for an ethical repayment to the social group researched.

The key findings were as follows:

- The community has reciprocal links and a sense of rootedness. But, if some of the interviewees could emigrate, they would do so because of the low quality of life and the health situation affecting the commune. Because of the culture of resistance and a lack of other real job opportunities, the people's hope is to continue living in the village more out of necessity than desire.
- There are community demands to mining companies for the mitigation of the side effects of mineral extraction. People recognized that the jobs generated by the mining industry are necessary, but are not willing to accept the situation so easily and at the expense of health deterioration and environmental pollution. Community demands focused on education, public health, more hiring opportunities for locals of Andacollo, diversification of jobs, and improvement of the green areas of the village.

- The top-down perspective can be summarized as follows: The community perceives that the CSR policies and practices do not fulfill their social demands, and are currently more focused on public recreation and entertainment events, rather than on promoting sustainable social development, positive social impact, and social change.

Interpretation of the Findings

In this section I discuss the inductive analysis by thematic topic (or network), highlighting the meaningful relationships between families of codes as they emerged from the sample subjects interviewed during the pilot project and final study. The first objective of the inductive analysis was to reveal the background and fabric of the meanings by explaining them individually. The second objective was to identify findings associated with the core codes of the thematic topics. This stepped process was required because of the nature of the investigation founded on a three-stage coding method (see Corbin & Strauss, 2015; Miles & Huberman, 2014). I deemed it appropriate to adopt a horizontal and vertical relational diagram aimed at highlighting the findings from the thematic topics while concurrently considering the conceptual framework of the study. The horizontal and vertical development stages are ultimately the core of the analysis for each of the six categories, and constituted the essence of the inductive model. Each thematic topic indicated a homogeneous narrative line that intertwined with the others, revealing constructs, values, and meanings, which I used to reach preliminary conclusions (see Corbin & Strauss, 2015).

Phenomenon

For this thematic topic, the dominant theme was *social risk dimension*, and the network showed that the code social risk dimensions articulated the relationships between the constructs *sociocultural needs* and *cultural relativism*. The network showed a horizontal relationship at the same level of abstraction. The expectations of personal and family development are the constituent components of the self-perceived sociocultural needs. The participants from Category A (community members), and the respondents from Category B (community leaders) had negative evaluations of the community's relationship with the mining environment. In addition, participants from both groups expressed that there were no adequate responses from the transnational mining companies to the community's basic sociocultural needs (e.g., public health, education, environment, quality of life, community sustainability in the medium term).

Whenever there is a perception about the mining sector as a conflictive actor, there is an increase in social risks in terms of distrust towards the mining companies, uncertainty, and distress regarding how to face the lowering in the quality of life. This was the status and exact situation claimed by the participants I interviewed in Andacollo. The presence of transnational mining companies was seen from two perspectives. On one hand the mining companies were seen as granting development and opportunities, but on the other hand were viewed as a threat and were understood to be an obstacle to sustainable development and the implementing of social change within the community. Additionally, as Cummings and Worley (2015) noted, any intervention strategies related to social change are processes that promotes learning and practice that enriches the socio-

emotional knowledge base of groups and deepens the embedded interests, which are conflicting and divergent. At the same time, social change permits the understanding of the communication ruptures, the lack of problem-solving, and the existing rules related to CSR at stake.

In closing, I confirmed the relevance of cultural relativism in this thematic topic. Participants projected the need for self-trust, and the need to move forward with their own forces despite the uncertain scenario and a future full of uncertainties. In this context, what emerged was the conviction that the community, from the perspective of the participants, had already explained its expectations to the influencing mining actors, but has not received any satisfactory responses. In the everyday reality of the Andacollo community there was a sentiment of resignation toward the current status quo.

Causal Conditions

For this thematic topic, the dominant central theme was the *ethnocentric perspective of CSR*. This theme had a vertical relationship with the environment and the community, while having a horizontal relationship with extrinsic motivators that allowed for the implementation of the CSR. The corporate leaders' ethnocentric vision emerged as an obstacle to CSR since the corporate leaders pointed to a corporate vision as part of a global organizational culture of transnational mining companies, which can be defined as ingrained (e.g., internal practices established in a priori way) and prior to any interaction with the community. This topic related to the declared purpose of the research problem and my central research question, given its association with the views of the corporate leaders who are responsible for clarifying the organizational vision for social change

within the community. The vertical relationship between ethnocentrism and cultural relativism persisted to the extent that it crossed and fragmented the community's social fabric, hindering the dialogue.

The thematic topic causal conditions related to the sub-question SQ2 as well. This analysis is limited to the sample population of the five participants of Category C. Without prejudice to the above; it is possible to offer some analytical and conceptual considerations. For instance, the corporate leaders' ethnocentric approach to CSR is not the top priority for the transnational mining companies, which adopt CSR as a platform to promote ethnocentrism from developed to developing countries (Gilberthorpe & Banks, 2012; Moriceau & Guerillot, 2012).

The literature I reviewed emphasized CSR as standardized policies and practices, a closed system, which impoverishes and trivializes the way of life, the value-based, and, the ethical and associated heritage needs of the affected people. While Gilberthorpe et al. (2012) stressed the globalization and the pre-formative nature of CSR, Moriceau et al. (2012), and Dolan, Garsten, and Rajak (2011) insisted on the ethnocentric nature of CSR, which consolidates my research's problem statement. They found evidence of this fact in a genuine domestic economy, as it is very much the case of the Andacollo community.

The point of view of the corporate leaders casts a vision that can be defined as an inner perspective, of means-results regarding CSR policies. In accordance with what emerged from the corporate leaders during my interpretation, CSR characterizes itself as part of a strategy oriented toward stimulating and engaging the community. From this worldview, albeit a dialogue around CSR as a necessary strategy, the communities should

be less radical and more proactive in order to build a trusting relationship with the mining companies. This vertical relationship evidenced practices of subsystems, in which the vision of the corporate leader makes a difference between organizational culture and the citizens, and by virtue of this, the CSR policies and practices are marked as ethnocentric and self-imposed upon the local actors.

Theorists of the structural-functionalist perspective extensively investigated these processes of dissonance and detachment, and the search for processes of self-regulation, which helped me to understand some of the phenomena between CSR, environment, community, and the logics of action of the actors involved. It is necessary to integrate the four systems existent in every social group and furthermore, each subsystem holds some properties such as adaptive, goal-achievement, integration, and latency (Parsons, 2009). In Parsons' view, these properties are a reflection of a process of social change, in which the internal mechanisms to each subsystem and by general inertia, seek to maintain and align with the reality, working with what is available in any given timeframe (e.g., resources, material and symbolic). Indeed, the explanatory model outlined by Parsons (2009) is partial, in the sense of his view that the whole and the parts are mechanisms that aim at developing effectiveness and efficiency.

As I observed, when referring to the analysis of vertical and horizontal relationships, it appeared to exist an irreducible level of conflict between the CSR policies and practices and the community expectations. While the objectives, sociocultural needs, and processes of interaction between the actors in Andacollo, were related to the desire for a more friendly social development in which mining companies

are an essential agent, a perceived level of opposition and antagonism persisted, showing as the Parsonian model fails to explain the conflict in depth. Therefore, the position of the corporate leaders and the mining companies legitimated to understand CSR as an opportunity to maximize results.

Meanwhile, the social and the community agents indicated action strategies aimed at maintaining the logic of reciprocity, horizontality, and social integration, as appropriate containment and protection measures against adverse advents. In line with the findings, the research of Muthuri, Moon, and Idemudia (2012) offered a consistent analysis of the processes involved in these interactions. Muthuri et al. (2012) argued that mining corporations operate in a social context, which is more open than closed, in which communities adopt attitudes of mistrust and rejection expressing doubts about the effective contribution of CSR to their own welfare.

Context

In this thematic topic, the central code is *sociocultural characterization of Andacollo*. My analysis of the network suggested a horizontal relationship, in which, as per the standpoint of respondents belonging to the Category A (community members), the family is a fundamental institution, in which the rooted traditions persist over time. Also, given its centrality in the public and private sectors, the family is a reference in relation to the development of the local economy. From my interpretations, the network also provided a vertical and antagonistic relationship in the event that the mining companies cease their operations. From this vertical relationship I opened scenarios in which the economy and the local development should rethink and revalue the community

ties (reciprocity), characterized by long association over time, and the informal and non-contractual relationships.

Apparently, the social sustainability as expressed in my research's conceptual framework did not result in social welfare and, in addition, the medium to long-term effects were not encouraging since the mining boom had already reached its peak locally. In light of this scenario, in which the mining operations locally seemed to have no imminent or lasting upturn in the opinion of the participants of Category A (community members), the community of Andacollo should revalue the products linked to its context and local traditions, or reinvigorate the artisanal mining and religious tourism. What defines, in essence, the Andacollo community is its mining identity, whose symbolic identity ties go beyond the production of the local mining operations.

For this purpose, it is relevant to note that my research's conceptual approaches confirmed the importance of social sustainability. The literature I reviewed identified scholars that discussed this phenomenon, particularly Banks, Kuir-Ayius, Kombako, and Sagir (2013), who emphasized the social development associated with the nature of the mining impact. Hinojosa (2013) also developed an interesting perspective on the theme social sustainability, by positing that it is only through the empowerment of individuals and communities that the relationships between mining companies and local residents could improve substantially. In this regard, CSR programs should implement systems to measure and evaluate in depth how the development of mining activities systematically affects the surrounding areas.

In agreement with my inductive analysis of this thematic topic, sociocultural needs emerged as a significant theme making pertinent the discussion of some conceptualizations outlined in my research's foundational concepts. In respect to the horizontal relationship from the participants' view, it is necessary to consider the sociocultural needs as part of the local culture. Kottak (2013) understood that culture and territorial identity are a hierarchical structure consisting of multiple layers and dimensions, embedding behavior and spiritual-symbolic constructs as well defined layers. Culture entails not only the observable external behaviors but also all those closest and deepest areas that relate to beliefs, ties, and shared visions of the inter-subjective world, which sometimes emerge as values exhibited by the subjects.

These levels of representation of the internal and external culture constitute an explanatory resource that I considered useful to explore the contours and nuances put forward by the participants of Categories A and B. In this regard, the ethnographic work of Li (2007) became quite relevant, when she argued that culture is "a body of informal knowledge that is inherited, is transformed, is encapsulated, and when implemented encloses and the condition of being modified by social learning, since every community is a subtle border edge, almost non-existent" (p. 155). The emphasis surfaced as the outcome of my analysis of the codes, spoke of a level of the community's traditional shared culture. In other words, culture would be associated with the identity of specific groups (e.g., workers, members of the community, opinion leaders, mineworkers, and other general professionals) and with their beliefs as well.

Additionally, for this thematic topic, where sociocultural needs emerged as the catalyzing agent for the demands of the community, the research of Li (2007) provided the key conceptualization that culture in itself bears a scope of cultural relativism. This aspect of culture would increase the level of understanding and the implicit assumptions about the gap between the cultural relativism of the community actors and the ethnocentric view of the CSR practices in Andacollo. The approach to cultural relativism indicated lines of work and ideas about an ethical reflection toward the construction of an explanatory cognitive framework to articulate the cultural aspects properly, in its various areas of similarities and differences. Indeed, what emerged from this thematic topic was an incipient process of perpetuation and persistence of the local culture of the Andacollinos, described more as a subculture or culture of resistance, due to the verticality and opposition to the CSR policies and practices.

Intervening Conditions

In this thematic topic, the key code is *top down perspective of CSR*. My interpretation of this network showed me a vertical link with the code antecedent conditions, which suggested the presence of a phenomenon of recurrence between these two thematic topics. Based on the above, this network revealed a tendency to reinforce the vertical relationship between the concept of corporate ethnocentrism through CSR policies and practices as opposed to what the community understands about them, with respect to determined values. Based on the general understanding of CSR, although the participants could not clarify the differences, from a business-oriented perspective it stood out as a practice oriented toward philanthropic and charitable actions and strategies.

This gap was exacerbated by the lack of information (or interest) in the view of the interviewed participants from Category A (community members) when finding out what were the sociocultural needs that the community expected from the mining organizations.

In consequence of the above, the social impact resulting could be either positive or negative, depending on the business decisions and the stakeholders' interest involved. In other words, the social impact would vary in accordance with the particular needs of the mining companies, displacing this way the community participation, which would remain as a passive spectator and not a leading actor. The CSR policies and practices, as evidenced by my inductive analysis, are unilateral and its effects seemed to respond more to a logical top-down (imposed) rule. As per the participants of Category A interviewed, the present and future development of the community depends on the decisions of the multinational mining companies operating in the area. In this sense, an etic approach to CSR would be emerging in line with one of my research's conceptual foundations, reinforcing the view of a CSR orientation whose policies tend to unilateralism in design and lack of strategies of confrontation with local actors.

The corporate leaders interviewed indicated pre-formed and structured views of the perspectives, functions, and objectives of the CSR, suggesting that the communities (in an indeterminate and undefined sense) are more passive than proactive. Which, in turn, modeled a static concept of CSR, suggesting ignoring all kinds of co-regulation or co-participation, on the understanding that CSR, precisely because it is voluntary for companies, leads to the unilateralism regarding what it intends to accomplish on the ground, fulfilling only the minimum required by regulations in force. This unilateral

leadership's view of the situation gains significance when the focus is just on keeping the social license to operate in good standing rather than considering it as an essential part of the intrinsic CSR values.

The literature I reviewed identified approaches that reinforced the concepts of CSR essentially geared to a contractualist model and to the financial policies of economic return, rather than focusing on co-responsibility and co-regulation. Everingham (2012) and Owen et al. (2012b) discussed CSR from the perspective of the operating license (or social license to operate), especially after the mine closure (post-closure) phase, adding another perspective to the social sustainability theme. Moreover, the demands from both the community members (Category A) and the community leaders (Category B), suggested a social expectation able to overcome the logic of philanthropy and turn it out to dialogue and collaboration. Which, in turn, prompted an emerging line of investigation towards responding to the research sub-question SQ1 (emic perspective), linked to how the community members being investigated perceive CSR in light of their sociocultural needs.

Therefore, the concepts defended from the community members' perspective are closer to the social co-responsibility of the mining companies and co-regulation of the corporate social responsibility practices. That is, it is not only understood that the mining company is perceived as a social agent that must take into account those involved in its activities and offer respectful treatment, but also, it must recognize the important role played by the local actors from Andacollo. Especially in the regulation and assessment of policies and business practices that are designed and implemented in this regard.

Intervention Action Strategies

In this thematic topic and corresponding network, the central code is *intervention actions proposals of the community members*. My thematic analysis of the network suggested that the code demands of the community from the perspective of the corporate leaders has a horizontal relationship with the community members' perception of the unbalanced distribution of the working capital (financial capacity of mining against the lack of monetary resources of the population). And, vertically, my interpretation of the code demands of the community from the perspective of the corporate leaders suggested a failure in penetrating into the ethnocentric perspective of the actions proposed by the corporate leaders, who showed little empathy and were silent about his/her involvement in the way of life, values, and ties related to a locally shared culture.

Corporate leaders and organizations should encourage and support social practices focusing attention on social capital as a critical component to channel and achieve the community demands (or sociocultural needs). In this sense, Chia (2011) is quite revealing and indicative that the vertical relationship appears to be a barrier to social and organizational change. In this regard, Frynas (2008) warned that CSR's main aim is profit, leaving the other goals as secondary, and argued that CSR should assist companies in preventing external threats. From the Andacollo community members' sociocultural perspective, the relationship would be marking the need for a cultural paradigm shift in CSR policies and practices making it more aligned with the society demands, and oriented to best practices. As, for instance, a cultural paradigm shift

towards addressing the quality of life and citizen welfare, improving the environment, and in short, becoming a bottom-up process.

This research finding is consistent with my analysis of several authors found in the literature I reviewed. Estes (2010) and Kamlongera (2013) stressed the need for closing the gap between community demands and mining companies' initiatives. And, Zubillaga (2013) highlighted the need for a modern leadership style enforcing a productive dialogue with the entities that emerge from conflict and adversity, as there is growing demand from local associations (e.g., NGO) about the unavoidable need to mitigate conflict through dialogue. The communities demand respect, and because of that, corporate leaders must know how to handle such reality, since it is consistent with a new corporate identity with a marked emphasis on social change (Zubillaga, 2013).

A story line emerged from my thematic analysis of this network, in which the horizontality and the reciprocity level of the participants interviewed presupposed the desire of the community of Andacollo to maintain its cultural and local identity. Such aspects are considered as a community resource and a social foundation to preserve. And, as such, it is necessary to leverage these aspects to modify existing CSR policies and practices.

Consequences

The central code for this network is *harmful features of the mining activity*. I did not identify any horizontal relationships between the community members and the corporate leaders, especially as to the perceptions of the effects of CSR in Andacollo. The consequences thereof were associated with the dangers of environmental pollution,

damage associated with deterioration in the availability of work, in finding other employment horizons, and the degradation of green areas in the region. I considered such consequence as an implicit assumption (emerging category) and from the point of view of the analytical process became a significant finding, because it permeated throughout all the social community structure.

In other words, the negative implications associated with the rise of the mining development (e.g., environment and mining processes associated with negative impacts such as wastes, residues, contaminants), impacted on and directly affected the community members. On the other hand, there was a tendency to do not perceive the same consequences as threats within the corporate organizational levels (ethnocentric perspective). This is a typical vertical-type network, in which there exists a gap between the subsystems constituting the greater social system. A gap that presented the opportunity to observe the fragmentation between the emic (community) and the ethic (companies) constructs strengthening the CSR imbalance, whereby the sociocultural and the relativist perspectives do not dialogue with the corporate ethnocentrism.

Regarding the imbalance mentioned, the literature I reviewed identified relevant research on the topic, especially on the conflict community-mining company. These conflicts are becoming more and more frequent and important, and Kemp et al. (2011) and Owen et al. (2012a) offered a significant contribution to this discussion. In this sense, some of my most interesting research findings recognized the constant and growing expectations for the mining industry to practice CSR policies with a higher social profile and standard. On the same topic, Brew et al. (2015) and especially Kemp

et al. (2011), stressed that there are power imbalances and dissonances between the community social needs and the mining corporations' visions, given the nature of the mining business (often operating in sensitive social and environmental contexts).

In addition, in my literature review I discussed the balance of power among actors as well. In this context, it is particularly significant the approach of Alstine and Afionis (2013), who analyzed the power imbalance between communities impact by mining activities and transnational mining corporations, discussing the impact of unmet needs and the ongoing conflicts that often surround the mining areas. In light of the foregoing, Alstine et al. (2013) sustained that there is minimal evidence that CSR has contributed to sustainable community development. Or, practically no evidence, in spite of all the continuing pressures on the multinational mining companies to go beyond their purely economic (philanthropic) contributions as part of their CSR policies and practices. In summary, from a methodological point of view, the literature I reviewed indicated studies aligned and focused on a bottom-up approach involving all relevant community representatives and members.

The alignment and rapprochement processes between business strategies and local expectations should be the priority for all stakeholders, in order to adjust the model of development and change, and in addition, the leadership role is quite critical for these processes. In light of this, Owen et al. (2014a) confirmed the gap between the CSR policies and the implementation of strategies and recognized empirically that "the ways of operating, engage and share benefits is not always sustainable or defensible "(p.12). Owen et al. (2014a) also postulated a paradigm shift, emphasizing the inescapable social

role of the companies, in line with the demands and concerns of local communities. My recommendation is to fulfill said role by implementing an inclusive and participatory process and fostering research programs associated with conflicts related to the relationship mining-community. Cronje and Chenga (2009) argued about the widening gap in social expectations generated in the areas surrounding mining operations, which adds to the problem if there is no implementation of any measures to reduce such gap.

In conclusion, I identified a relevant relationship that is directly related to both the research problem and the central question. I identified that the participants interviewed perceived sociocultural needs as a conflictive and antagonistic reaction to the practiced dysfunctional CSR strategies, which tend to remain at surface level as unsatisfied demands and fail to establish a significant prospect for the stakeholders. I translated these research findings from a structural and systemic perspective as a dysfunctional model, trending slowly but inexorably to a critical stage, given its systemic characteristics.

Summary of the Interpretation of Findings

I opted for an inductive analysis based on the selection of six thematic topics following the usual procedure adopted in qualitative ethnographic research. Upon completion of the open and axial coding phases, during the coding process I refined the data collected through a selective step followed by the data interpretation using the conceptual framework, and I finally selected a narrative pattern by contrasting emerging themes. The conceptualization process is aligned with the conceptual framework adopted for my study and aimed at understanding how the emerging perspectives describe the

events, phenomena, discourses, and values unveiled by the participants interviewed. My selective analysis of the thematic topics and corresponding networks added depth and structure to my interpretative process, in addition to providing a level of refinement of the data that went beyond the insights that emerged during the open and axial coding process. Confirming that the passage from description to conceptualization is the stage of the selection process in which an integrated matrix is constructed, which is suggestive of the relational sense between the different thematic topics inductively selected for the networks (Strauss et al., 2002).

Unlike in other qualitative perspectives (e.g., grounded theory), I chose to organize and interpret data using a general inductive approach for analyzing qualitative evaluation data, and the qualitative content analysis process. The foundational concepts, an integral part of my research's conceptual framework, were the foundations for my data interpretation that lead to my findings and could be used to feedback the conceptual foundations. The research findings resulting from my thematic analysis of the six thematic topics, suggested a vertical-horizontal relational structure, as anticipated and discussed in Chapter 4. For a detailed discussion, refer to the summary of the findings in Chapter 4.

Limitations of the Study

I was cognizant that due to the nature of human biases and cultural differences, I could misunderstand and misinterpret both the participant's observations and interviews, leading to inaccurate conclusions. In order to counter-affect this issue and reduce research biases I analyzed data from multiple sources, collected by different methods, and

founded on a sound and broad base of concepts. Ethnographic research is highly prone to researcher's biases, as the validity and meaningfulness of the findings depend on the researcher's skills, discipline, and perspective, becoming an important limitation of the study. My study is limited to and focused on the CSR policies and practices related exclusively to the mining industry, and it is limited to a specific community impacted by mining operations, namely the Andacollo mining town.

Time was critical, and an important limitation for my ethnographic study, as the mining operations could cease at any time due to the volatility of the commodities market price and the social context for carrying out the fieldwork could dramatically change. Certain ethnocentric biases from me, such as endoculture (the transferring process of information from the elderly opinion leaders and their influence on the new generations), were anticipated and identified as a limitation of my research as well. Communication was considered as a limitation and a sensitive issue as either the language used by me or the one used by the participants would probably differ since colloquial and vernacular languages are different in relation to their real meanings as much as their symbolic meanings. Also, some idiosyncrasies could limit the recollection of data about the life stories of the key informants and the systems used to put their environment in action. Finally, the ethnographic technique and its application from its cultural relativist dimension perspective, combined with my academic formation and professional practice, represented a limitation for my research concerning the comprehension, interpretation, and evaluation of subjective data.

Recommendations

It emerged from my study that there is a substantial convergence of the ethnographic technique with the CSR constructs, which would open possibilities for improvement in CSR discourse and action recommending new lines of research adopting the ethnography methodology. The inductive approach I adopted in my research confirmed that the initial course of the investigation (e.g., the gap between business objectives and the community needs in the design and implementation of CSR) could open new avenues for ethnographic studies of CSR in the context of sustainable development around mining communities. I recommend further research adopting a comprehensive framework, together with the ethnographic perspective, aimed at reconstructing the views and lived experiences of the impacted communities around mining operations. The research findings are an opportunity to develop future studies within the framework of social sustainability, social impact, and sustainable development for communities in the area of influence of mining projects.

For the scope of my research I considered the investigation of cultural relativism as an emerging theme from CSR, following up on the literature I reviewed; in this sense, I would recommend further research on the topic. The findings of my research pointed towards the need for a paradigm change in CSR policies and practices aiming at balancing the power relations and improving community participation and social sustainability. In this regard, I recommend the development of further studies focusing on a bottom-up approach to CSR and critically exploring the conflict between the

emerging emic and cultural relativism versus the current etic and top-down CSR perspectives.

CSR has become an important governance component of almost all business corporations worldwide in many industry fields though it has not been adequately aligned with the sociocultural perspective, which would allow for a more inclusive and participatory relationship with the communities impacted. None of the articles I reviewed in the literature were exploring at depth the sociocultural dimension and approaching CSR from a sociocultural perspective. A sociocultural perspective would open opportunities for a productive community participation on issues related to social needs, social change, and social relativism, thus reducing the influence of the ethnocentric approach to CSR discourse and action.

In the literature I reviewed of current CSR policies and practices, primarily based on Carroll's model, I identified the need for additional research to expand on Carroll's CSR pyramid model, considering the inclusion of the community sociocultural needs dimension. None of the currently known CSR dimensional models have so far considered the sociocultural dimension involved in the CSR process, and it is precisely at this level of analysis that the knowledge gap comes about, which I intended to approach and investigate. Hence, I recommend the development of further research on the existent four-dimensional CSR models, which do not consider the sociocultural dimension in the CSR processes.

Project sponsors (board members) are responsible for corporate sustainability and social responsibility policies and commitments, as to the incorporation of the relevant

sociocultural needs for the communities impacted into the CSR planning and implementation. In this sense, I recommend further research relevant to CSR studies exploring leadership traits and organizational change initiatives as change agents necessary to the adoption and promotion of the sociocultural perspective. The findings of my research support the recommendation towards the inclusion of sociocultural needs in the design, planning, and implementation of CSR programs for transnational mining companies operating in the area of influence of communities. In this respect, I recommend additional studies adopting an ethnographic approach to CSR programs.

My critical review of the CSR literature indicated the need to align CSR with the TBL and supported the view of the gap in the literature and current CSR policies and practices. I propose bridging such gap in knowledge in literature and in professional practice through focused studies addressing the tangible and intangible values of the sociocultural needs of those community members impacted by mining projects operating in their area of influence. I expect that additional research on the topic will not only add to the knowledge base of the literature in the field but also, more importantly, will bring valuable benefits for all stakeholders adding balance to the CSR system dynamics.

Due to the limited reality of the mining area of Andacollo, the research left open topics (e.g., interviewing with local mining managers, interviewing with local regulatory agencies, investigate the role of NGOs in the company-community negotiations) that could be explored in depth in subsequent research. The approach of my study to the organizational culture of transnational mining companies is limited and found to have only described the corporate leadership roles and corporate sustainability policies within

a limited sample population of corporate mining executives. In this respect, it is not clear how much influencing power the corporate leaders possess to influence CSR policies and practices aligned with the communities' sociocultural needs.

In closing, I recommend new lines of investigation concerning new paradigms and theoretical interpretative systems, adopting hermeneutical and sociocultural approaches to CSR. I also recommend additional studies aiming at exploring and describing the human experiences and worldviews of the individuals impacted by CSR discourse and practices. Not disregarding the voices and views of the mining corporate leaders, focusing on the development of social processes and the promotion of social changes and transformation; not at the expenses of the communities but instead favoring them.

Implications

I understand that the outcomes of my study will contribute to the knowledge base in the mining professional field and will positively affect social and organizational change, as it will be applicable and improve current CSR management practices. The methodology I applied in the study can bring tangible improvements to the current knowledge base by proposing the application of new constructs and concepts creating new management perspectives leading to improvements in CSR practices. My study bears methodological and empirical implications, as it will fill a knowledge gap in the contemporary literature in the field of social theory and organizational theory. The outcomes of my study also bear relevance for the design of CSR policies and practices, which would reduce the conflicts, experienced in the relationships between the mining company and the community, and foster organizational and social change.

I adopted the thematic analysis as a method for identifying, organizing, analyzing, and providing for patterns or themes from a careful reading and rereading of the information gathered from the interviewing process. This way, the results achieved fostered a proper understanding and interpretation of the phenomenon (social needs) object of my study. In addition, the thematic analysis provided for an exhaustive process for identifying numerous cross-references between the emerging themes and all related information gathered, allowing for the linkage of various constructs and opinions emerged from the study's participants. The thematic analysis I carried out allowed for the comparison between constructs and opinions from data collected and coded in different situations at different times during the data collection phase (participant interviews).

The research methodology I applied bears relevant empirical implications since it allowed for a bottom-up approach emphasizing and exploring the relationship between emic (community level) and etic (corporate level) perspectives. Such perspective is also important for the interpretation of the leadership roles in respect to promoting organizational change in line with societal changes. Furthermore, I performed the interpretation of data collected for all sample categories under the lens of the sociocultural and cultural relativism perspectives, with a structural-functionalist focus, as part of the study's conceptual foundations.

I also expect that the findings of my research will be a contribution to CSR literature, in the field of organizational change, social change, and leadership, since its objectives propose alternatives for the improvement of knowledge in fieldwork on

sustainability and CSR. I designed the research plan to involve sociocultural considerations in the CSR policy-making on a corporate level and with a recommendation to the board of directors of the transnational mining company. I aimed with my research to bridge the knowledge gap in CSR literature, contribute to the growing knowledge development of CSR in the mining industry, and propose a paradigmatic change in CSR policies and practices. The proposition I made of another dimension (sociocultural needs) would promote organizational and social changes, benefiting mining companies and communities impacted by mining projects.

There is a need for a more inclusive and participatory process with the communities related to socially sustainable needs. In order to explore social needs, community's perception and social values involved in the relationships community-mining company, I found necessary to adopt an emic-etic approach. I understand that through core research themes as corporate sustainability, corporate social responsibility, sustainable development, social impact, sociocultural needs, sociocultural perspective, ethnocentrism, cultural relativism, social system and social change, such approach is possible. This approach would open possibilities for positive social change at individual, group, organizational, and societal levels.

In this regard, ethnographic research aims to a socially integrating view that opens room for societal change throughout leaderships and social cohesion. Thus, it is a view from the social sciences perspective calling for deliberation through socio-anthropological methods and techniques (e.g., participant observation, in-depth interviews) and opening a new field of collaboration between transnational mining

companies and the affected communities. It is a view taken from an angle of how transnational mining companies and communities have been interacting all these years and what the resulting outcomes have been. It is the search for a new CSR paradigm, which pursues more involvement between stakeholders and new productive and socially sustainable development scenarios for both the mining companies and the communities.

I expect that my study will fill the gap in the literature in the field of social theory and organizational theory, identified by the literature I reviewed. The objectives of my research envisaged the optimization of a CSR development program filling a gap in the scholarly literature concerned with the imbalance between the ethnocentric approach to CSR and the cultural relativist approach. In addition, the study outcomes brought a contribution to the body of knowledge related to work-based research on corporate sustainability and social responsibility.

I envisage that my study has the necessary elements to inform and communicate the research findings to influential decision-makers who have the power and mandate to foster social change through positive changes in professional practices and methodologies. I also expect that the study findings will contribute to the knowledge base in the mining professional field and positively influence social and organizational change, as it brings a contribution to the betterment of CSR management practices. I envisage as well that my study will have immediate practical application, expand knowledge, and enhance professional practice by proposing new approaches and constructs. In addition, I expect that it will foster new management perspectives leading to improvements in CSR management practices.

As an additional contribution, my study will serve the purpose of providing elements for the optimization of the lines of approach and engagement rules between the transnational mining company and the Andacollo community. Moreover, it will contribute to the design of policies for socially sustainable development in line with the community's social needs, as well. I understand that these contributions bear relevant empirical implications and can lead to tangible improvements in CSR policies and practices at large.

The central research topic addressed in my study bears the potential to contribute to a dynamic and integrated social context and to offer recommendations for future research related to CSR policy-making and practices. I summarized the expected potential benefits of the study, at individual (micro) and group and community (macro) levels:

- Improvement in the relational dynamics between company-community with a consequent reduction in social conflicts, which is a positive change for both social actors.
- Enablement in obtaining the social license to operate, which is a positive change for the company.
- Enhancement of the preservation of the sociocultural patrimony, which is a positive change for the community and society.
- Betterment of the community's sociocultural archive by means of additional research (e.g., ethnography, case study, action research) on the topic, which is a positive change for the community and society.

- Improvement in professional practice in the CSR field, which is a positive change for companies and academic-practitioners.

Conclusion

My study supported the notion that there is an imbalance between ethnocentrism and cultural relativism in the discourse and agency of CSR initiatives within the context and scope of my research. Increasing the ability of communities to participate more actively in the CSR practices performed by the transnational mining companies will fulfill the community's sociocultural needs and would change the relational dynamics between communities and transnational mining companies. The adoption of a bottom-up and cultural relativist strategic business approaches would minimize the social conflicts, thus building up the foundations for a harmonic and socially sustainable community development. The ethnographic research approach to CSR policies and practices applying a sociocultural perspective, object of my study, identified relevant aspects that could contribute to the reduction of the imbalance between the ethnocentrism found in CSR by adopting a cultural relativist pragmatic instance in the discourse and practice. The research outcome indicated that an ethnographic research approach to CSR could contribute to and improve current praxis, fostering sustainable and positive organizational and social change.

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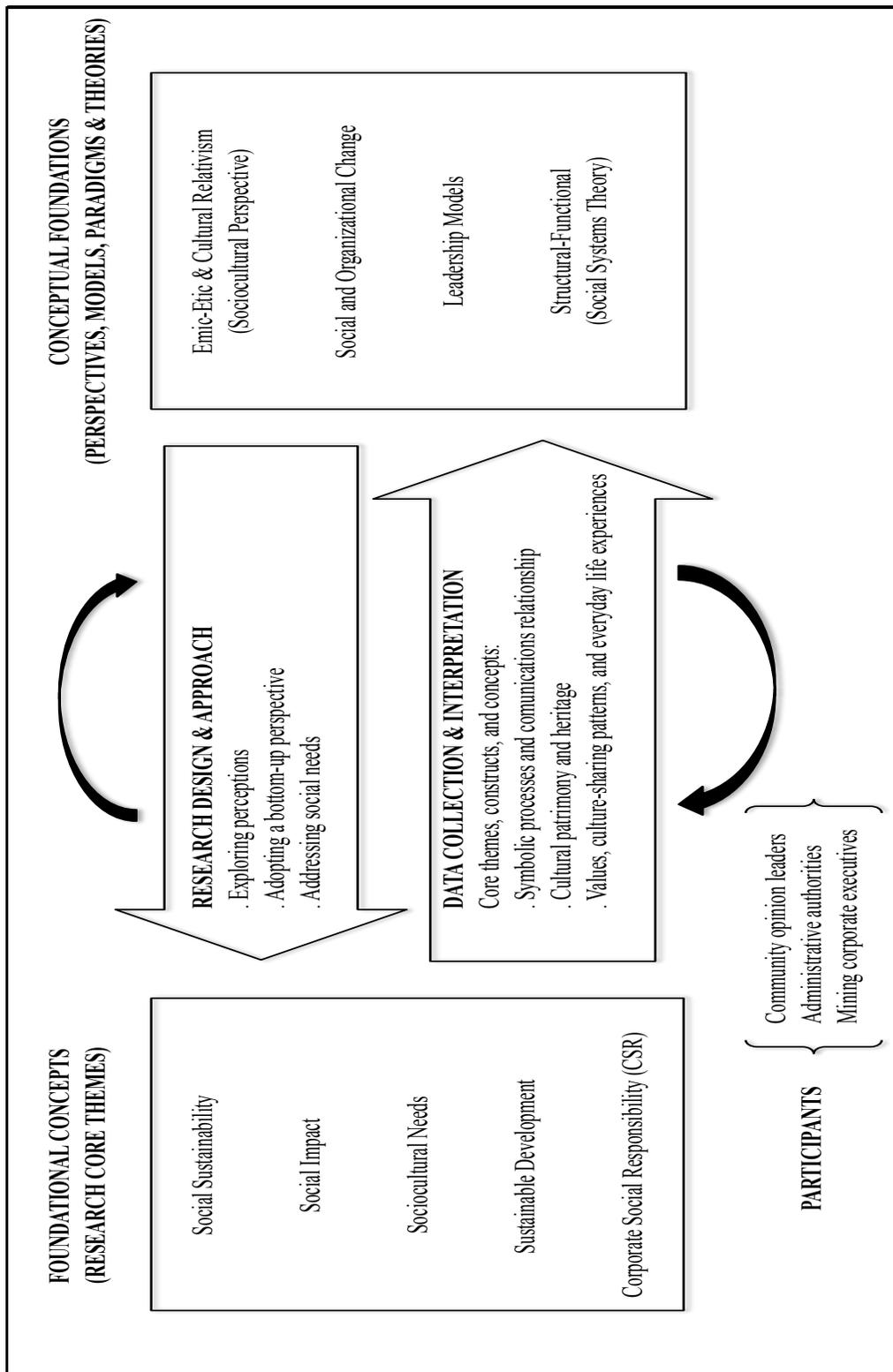
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Appendix A: Conceptual Framework Concept Map



Appendix B: Interview Script

(For subjects belonging to the community: Category A sample)

IQCA-01: Please, could you introduce yourself and tell us about how do you feel living in a mining community as Andacollo (e.g., what do you like, dislike, etc.)?

Anything in your opinion that should be changed to improve aspects that you don't like?

And, could you give us your thoughts about your future life plans (e.g., family, work, etc.), as well.

IQCA-02: What aspects of your personal life are the most valuable for you? And, for your family? Just complementing still within the same subject, in your opinion as a community member, what aspects you consider being the most valuable for the community at large?

IQCA-03: Please, how do you appreciate the current working opportunities and life conditions within the Andacollo community? And, what are your expectations ... are these going to change in the future? Do they need to be changed?

IQCA-04: What are your lived experiences with regard to the current sanitary, educational conditions, and lifestyle offered by the Andacollo community and their impacts on your family members? And, what are your expectations, or in other words, what in your opinion should be changed?

IQCA-05: Assuming that you will continue living in the Andacollo community, please tell us what are your economic and work expectations for the next few years, considering that the mining companies will have to shut down their operations and leave. Is this going to have any impact in your life and of your family?

IQCA-06: Please, what is your opinion and expectations, as a community member, about job opportunities in general and living conditions within the Andacollo community at large, if and after the mining companies have left the area?

IQCA-07: Please, what is your opinion about the measures adopted by the local government authorities toward fostering entrepreneurship, creating new work opportunities in many fields, and improving the living conditions in the Andacollo community?

IQCA-08: Are you familiar with the CSR programs and initiatives of the mining companies operating in the vicinity of the Andacollo community? Do you know what CSR means, in general terms?

IQCA-09: In terms of capacity building/training, what kind of training opportunities have you been offered and received so far, regardless if these were made available by government and communal institutions, and private entities (i.e., mining companies)? Should these be part of the CSR initiatives of the mining companies? If so, why do you think so?

IQCA-10: Still on the same subject and considering that we have been exposed to. Have those training/capacity building opportunities in line with your personal interests? Do you think that you should be offered a different type of opportunities in many different subject fields? Do you think that the mining companies should be involved with this matter through their CSR programs?

IQCA-11: Please, what is your opinion about the local government policies regarding public areas for leisure and cultural activities for the community members? Do you think that the mining companies should be involved with this matter through their CSR programs?

IQCA-12: In your opinion, on what measures the local government authorities should focus in order to improve the living conditions of the Andacollo community members? I mean, what should be done to change and improve the current situation? Do you think that the mining companies should be involved with this matter through their CSR programs or is it the responsibility of the authorities?

IQCA-13: From your perspective, what is your opinion regarding the measures taken by the past and current government administrations toward the protection of the sociocultural and heritage/historical patrimony of the Andacollo community? Do you think that the mining companies should be involved with this matter through their CSR programs or is the responsibility of the authorities?

IQCA-14: Is this matter relevant and important for you? And if so, what type of measures and covenants should be taken to protect the sociocultural patrimony and traditions of the Andacollo community? Again, do you think that the mining companies should be involved with this matter through their CSR programs or is the responsibility of the authorities?

IQCA-15: Please, what is your opinion in regard to the mining companies operating in the vicinity of the Andacollo community? Have the mining companies

produced any impacts on your living conditions and your social relations with the other community members? In what aspects have these impacts affected you and your family?

IQCA-16: Have the surrounding environment been impacted? And, in which ways do you perceive the changes in the landscape, water quality, and soil usage? How do you rate these impacts (e.g., where they positive or negative, relevant or insignificant, acceptable or unacceptable)?

IQCA-17: From your perspective what transformations could be highlighted with respect to the changes (either positive or negative) experienced by the Andacollo community at large during the last years? Should any negative transformations, in your view, caused by the activities of the mining companies operating in the vicinity of Andacollo, be in any ways remediated by them?

IQCA-18: What is your opinion about the relationship between the Andacollo community at large and the mining companies? Do you understand that there has been an open dialog and communication between the parties? Could you qualify, please? (e.g., good, bad, enough, insufficient, productive, unproductive).

IQCA-19: How do you envisage the lifestyle of your family in a few more years considering the scenarios touched before in questions 5 and 6? Will you still consider residing in the community of Andacollo? If so, why so?

IQCA-20: Have you been consulted and have you feel as a participant of the decision-making process regarding the CSR initiatives that were and should be implemented in the Andacollo community, in order to improve current living conditions?

IQCA-21: Do you feel that there has been any interest in remodeling the public areas and improving living conditions within the Andacollo community? In case negative, please could you identify which areas, aspects, and living conditions, according to you, should be prioritized and of common interest? Do you think that the mining companies should be involved with this matter through their CSR programs or is the sole responsibility of the authorities?

IQCA-22: Please, bear with me just another minute that this going to be the very last question: What kind of actions should be taken by the CSR program of the mining companies operating in the vicinity of the Andacollo community, to support and foster the preservation of the cultural heritage and particularly the indigenous heritage of the Andacollo community and region, as part of their CSR programs?

Appendix C: Interview Script Matrix

(For subjects belonging to the community: Category A sample)

| Interview Question ID | Research Questions | | Topic | Concept | Perspective | Paradigm / Theory |
|-----------------------|--------------------|------|--------------------------------|---------------------------------------|---------------------|------------------------------|
| | CQ 1 | SQ 2 | | | | |
| IQCA-01 | X | X | Life stories | Social Sustainability | Emic | Social Systems |
| IQCA-02 | X | X | Life stories | Social Sustainability | Emic | Social Systems |
| IQCA-03 | X | X | Life stories | Social Sustainability | Emic | Social Systems |
| IQCA-04 | X | X | Life stories | Social Sustainability | Emic | Social Systems |
| IQCA-05 | X | X | Human needs & expectations | Social Sustainability / Social Impact | Sociocultural | Social Change |
| IQCA-06 | X | X | Human needs & expectations | Social Sustainability / Social Impact | Sociocultural | Social Systems |
| IQCA-07 | X | X | Human needs & expectations | Sustainable Development | Sociocultural | Social Change |
| IQCA-08 | X | X | Human needs & expectations | Corporate Social Responsibility | Emic | Social Change |
| IQCA-09 | X | X | Human needs & expectations | Sustainable Development | Cultural Relativism | Social Change |
| IQCA-10 | X | X | Human needs & expectations | Sustainable Development | Cultural Relativism | Social Systems |
| IQCA-11 | X | X | Community, Culture & Patrimony | Social Impact | Emic | Social Systems |
| IQCA-12 | X | X | Community, Culture & Patrimony | Social Impact | Emic | Social Systems |
| IQCA-13 | X | X | Culture & Cultural values | Sociocultural Needs | Sociocultural | Social Systems |
| IQCA-14 | X | X | Culture & Cultural values | Sociocultural Needs | Sociocultural | Structural-Functional Theory |
| IQCA-15 | X | X | Environment & Perception | Social Impact | Emic | Structural-Functional Theory |
| IQCA-16 | X | X | Environment & Perception | Social Impact | Emic | Structural-Functional Theory |
| IQCA-17 | X | X | Environment & Perception | Social Impact | Emic | Structural-Functional Theory |
| IQCA-18 | X | X | Sociocultural Needs | Corporate Social Responsibility | Emic | Social Change |
| IQCA-19 | X | X | Sociocultural Needs | Social Sustainability / Social Impact | Emic | Social Change |
| IQCA-20 | X | X | Sociocultural Needs | Corporate Social Responsibility | Emic | Social Change |
| IQCA-21 | X | X | Sociocultural Needs | Corporate Social Responsibility | Emic | Social Change |
| IQCA-22 | X | X | Community, Culture & Patrimony | Sustainable Development | Emic | Social Change |

Legend:

IQCA - mi: interview question category A group

Appendix D: Interview Script

(For subjects belonging the community leaders: Category B sample)

IQCB-01: Please, could you introduce yourself and tell us about how do you feel living in a mining community as Andacollo (e.g., what do you like, dislike, etc.)?

Anything in your opinion that should be changed to improve aspects that you don't like?

And, could you give us your thoughts about the plans for the community (e.g., living conditions, job opportunities, etc.), as well.

IQCB-02: What aspects of the life of the community members are the most valuable for you? And for yourself? Just complementing still within the same subject, in your opinion as a community leader, what aspects you consider being the most valuable for the community at large?

IQCB-03: Please, as a community leader how do you appreciate the current working opportunities and life conditions within the Andacollo community? And, what are your expectations ... are these going to change in the future? Do they need to be changed?

IQCB-04: What are your lived experiences with regard to the current sanitary, educational conditions, and lifestyle offered by the Andacollo community and their impacts on the family members? And, what are your expectations, or in other words, what in your opinion should be changed?

IQCB-05: Assuming that you will continue living in the Andacollo community and have an active leadership role, please tell us what are your economic and work expectations for the next few years, considering that the mining companies will have to

shut down their operations and leave. Is this going to have any impact in the community life at large?

IQCB-06: Please, what is your opinion and expectations, as a community leader, about job opportunities and living conditions within the Andacollo community at large, if and after the mining companies have left the area?

IQCA-07: As a community leader have you been informed about and are you familiar with the CSR programs and initiatives of the mining companies operating in the vicinity of the Andacollo community? What CSR means for you, in general terms?

IQCB-07: In your view, as a community leader, what kind of sustainable CSR initiatives the mining companies should embrace, as part of their CSR program that will last after they are gone and contribute to the community in the long term?

IQCB-08: Please, what is your opinion about the measures adopted by the local government authorities toward fostering entrepreneurship, creating new work opportunities, and improving the living conditions in the Andacollo community?

IQCB-09: Could the mining companies through their CSR initiatives and programs contribute in this sense working together with the community leaders?

IQCA-10: Please, what is your opinion about the local government policies regarding public areas for leisure and cultural activities for the community members? Do you think that the mining companies should be involved with this matter through their CSR programs or is the responsibility of the authorities?

IQCA-11: As a community leader, in your opinion, on what measures the local government authorities should focus in order to improve the living conditions of the

Andacollo community members? I mean, what should be done to change and improve the current situation? Do you think that the mining companies should be involved with this matter through their CSR programs or is the responsibility of the authorities?

IQCB-12: From your perspective, what is your opinion regarding the measures taken by the past and current government administrations toward the protection of the sociocultural and heritage/historical patrimony of the Andacollo community? Do you think that the mining companies should be involved with this matter through their CSR programs or is the responsibility of the authorities?

IQCB-13: As a community leader, is this matter relevant and important for you? And if so, what type of measures and covenants should be taken to protect the sociocultural patrimony and traditions of the Andacollo community? Again, do you think that the mining companies should be involved with this matter through their CSR programs or is the responsibility of the authorities?

IQCB-14: Please, what is your opinion in regard to the mining companies operating in the vicinity of the Andacollo community? In your opinion, as a community leader, have the mining companies produced any impacts on the living conditions and the social relations of the community members? In what aspects have these impacts affected the community members?

IQCB-15: Have the surrounding environment been impacted? And, in which ways do you perceive the changes in the landscape, water quality, and soil usage? How do you rate these impacts (e.g., where they positive or negative, relevant or insignificant, acceptable or unacceptable)?

IQCB-16: Please, could you offer me a recount of your specific lived experiences regarding any deterioration of the landscape, touristic sites, and cultural traditions related to the activities of the mining companies operating in the vicinity of the Andacollo community?

IQCB-17: From your perspective what transformations could be highlighted with respect to the changes (either positive or negative) experienced by the Andacollo community at large during the last years? Should any negative transformations, in your view, caused by the activities of the mining companies operating in the vicinity of Andacollo, be in any ways remediated by them?

IQCB-18: What is your opinion about the relationship between the Andacollo community at large and the mining companies? Do you understand that there has been an open dialog and communication between the parties? Could you qualify, please? (e.g., good, bad, enough, insufficient, productive, unproductive).

IQCB-19: As a community leader, how do you envisage the lifestyle of community families in a few more years considering the scenarios touched before in questions 5 and 6? Will you still consider residing in the community of Andacollo? If so, why?

IQCB-20: Have you been consulted and have you feel as a participant of the decision-making process regarding the CSR initiatives that were and should be implemented in the Andacollo community, in order to improve current living conditions?

IQCB-21: Do you feel that there has been any interest in reclaiming the public areas and improving living conditions within the Andacollo community? In case

negative, please could you identify which areas, aspects, and living conditions, according to you, should be prioritized and of common interest? Do you think that the mining companies should be involved with this matter through their CSR programs or is the sole responsibility of the authorities?

IQCB-22: Please, bear with me just another minute that this going to be the very last question: What kind of actions should be taken by the CSR program of the mining companies operating in the vicinity of the Andacollo community, to support and foster the preservation of the cultural heritage and particularly the indigenous heritage of the Andacollo community and region, as part of their CSR programs?

Appendix E: Interview Script Matrix

(For subjects belonging to the community: Category B sample)

| Interview Question ID | Research Questions | | | Topic | Concept | Perspective | Paradigm / Theory |
|-----------------------|--------------------|------|------|--------------------------------|---------------------------------------|---------------------|------------------------------|
| | CQ 1 | SQ 1 | SQ 2 | | | | |
| IQCB-01 | X | X | | Life stories | Social Sustainability | Emic | Social Systems |
| IQCB-02 | X | X | | Life stories | Social Sustainability | Emic | Social Systems |
| IQCB-03 | X | X | | Life stories | Social Sustainability | Emic | Social Systems |
| IQCB-04 | X | X | | Life stories | Social Sustainability | Emic | Social Systems |
| IQCB-05 | X | X | | Human needs & expectations | Social Sustainability / Social Impact | Sociocultural | Social Change |
| IQCB-06 | X | X | | Human needs & expectations | Social Sustainability / Social Impact | Sociocultural | Social Systems |
| IQCB-07 | X | X | | Human needs & expectations | Sustainable Development | Sociocultural | Social Change |
| IQCB-08 | X | X | | Human needs & expectations | Corporate Social Responsibility | Emic | Social Change |
| IQCB-09 | X | X | | Human needs & expectations | Sustainable Development | Cultural Relativism | Social Change |
| IQCB-10 | X | X | | Human needs & expectations | Sustainable Development | Cultural Relativism | Social Systems |
| IQCB-11 | X | X | | Community, Culture & Patrimony | Social Impact | Emic | Social Systems |
| IQCB-12 | X | X | | Community, Culture & Patrimony | Social Impact | Emic | Social Systems |
| IQCB-13 | X | X | | Culture & Cultural values | Sociocultural Needs | Sociocultural | Social Systems |
| IQCB-14 | X | X | | Culture & Cultural values | Sociocultural Needs | Sociocultural | Structural-Functional Theory |
| IQCB-15 | X | X | | Environment & Perception | Social Impact | Emic | Structural-Functional Theory |
| IQCB-16 | X | X | | Environment & Perception | Social Impact | Emic | Structural-Functional Theory |
| IQCB-17 | X | X | | Environment & Perception | Social Impact | Emic | Structural-Functional Theory |
| IQCB-18 | X | X | | Sociocultural Needs | Corporate Social Responsibility | Emic | Social Change |
| IQCB-19 | X | X | | Sociocultural Needs | Social Sustainability / Social Impact | Emic | Social Change |
| IQCB-20 | X | X | | Sociocultural Needs | Corporate Social Responsibility | Emic | Social Change |
| IQCB-21 | X | X | | Sociocultural Needs | Corporate Social Responsibility | Emic | Social Change |
| IQCB-22 | X | X | | Community, Culture & Patrimony | Sustainable Development | Emic | Social Change |

Legend:

IQCB - mm: interview question category B group

Appendix F: Interview Script

(For subjects belonging to the mining company executives: Category C sample)

IQCC-01: Please, describe your understanding about Corporate Social Responsibility (CSR) briefly broadly within the mining industry context. And, what is your opinion, as a corporate leader, about the current CSR models, policies, and practices at large and specifically within the mining industry?

IQCC-02: As a corporate leader, how do you perceive CSR nowadays within the mining industry context worldwide? Is CSR a necessary and useful business tool? Do you think that there is any need for CSR or it is just a public relations business trend?

IQCC-03: Could you describe your exposure to CSR policies and practices, with a focus on your professional context as a leader and practitioner? Are you satisfied with current models being applied in the industry or do you feel the need for change and improvements? If so, could you please offer any ideas, suggestions, and recommendations for improvement?

IQCC-04: On which responsibility areas do you believe CSR should focus when it comes to social development initiatives for communities of place? Do you think that these aspects should be discussed with the community representatives beforehand?

IQCC-05: Within CSR, which responsibility area(s) is (are) the most important in your opinion, and please could you justify why? Again, do you think that these aspects should be discussed with the community representatives beforehand or there is no need?

IQCC-06: What role do you believe leadership (or corporate leaders) should take on CSR policy-making and practice, from the mining industry perspective?

IQCC-07: Assuming that you are familiar with the existent CSR models and practices being implemented by the mining industry worldwide, please, could you describe how you, as a corporate leader, can influence on CSR policy-making and practice seeking for improvements in the field?

IQCC-08: As a corporate leader, have you taken, and been taking, an active leadership role as a participant in the decision-making process regarding the CSR initiatives that should be implemented in the community of place? If not, do you feel that you should have?

IQCC-09: In your view is there any relationship between CSR and organizational change? Please, try to justify and expand on your answer. And, what about CSR and organizational culture? Please, try to justify and expand on your answer.

IQCC-10: What importance do you attribute to the mining activities, being currently developed by the company you represent, in terms of contributions (e.g., economic, philanthropic, sociocultural, etc.) for the community of place? Given your answer, is there any need for additional contributions, on top of the ones already considered in your company's CSR policies?

IQCC-11: And, still on the same topic, what are your expectations about the responses from the community of place to the CSR initiatives your company has implemented?

IQCC-12: In terms of capacity building/training, what kind of training opportunities should your company be offering to the members of the community being impacted by the mining activities?

IQCC-13: From your perspective as a corporate leader, what in your opinion should be the measures taken by the company, in isolation or in partnership with local government administration, toward the protection of the cultural and heritage/historical patrimony of the community of place?

IQCC-14: From your perspective, what type of measures and covenants should be taken by the mining companies to protect the sociocultural patrimony/traditions of the community of place? If any, should these be included in the CSR policies of your company?

IQCC-15: Please, how do you perceive the relationship between the environment and the mining operations being developed by your company in the vicinity of the community of place? Do you acknowledge that there have been impacts and changes and how do you think that the community perceives these impacts and changes? How do you as a corporate leader rate these changes (e.g., are they positive or negative, relevant or insignificant, acceptable or unacceptable)?

IQCC-16: In which ways do you perceive the community of place deals with these impacts and changes? How should they react to these transformations? As a corporate leader are these aspects relevant for you? Please, justify and expand.

IQCC-17: Please, could you offer me a recount of your lived or reported experiences regarding any deterioration of the landscape, touristic sites, and cultural attractions related to the activities of the company you represent in the vicinity of the community of place? If any, do you believe that as a corporate leader, your company should have remediation/compensation initiatives included in the CSR policies?

IQCC-18: From your perspective what transformations on the microenvironment could be highlighted with respect to the changes experienced by the community of place during the last years? As a corporate leader do you feel that the company is responsible for these changes and should in any ways compensate for them, as part of the CSR program?

IQCC-19: What is your opinion about the relationship between the community at large and the mining company you represent? Is it your understanding that there has been an open dialog and a communication protocol between the parties? Could you qualify, please? (e.g., good, bad, enough, insufficient, productive, unproductive). Are there relevant communication protocols considered in the current CSR policy of the company you represent?

IQCC-20: As a corporate leader, I would assume that you have been consulted and are an active participant in the decision-making process regarding the CSR initiatives that were and shall be implemented in the community of place, in order to improve current living conditions? At what depth this specific aspect has been approached and discussed internally at your company?

IQCA-21: Do you feel that your company should be involved in remodeling the public areas and improving living conditions within the community of place? In case of affirmative, please could you identify which areas, aspects, and living conditions, according to you, should be prioritized as of common interest? Do you think that the mining companies should be involved with this matter through their CSR programs or is the sole responsibility of the authorities?

IQCC-22: Please, bear with me just another minute that this is going to be the very last question: What kind of actions should be taken by the mining company you represent, to support and foster the preservation of the cultural heritage and particularly the indigenous heritage of the community and region?

Appendix G: Interview Script Matrix

(For subjects belonging to mining company executives: Category C sample)

| Interview Question ID | Research Questions | | Topic | Concept | Perspective | Paradigm / Theory |
|-----------------------|--------------------|-----------|--------------------------------|---------------------------------|---------------|-----------------------|
| | CQ 1 | SQ 1 SQ 2 | | | | |
| IQCC-01 | X | X | Organizational Culture | Corporate Social Responsibility | Ethic | Leadership |
| IQCC-02 | X | X | Organizational Culture | Corporate Social Responsibility | Ethnocentrism | Leadership |
| IQCC-03 | X | X | Organizational Culture | Corporate Social Responsibility | Ethic | Organizational Change |
| IQCC-04 | X | X | Organizational Culture | Corporate Social Responsibility | Ethnocentrism | Leadership |
| IQCC-05 | X | X | Human Needs | Corporate Social Responsibility | Ethnocentrism | Leadership |
| IQCC-06 | X | X | Human needs & expectations | Corporate Social Responsibility | Ethic | Leadership |
| IQCC-07 | X | X | Organizational Culture | Corporate Social Responsibility | Ethnocentrism | Organizational Change |
| IQCC-08 | X | X | Organizational Culture | Corporate Social Responsibility | Ethic | Leadership |
| IQCC-09 | X | X | Organizational Culture | Corporate Social Responsibility | Ethic | Organizational Change |
| IQCC-10 | X | X | Organizational Culture | Corporate Social Responsibility | Ethnocentrism | Leadership |
| IQCC-11 | X | X | Organizational Culture | Corporate Social Responsibility | Ethnocentrism | Leadership |
| IQCC-12 | X | X | Organizational Culture | Corporate Social Responsibility | Ethnocentrism | Leadership |
| IQCC-13 | X | X | Organizational Culture | Corporate Social Responsibility | Ethnocentrism | Leadership |
| IQCC-14 | X | X | Organizational Culture | Corporate Social Responsibility | Ethnocentrism | Leadership |
| IQCC-15 | X | X | Organizational Culture | Corporate Social Responsibility | Ethic | Leadership |
| IQCC-16 | X | X | Organizational Culture | Corporate Social Responsibility | Ethic | Leadership |
| IQCC-17 | X | X | Organizational Culture | Corporate Social Responsibility | Ethic | Leadership |
| IQCC-18 | X | X | Organizational Culture | Corporate Social Responsibility | Ethic | Leadership |
| IQCC-19 | X | X | Organizational Culture | Corporate Social Responsibility | Ethic | Organizational Change |
| IQCC-20 | X | X | Organizational Culture | Corporate Social Responsibility | Ethic | Organizational Change |
| IQCC-21 | X | X | Organizational Culture | Corporate Social Responsibility | Ethnocentrism | Leadership |
| IQCC-22 | X | X | Community, Culture & Patrimony | Corporate Social Responsibility | Ethnocentrism | Leadership |

Legend:

IQCC - nr. interview question category C group

Appendix H: Observational Protocol

OBSERVATIONAL PROTOCOL

1. Objective

An observational protocol form is an observation tool that complements the in-depth interview. It is a descriptive account of significant events related to aspects of the behavior of the individual being observed. It is a protocol designed to perceive and log sufficient details of the context where the event and action take place, so as to allow for further post-analysis. The basic concept is to record what is seen and heard anecdotally, make no interpretive statement about what you think, what happens or how it feels to be the causes of behavior.

2. Rules and strategies to be considered and respected in ethnographic observation during in-depth interviewing processes

- It is necessary to reiterate to the participant being interviewed and observed that everything that will be discussed and observed will be treated confidentially and absent of any judgment. In this regard all the IRB standards and confidentiality agreements already explained and signed will be fully enforced.
- The observation should be conducted as unnoticed as possible and without witnesses (other than the direct interviewer and the observer).
- The subject being observed shall be reminded that audio and video recording, plus photography, will take place during the observational process in a non-disturbing way.
- It is necessary that both the interviewer and the observer focus carefully on how the interview unfolds. Overall, the observer should take note of the venue, environment, nonverbal language, interview breaks, and eventual changes in the interview sequencing.

3. Observational field notes

The observational field notes will be used as a descriptive narrative tool that would complement the inductive analysis on the data collected. It consists of gathering observations, reflections, and actions of a wide range of situations. It includes insights and subjective interpretations that complement the narratives and analysis using the software package Atlas.ti. The objective of the observational field notes is to ensure that the information obtained is not lost and is easily accessible at all times to new analysis and interpretation, as required.

Regarding the format, the approach adopted considers integrating a descriptive content (which captures the portrait of the situation, people involved, and conversations and reactions observed as closely as possible) with a reflective content (contemplating the

thoughts, ideas, reflections, and interpretations of the observer). The observational field notes constitute a material that the researcher can study and discuss. They are deemed to contributing to a remarkable wealth of data with which the study and the primary notes are configured (especially the three types of coding used in the software package Atlas.ti). The “raw data” are progressively elaborated turning into “mature notes” developed in more detail at the end of the interviews of each target group (e.g., A, B, C).

Gradually the observational field notes will develop and provide descriptions of people, analytical narrative vignettes, a journal of stories, scenarios, and groups, and relevant research material that could serve as a framework for theoretical discussions. Written comments on the sidelines of either the observational protocol template or in a separate section of the descriptions or the interpretations will be stimulated.

4. Template for acquiring and logging observational information

The proposed template for the ethnographic observation was designed based on Patton (2015) and considers reporting specific data of the subject being observed and observer, descriptions, and observations on the date and location of the event, the physical surrounding environment; the interactions occurred between the interviewee and the interviewer. The observational logging should express experiences, perceptions, and feelings using a descriptive language, possibly from the same participants. And, should include, separately from the descriptions, insights, interpretations, and notional elements. In addition, any and every interpretation that is considered necessary, such as the form of the activity in which it manifests itself, stimulus or event that started it, its perceived objective, duration of the conduct, and persistence.

OBSERVATIONAL PROTOCOL TEMPLATE

Participant's ID/Code: _____

Observer's name: _____

Date: _____

Time: _____

Description of venue: _____

Description of the context: _____

Description of interactions: _____

Description of experiences: _____

Description of perceptions: _____

Description of feelings: _____

Insights:

Interpretations:

Notional elements:

Elapsed time of observation:

Additional comments:

Events that drew attention:

Appendix I: Sample Demographics

Maximum Purposive/Purposeful Criterion Sampling for Semi-Structured In-Depth interviews

Sample Category Group A: Community Representatives (Typical subjects selected from the Andacollo community)

| PIN | Activity | Status | Occupation | Gender | Age | Origin |
|-----|-------------------------------------|--------|---------------------|--------|----------|-----------------------|
| 2 | Housewife | Active | House holding | Female | 33 years | Native local resident |
| 3 | Mining | Active | Artisanal Miner | Male | 47 years | Native local resident |
| 4 | Schooling | Active | Student | Female | 22 years | Native local resident |
| 5 | Business & Services: Construction | Active | Construction worker | Male | 37 years | Native local resident |
| 6 | Public Health | Active | Nurse | Female | 35 years | Native local resident |
| 10 | Business & Services: Food | Active | Restaurant owner | Male | 54 years | Native local resident |
| 12 | Public Education | Active | School teacher | Female | 58 years | Native local resident |
| 13 | Public Education | Active | School teacher | Female | 43 years | Native local resident |
| 14 | Housewife | Active | House holding | Female | 29 years | Native local resident |
| 15 | Mining | Active | Artisanal Miner | Male | 47 years | Native local resident |
| 16 | Mining | Active | Mining technician | Male | 36 years | Native local resident |
| 17 | Business & Services: Retailer | Active | Shop owner | Male | 57 years | Native local resident |
| 18 | Communications & Entertainment | Active | Radio broadcaster | Female | 32 years | Native local resident |
| 19 | Business & Services: Consultancy | Active | Project manager | Male | 35 years | Native local resident |
| 20 | Business & Services: Transportation | Active | Owner – Bus Company | Male | 62 years | Native local resident |
| 21 | Business & Services: Bakery | Active | Baker (employee) | Male | 46 years | Native local resident |
| 22 | Craftwork | Active | Craftsman | Male | 29 years | Native local resident |
| 23 | Business & Services: Public Market | Active | Shop owner | Female | 39 years | Native local resident |
| 24 | Business & Services: Private Market | Active | Supermarket manager | Female | 43 years | Native local resident |
| 25 | Mining | Active | Artisanal Miner | Male | 63 years | Native local resident |

Appendix J: Sample Demographics

Maximum Purposive/Purposeful Criterion Sampling for Semi-Structured In-Depth interviews

Sample Category Group B: Community Leaders (Expert subjects selected from the Andacollo community, with political and/or administrative mandates)

| PIN | Activity | Status | Occupation | Gender | Age | Origin |
|-----|--|--------|------------|--------|----------|-----------------------|
| 1 | Neighbors' Association | Active | President | Female | 34 years | Native local resident |
| 8 | Police Station | Active | Lieutenant | Male | 41 years | Native local resident |
| 9 | Fire Department | Active | Fireman | Male | 22 years | Native local resident |
| 11 | Catholic Church | Active | Priest | Male | 47 years | Native local resident |
| 26 | Public Service: City Hall Administration | Active | Politician | Male | 35 years | Native local resident |

Appendix K: Sample Demographics

Maximum Purposive/Purposeful Criterion Sampling for Semi-Structured In-Depth interviews

Sample Category Group C: Corporate Leaders/Mining Company Executives (Expert subjects selected from mining companies' executives involved with CSR policy-making)

| PIN | Activity | Status | Occupation | Gender | Age | Origin |
|-----|-------------------|--------|---|--------|----------|-----------------------------|
| 7 | Corporate Officer | Active | Vice-President Exploration | Male | 56 years | United States of America |
| 28 | Corporate Officer | Active | Chief Executive Officer & President | Male | 57 years | United Kingdom |
| 29 | Corporate Officer | Active | Chief Operations Officer | Male | 59 years | United Kingdom |
| 30 | Corporate Officer | Active | Chief Executive Officer & President | Male | 49 years | Australia |
| 31 | Corporate Officer | Active | Chief Executive Officer & President | Male | 53 years | Australia |

Appendix L: List of Network Codes

(In alphabetical order)

Community demands to the mining industry issues

Community reactions due to the impact in case that the company ceases its activities

Community opinion about CSR

Concern for the corporate image

Corporate leader opinion about the community demands

Corporate leader expectations about government benefits

Corporate leader opinion about the measures of the company to protect the culture heritage

Corporate leader passive leadership

Current job conditions

Current occupation

Demands of the community from the perspective of the corporate leader

Economic impact and negative valorization of the development opportunities

Ethnocentric perspective of CSR

Extrinsic motivator of the use of CRS

Family development expectations

Harmful features of the mining activities

Intervention actions of the corporate leader to implement CSR

Intervention actions proposals of the community members

Lack of knowledge from the corporate leader over the preservation of sociocultural heritage

Lack of tools to link the stakeholders

Lack of knowledge about CSR

Mining company CSR policies

Negative opinion about company roles

Negative valorization of the development opportunities in Andacollo

Negative opinion about the mining management

Negative perception of environment conditions

Negative opinion of the authorities roles

Negative opinion of the working capital distribution

Negative feedback about the CSR implementation

Perception of the mining industry sustainability in time

Perception of the lack of response from the community about the initiatives of CSR

Personal experience in the mining industry and knowledge about it

Personal development expectations

Positive valorization of Andacollo

Positive valorization of the opening dialogue from the mining industry

Self-perception of his/her priorities of family living conditions

Sociocultural characterization of Andacollo

Social risk dimensions

Top down CSR perspective of the corporate leader

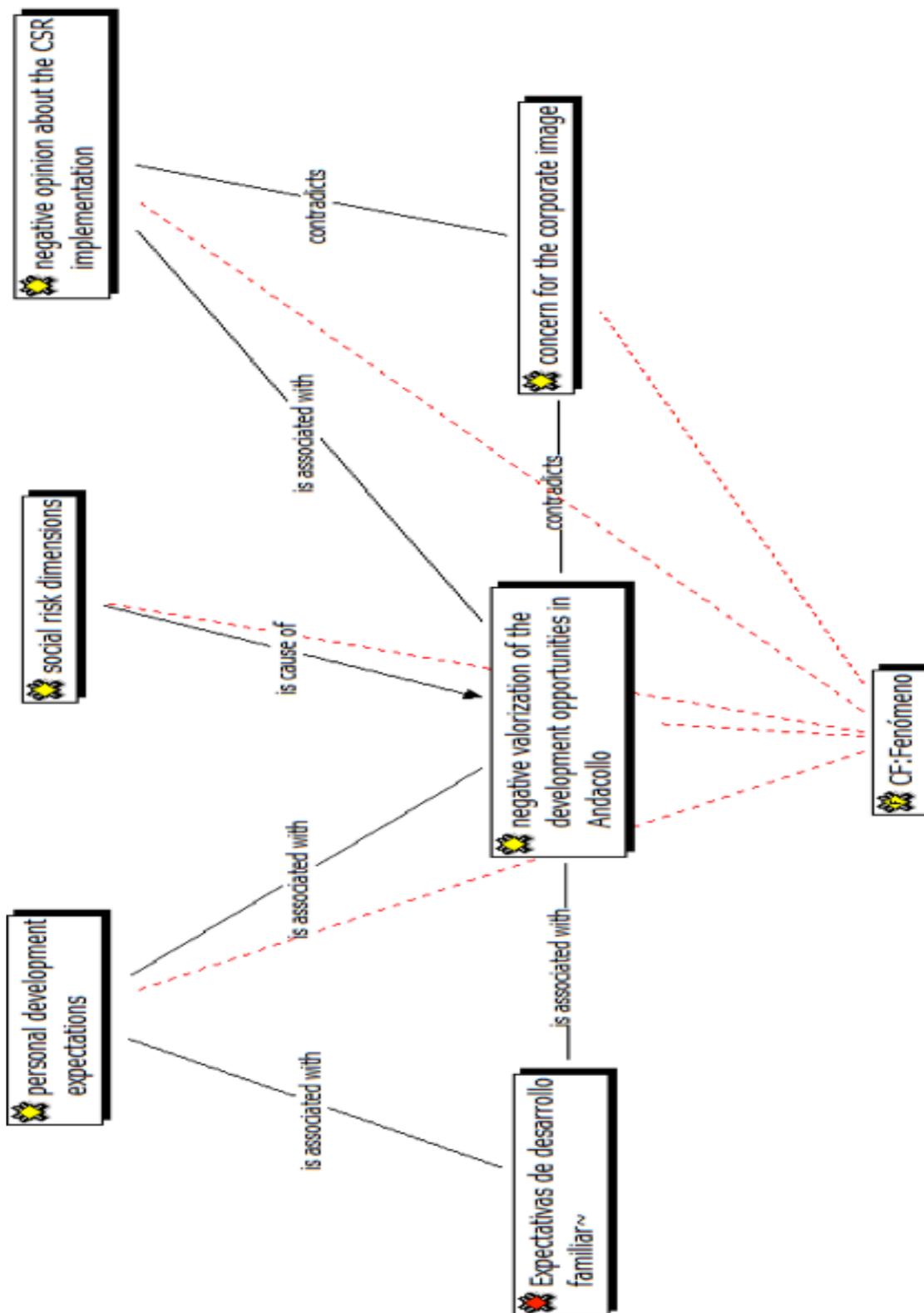
Vision of the corporate leader about the relationship between environment and company

Appendix M: Relationship between Codes and Conceptual Framework

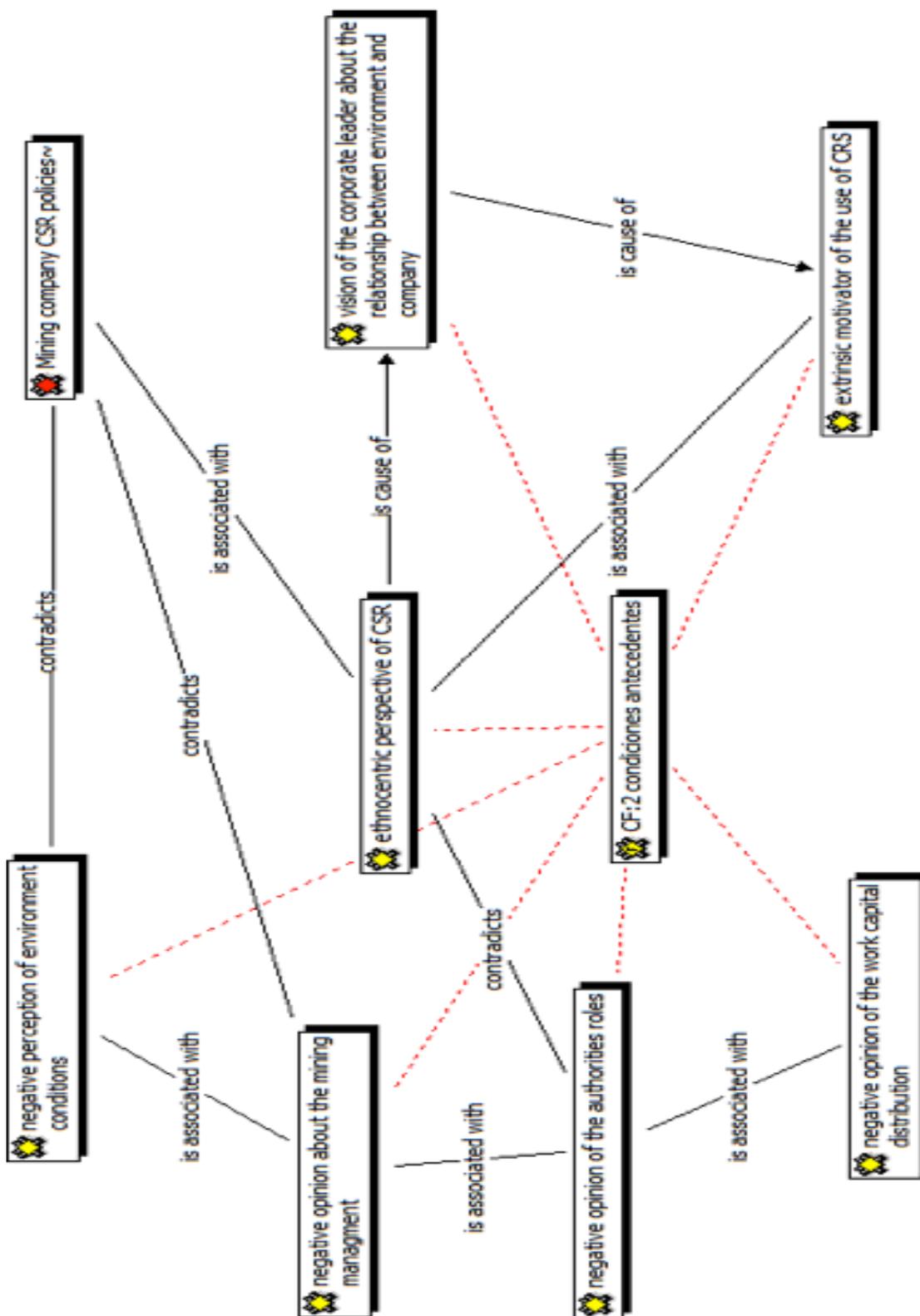
| Codes | Foundational Concepts | Conceptual Foundations |
|---|---|--|
| Community demands to themining industry issues | Social Impact Sociocultural Needs | Emic Social Change |
| Community reactions due to the impact in case that the company ceases its activities | Social Sustainability Social Impact | Emic Social Change |
| Community opinion about CSR | Sustainable development | Emic Social Change |
| Concern for the corporate image | CSR | Etic |
| Corporate leader opinion about the community demands | CSR | Etic Leadership Models |
| Corporate leader expectations about government benefits | Sustainable development | Etic Leadership Models |
| Corporate leader opinion about the measures of the company to protect the culture heritage | Sociocultural Needs Social Sustainability | Etic Leadership Models |
| Corporate leader passive leadership | Social Impact | Etic Leadership Models |
| Current job conditions | Social Sustainability | Emic |
| Current occupation | Sociocultural Needs | Emic |
| Demands of the community from the perspective of the corporate leader | Sociocultural Needs Social Sustainability Sustainable Development | Etic Leadership Models |
| Economic impact and negative valorization of the development opportunities | Social Impact Social Sustainability | Emic Social Change Structural-Functional |
| Ethnocentric perspective of CSR | CSR | Etic |
| Extrinsic motivator of the use of CRS | CSR Social Impact Social Sustainability | Social Change Organizational Change |
| Family development expectations | Sociocultural Needs Social Sustainability | Emic Structural-Functional |
| Harmful features of the mining activities | Social Impact | Structural-Functional |
| Intervention actions of the corporate leader to implement CSR | CSR | Etic Organizational Change Leadership Models |
| Intervention actions proposals of the community members | Sociocultural Needs Social Sustainability | Emic Social Change |
| Lack of knowledge from the corporate leader over the preservation of sociocultural heritage | Sociocultural Needs CSR | Etic Leadership Models |
| Lack of tools to link the stakeholders | CSR | Organizational Change |
| Lack of knowledge about CSR | CSR | Emic Etic |
| Mining company CSR policies | CSR | Etic Organizational Change |

| | | |
|---|--|---|
| Negative opinion about company roles | CSR | Emic |
| Negative valorization of the development opportunities in Andacollo | Sustainable Development | Emic |
| Negative opinion about the mining management | CSR | Emic |
| Negative perception of environment conditions | Social Impact Sustainable Development | Emic |
| Negative opinion of the authorities roles | Sociocultural Needs Social Impact | Emic – Etic Social Change |
| Negative opinion of the working capital distribution | CSR Sociocultural Needs Sustainable Development Social Sustainability | Emic – Etic Social Change |
| Negative feedback about the CSR implementation | Social impact | Emic |
| Perception of the mining industry sustainability in time | Social sustainability Sustainable Development | Emic |
| Perception of the lack of response from the community about the initiatives of CSR | CSR | Emic |
| Personal experience in the mining industry and knowledge about it | Social impact | Emic - Etic |
| Personal development expectations | Sociocultural Needs | Emic |
| Positive valorization of Andacollo | Social Sustainability Social Impact Sociocultural Needs Sustainable Development | Emic Social Change |
| Positive valorization of the opening dialogue from the mining industry | Sustainable Development Social Sustainability | Emic – Etic Social Change Organizational change |
| Self-perception of his/her priorities of family living conditions | Sociocultural Needs Social Sustainability Social Impact | Emic Social Change Structural-Functional |
| Sociocultural characterization of Andacollo | Social Sustainability Sociocultural Needs | Emic & cultural relativism |
| Social risk dimensions | Social Impact Social Sustainability Sustainable development | Emic-Etic and cultural relativism |
| Top down CSR perspective of the corporate leader | CSR | Etic Organizational Change Leadership Models |
| Vision of the corporate leader about the relationship between environment and company | Sustainable Development | Etic Organizational Change Leadership Models |

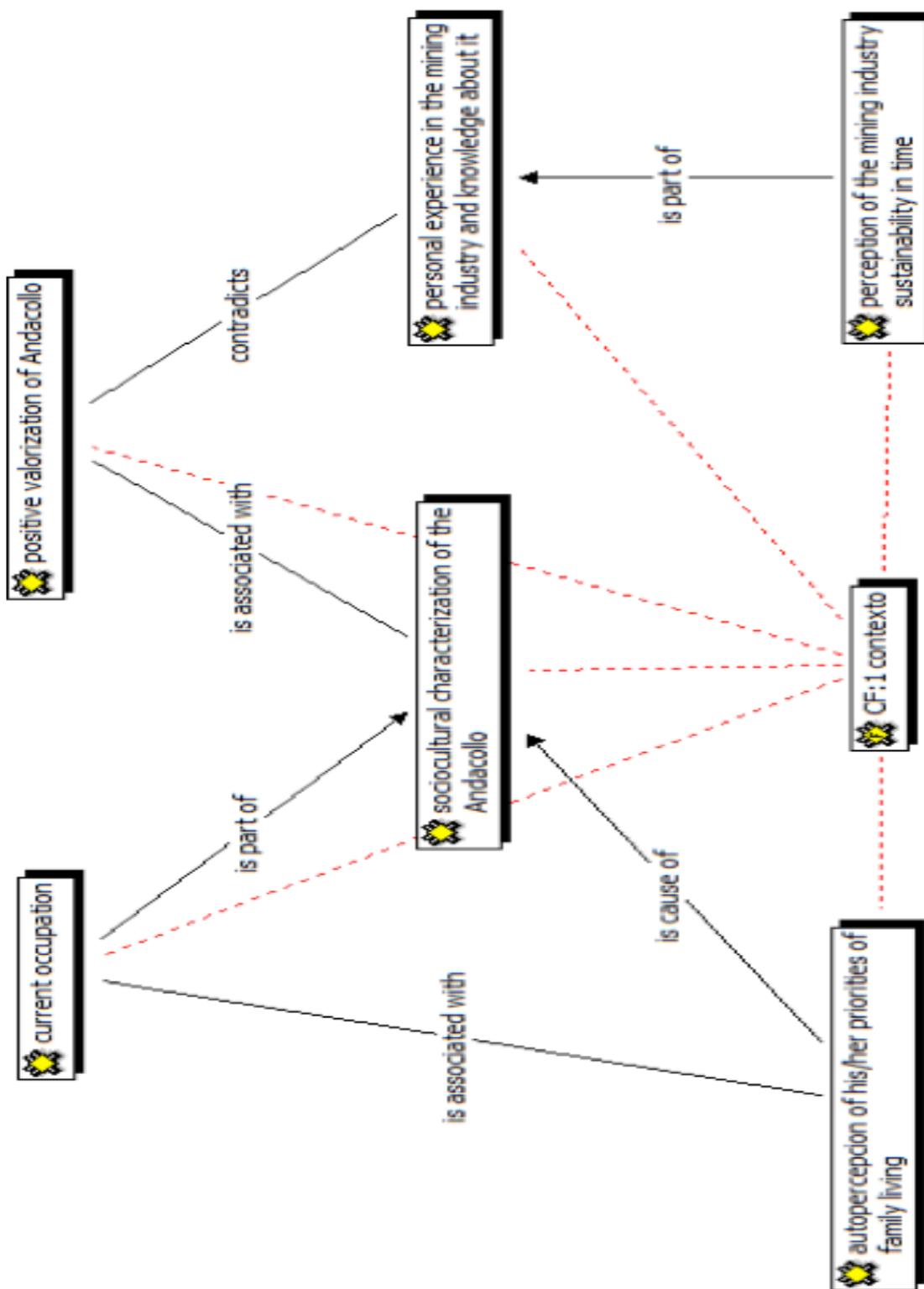
Appendix N: Phenomenon Network Diagram



Appendix O: Causal Conditions Network Diagram



Appendix P: Context Network Diagram



Appendix S: Consequences Network Diagram

