Private Sector and Corporate Social
Responsibility:
Understandings and Perspectives of
Different Stakeholders.
Case study of a Mining Company in Laos

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Abstract

Corporations play a significant role in social and economical development globally. They play a significant role in supporting and boosting economic growth and local development as they provide job opportunities, contribute to infrastructure development, and generate income and wealth in societies. However, corporations also bring some negative impacts. Corporations, in particular those in extractive industries, can create a wide range of harmful effects and hazards to human health and livelihoods as well as to the environment. The negative impacts have attracted significant attention from related parties and prompted corporations to take a great deal of care in managing their impacts. As a result, companies are trying to improve their business strategies and corporate social responsibility (CSR) is one of these strategies by which companies try to differentiate themselves from others and to mitigate their negative impacts.

CSR has gradually emerged over many decades and recently became a focus of discussion among businesses and other stakeholders. However, the consensus on the definition of CSR is still limited. Various definitions of CSR have been created based on the interests, perspectives and expectations of different organisations.

This research explores the different understandings and perspectives of different groups of people around the way private sector is implementing CSR in Lao PDR, focusing on a foreign mining company as the case study. The research will also identify how these perspectives and expectations impact the strategies of CSR, especially regarding to rural development and poverty reduction in Laos.

The results of this thesis show that CSR is relatively a new concept in Laos but it is increasingly significant with the government and businesses themselves both paying more attention to CSR concerns. There is still unclear and common understanding among key stakeholders namely, government, business and other related stakeholders such as communities and other organisations. Fulfilling the legal obligations seems to be sufficient for the business and the government to claim that they are CSR companies while the community and other organisations expect corporations to do more than what only in the contract. In order to promote and encourage CSR to be effective and efficient, mutual understanding needs to be created, negotiated and agreed among keys stakeholders.

Keys words: Corporate Social Responsibility, Private sector, Stakeholders

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Acronyms

CSR	Corporate Social Responsibility
EU	European Union
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit,
HRM	Human Resource Management
Lao PDR (Laos)	Lao People's Democratic Republic
LXML	Lane Xang Minerals Limited
MMG	Minerals Minmental Group
MOE	Ministry of Education and Sport
MPI	Ministry of Planning and Investment
NGOs/INGs	International Non-Profit Organisation
NRA	National Regulatory Authority for the UXO/Mine Action Sector in the Lao PDR
NSEDP	National Social-Economic Development Plan
OH&S	Occupational Health and Safety
PRF	Poverty Reduction Fund
SVK	Savannakhet Province
UNDP	United Nation Development Program
WBCSD	World Business Council for Sustainable Development

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Table of Contents

Abstract	i
Acknowledgements	iii
Acronyms.....	v
Chapter 1: Introduction	1
1.1. Research Background	1
1.2. Research Objectives and questions	3
1.3. Research approach and methodology.....	5
1.4. Outcome and contribution of the research.....	5
1.5. Thesis Outline	5
Chapter 2: Literature Review	7
2.1. Corporates and their role in society	7
2.2. Corporate Social Responsibility: Concepts and Definitions	8
2.3. CSR Criticism	14
2.4. Private Sector and CSR.....	16
2.5. CSR in Laos	18
2.6. Mining Sector: contribution and criticism.....	19
2.7. Mining and CSR.....	21
2.8. Theoretical Framework.....	23
2.8.1. Alternative Development.....	24
2.8.2. Stakeholders theory.....	25
2.8.3. Stakeholders approach.....	26
Chapter 3. Research Methodology	29
3.1. Introduction.....	29
3.2. Research design	29
3.3. Epistemology.....	30
3.4. Qualitative research.....	31
3.5. Research Methods	32
3.5.1. Case study.....	32
3.5.2. Interviews	33
3.5.3. Semi-Structured Interview	33
3.5.4. Document analysis.....	34
3.6. Data Collection and analysis	34
3.6.3. Research participants.....	35
3.7. Data analysis	37
3.7.1. Qualitative data analysis	37
3.8. Writing up.....	37
3.9. Ethics and ethical considerations	38
3.9.1. Ethical issues	38
3.9.2. Positionality	39
3.9.3. Health and safety	40
Chapter 4: Laos Context.....	42
4.1. Development in Laos	46
4.2. Mining Industry in Laos	48
4.3. Mining Industry and rural development and poverty reduction contribution in Laos	50
4.4. LXML as the case study	51
4.5. Savannakhet Province (SVK).....	52
4.6. Vilabury District.....	53

Chapter 5: Findings: the Understandings and Expectations of CSR.....	55
5.1. CSR Definition and concept.....	55
5.1.1. Government group	56
5.1.2. Company	57
5.1.3. Community	60
5.1.4. Development Agency.....	63
5.2. Perspectives and expectations of different stakeholders around the private sector role in development:	65
5.2.1. Government.....	66
5.2.2. Company perspectives	67
5.2.3. Community	69
5.2.4. Development agencies	71
5.3. Analysis and discussion.....	72
Chapter 6. Impacts and challenges of different perspectives and understanding of CSR	77
6.1. Analysis and discussion.....	82
Chapter 7: Conclusion.....	87
7.1 Research Limitation and areas for further exploration.....	89
7.2 Conclusion.....	90
References:	93

Table of Figures

FIGURE 1: FOUNDATION PRINCIPLES OF CORPORATE SOCIAL RESPONSIBILITY.....	12
FIGURE 2: TEN PRINCIPLES FOR COMPANY STAKEHOLDER RESPONSIBILITY	27
FIGURE 3: FOUR COMMITMENT LEVELS OF COMPANY STAKEHOLDER RESPONSIBILITY	27
FIGURE 4: SUMMARY OF RESEARCH PARTICIPANTS	37
FIGURE 5: MAP OF LAOS.....	43
FIGURE 6: US BOMBING DATA MAP USED TO ESTIMATE AND ALLOCATE THE UXO CONTAMINATION AREAS, NATIONAL REGULATORY AUTHORITY FOR UXO/MINE ACTION SECTOR LAO PDR.....	45
FIGURE 7: LAOS GDP GROWTH RATE OF EACH FISCAL YEAR FROM 2010 – 2014.....	46
FIGURE 8: MAP OF SAVANNAKHET PROVINCE POVERTY INCIDENT.....	54

Appendix

APPENDIX 1:1 PARTICIPANT INFORMATION SHEET.....	101
APPENDIX 1:1 PARTICIPANT INFORMATION SHEET (LAO VERSION).....	103
APPENDIX 2: PARTICIPANT CONSENT FORM.....	106
APPENDIX 3.1: INTERVIEW GUIDELINE (ENGLISH).....	107
APPENDIX 3.2: INTERVIEW GUIDELINE (LAO VERSIONS).....	112
APPENDIX 4: ETHICS APPROVAL	118

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Chapter 1: Introduction

1.1. Research Background

Internationally, the field of development is changing with increasing demand for active participation from different key players in the society, especially those in the private sector. Private sector is now being required to participate and contribute to the development of the countries where they invest and operate their businesses. Private sector now plays a significant role in the development in terms of providing financial support and development programs' implementation, especially in the least developing countries. With those demands as well as the result of free markets, privatized public services and a liberalized global economy, business environments are increasingly becoming more complex and competitive. Thus, corporations are now considering not only business matters but also other factors, such as social and environmental impacts that influence the way corporations operate and what makes them successful. There is also demand for business to become more transparent and take more responsibility for their impacts on societies and the environment. This has changed the way businesses operate, from basic and simple strategies focusing mainly on making as much investment return as possible to more and more complex approaches by paying more attention to other indirect factors of successful business. Corporations, especially the large and multinational companies, are expected to do more than just fulfil their legal obligations, regulations and requirements. Making profit, providing acceptable workplace conditions, paying high wages and obeying the law are no longer enough to be a good corporate enterprise. Bradshaw and Vogel (1981) claimed that there are increasing expectations from different stakeholders for companies to do more than just to fulfil the requirements set by law and regulation. Corporations are required and asked to take responsibility for their impacts on societies and the natural environment and also to apply the sustainability principles to their business operations (Amato, Henderson and Florence, 2009. p. 1).

In today's complex and demanding business environment, companies are looking for and trying different strategies to distinguish themselves from each other

to gain a business advantage. Companies are trying to find new and creative approaches to improve their business strategies in response to the increasing needs and expectations of their stakeholders. Different strategies have been created and implemented, for example differentiating the products, using direct market engagement, and becoming ethical businesses. Corporate social responsibility (CSR) is another of the strategies businesses use to differentiate themselves from each other (Jamali and Mirshak, 2006). CSR became a new business approach to making a contribution to society beyond what companies are expected to do according to legal, ethical, commercial and public requirements. It can also be a management strategy and practice by which companies ensure that they maximize the economic outcomes while minimizing the negative impacts on society (Jamali and Mirshak, 2006).

CSR has been in discussion and debate for a couple of decades. However, the definition of CSR is still unclear and different people have different definitions. Some organisations define CSR as the approach that corporations use to interact and collaborate with their stakeholders (Ontiveros, ed., 1986), while others define it as the commitment to contribute to economic development while improving the quality of life of their employees as well as of the community and society at large (WBCSD, 2000). Even though CSR has been around for a reasonable period of time, there are still different definitions of CSR. Despite its unclear definition, CSR is significantly important for private companies, especially multinational companies. There are many benefits for being a socially responsible enterprise, from granting permission to establish the operation, to increasing market power and motivating employees' performance and loyalty (Cramer, 2006). Frynas (2005) supports this argument by adding that CSR can support companies to obtain a competitive advantage, maintain a stable working environment, and manage external perceptions and keep employees happy. While Walker (2009) claimed that the large mining industry destroyed the health and environment of local communities, taking CSR into account is one of the strategies by which businesses in the mining industry might mitigate its negative reputation. Therefore, CSR can create advantages for corporations despite its unclear definition.

There are also some critiques aimed towards CSR and the private sector. Some criticisms claim that the private sector is taking CSR only on its face value, and that considering or implementing CSR is just to build companies' image and

reputation rather than to fully consider contributing and taking real responsibility for societies and communities. Companies are said to be taking CSR seriously because it was getting harder to ignore both the negative environmental impacts from production and the expectation of social responsibility increasingly held by society towards companies (Hond, Bakker and Neergaard, 2007. p.77). Furthermore, CSR is seen as involving additional activities and responsibility that companies undertake with or without the intention to profit. Taking CSR into account could mean companies putting more effort than what they are supposed to do in the interest of increasing the profit of the business. It means corporations are also taking care to address general social issues (Vogel, 2005. P.4).

CSR has been increasingly encouraged and implemented in Lao PDR. A recent baseline assessment of social and environmental regulations and standards on CSR in Laos found that the Lao business community is increasingly interested in CSR (GIZ, 2015). However, the level of CSR understanding is still low and the definition is still unclear among government as well as in businesses themselves. The main driving factor for CSR in Laos is mainly based on the interests of stakeholders (Earth Systems, 2014). These are the main reasons for me to examine, via this research, the different understandings and expectations of different groups of private sector stakeholders in regard to CSR. In particular, this thesis focuses on how Lane Xang Minerals Limited (LXML), a mining company operating a mining operation in Laos and the case study for this research, is implementing their social responsibility.

1.2. Research Objectives and questions

The research will explore the influence of the perspectives of different groups of people on the way the private sector implements CSR in Lao PDR, with the main purpose being to explore their understandings and expectations as different stakeholders. It aims to demonstrate some of the impacts of the different understandings and expectations of CSR within the private sector when taking or implementing social responsibility. The research will also identify how these perspectives and expectations impact the strategies of CSR, especially regarding to rural development and poverty reduction in Laos.

The main research question for this thesis is: *How do attitudes, perspectives and expectations of different stakeholders impact on the implementation of social responsibility in the private sector in Lao PDR?*

In order to answer it, I have unpacked it into three sub-research questions, which are:

- 1) *How do different stakeholders, namely development agencies, government (central and local levels) and communities, understand CSR in Lao PDR?*
- 2) *What are some differences between the attitudes and expectations around CSR between stakeholders?*
- 3) *What are the impacts of these different understandings and expectations of CSR in Lao PDR?*

This study, therefore, will also review the literature regarding the different attitudes and expectations of different stakeholders impacting the implications and experiences of the mining industry and its social responsibility activities. The study will take Lane Xang Minerals Limited (LXML) as the case study. This company has a mining operation in Vilabury district, Savannakhet province in Lao PDR. LXML was selected as the case study because as a company it has been contributing to community development as well as the social-economic development of the country. MMG is formally known as “Minerals and Metals Group”. Formed in June 2009, Minerals and Metals Group was the result of China Minmetals Corporation (CMC) acquiring the assets of OZ minerals Limited (OZ Minerals). Just more than a year later, Minmetals Resources Limited, a subsidiary of CMC, purchased the Minerals and Metals Group and changed the name of the company to MMG (MMG, 2014). Lane Xang Minerals Limited (LXML), one of the MMG subsidiary companies, has been operating the Sepon mine in Laos since 2005. Sepon is an open-pit copper and gold mine. “The registered name of the operating company is Lane Xang Minerals Limited (LXML), of which MMG owns 90% and the Lao Government owns 10%” (MMG, 2017). Sepon is the first major mining company operating in Laos. To make it easier for this research the name “LXML” will be used instead of MMG/LXML.

1.3. Research approach and methodology

This research is about exploring the perceptions of different groups, therefore has adopted a qualitative approach using interviews as the main research method. The qualitative research methodology is a research methodology to obtain information about the values, opinions, behaviours, and social contexts of particular populations and to explore and understand motivation and identify the dimensions of issues in society (Mark, Woodsong, MacQueen, Guest, & Namey, 2005, p. 1). The case study approach was used to narrow down the scope of the research, as it provides an opportunity to explore in-depth and understand a particular complex issue within a certain context (Zainal, 2007).

1.4. Outcome and contribution of the research

This research aims to understand the implications of CSR for the private sector, how the private sector implements CSR, and how the attitudes, perspectives and expectations of different stakeholders, namely government, local communities and development agencies determine the strategies of the private sector. The study will contribute to understandings of CSR in general practice, and how multinational mining companies engage in CSR in Laos in particular. Understanding the different experiences and attitudes of the key stakeholders regarding how the private sector undertakes CSR can also provide sound information for key decision makers, both in government and the private sector itself, to develop and articulate effective strategies and policies regarding CSR implementation and management, especially in Lao PDR. The result of this research can also be used as a reference of additional information regarding the private sector and its social responsibility as well as its contribution to the achievement of development goals.

1.5. Thesis Outline

This research consists of 7 chapters. Chapters 1 to 4 provide the information that sets the foundation for the research outlining the background, literature review and methodology of the research and the context of Laos. Chapters 5 to 7 outline the findings and discussions emerging from this research, to finish with a recap in Chapter 7.

The literature Chapter, Chapter 2, provides information regarding the definitions and the discussions about CSR in the academic literature. It also shows

the rationale of why the research outcomes will link with and contribute to broader debates within the literature and the practice of CSR.

Chapter 3 explains the methodology used for this research and how and where the research was conducted in detail. It also provides the justifications of why and how the case study company and participants were selected. The chapter also provides information on my positionality and ethnical issues found in the research.

Chapter 4 introduces the context of Laos and more detailed information about development, the mining industry and CSR in Laos. It introduces Laos briefly, then discusses about the location of the research and the case study company in more detail.

Chapter 5 explores the findings of the research, the data and information gathered in the fieldwork and the data analysis. The chapter also reflects on how CSR is understood in Laos compared to the literature.

Chapter 6 take the outcomes from the previous chapters to further discuss how those understanding create impacts and challenges, especially when there are different understandings and expectations of CSR among stakeholders. The discussion compares the findings from the literature and the research.

Chapter 7 concludes the research and wraps up the findings and discussions. It also highlights some limitations of this research and provides some ideas for policy makers to consider as well as the areas for further exploration and investigation.

The development field is changing and participation from everyone is encouraged. Participation is one of the key factors that boost the changes in the society. Without everyone participating, moving forwards would be more difficult. The private sector has become a key, now playing a significant role in the boosting the development in terms of financial support and development programs' implementation. especially in the least developing countries. However, there are different expectations from different stakeholders towards how the private sector should participate and contribute to the achievement of development goals.

Chapter 2: Literature Review

Exploring CSR concepts and definitions from different sources, this chapter will provide a general discussion about the private sector and their social responsibility present in the literature. Firstly, it will provide information regarding different CSR definitions and concepts from different scholars and experts as well as concerns from organisations. Advantages and disadvantages of CSR and private sectors will also be explained. The information regarding to the concept of CSR and the mining industry in Laos will also be provide in this chapter. Finally, it will explain the theoretical framework that forms the basic approaches of the research at the end of the chapter. The literature review is crucial for this research. It provides fundamental information for the research discussion in order to compare what have been discussing in the literatures and what the research would be able to find from the data collection. It also narrows down the scope and provides focus for the research. This chapter guides the research and the analysis, helping to find out answers and identify information that relevant to the research topic and interests.

2.1. Corporates and their role in society

Corporations have become more and more involve in boosting social-economic development in many ways, as a funding sources for development programs as well as the development program implementers. Corporations have a significant role and impact on society both positively and negatively. Corporations play a significant role in supporting and boosting economic growth as they provide job opportunities and generate the income and wealth of societies. The private sector arranges the majority of the world's labour and capital (Kirsch, 2014). However, there are also negative impacts, with some of the corporations and businesses also causing significant harm to societies and environments. Corporations are to blame for creating a wide range of harmful effects and hazards to human health and environment (Kirsch, 2014). Pollution, industrial accidents, environmental degradation, and harmful social impacts, encompassing health and safety and labour layoffs are some examples of the negative impacts that businesses especially those in the mining industry can bring to the society as well as environment (Werther and Chandler, 2006; Helling-Benze, Kerr, Innes and

Clements, 2014, p. 4). With both positive and negative effects, there are increasing concerns and discussions on the role of business in society.

There are increasing discussions on how business can create wealth while being able to mitigate the negative impacts on society. The interests of corporations can play a significant role in taking care of societies and environments affected by their operations in order to mitigate the negative impacts and improve their reputations. Companies traditionally focus on their business strategies to generate profit and return to investors. As the business environment is changing and becoming more complex and competitive, business strategic thinking of corporation needs to expand cover and address the wellbeing of society. Corporations are increasingly expected to embrace the needs and concerns of their key stakeholders such as employees, shareholders, governments, communities and the environment where they operate (Werther and Chandler, 2006). Hence, CSR becomes an important aspect of the business management. However, integrating and implementing CSR can be very challenging. There are different understandings, perspectives and expectations of CSR and those contribute to the difficulties for businesses taking CSR into consideration.

2.2. Corporate Social Responsibility: Concepts and Definitions

As the result of free markets, privatized public services and a liberalized global economy, there are increasing public concerns towards corporations and therefore CSR has become one of the interests from different stakeholders, not only the business community (Visser, Matten, Pohl and Tolhurst, 2007). However, while CSR has been in discussion for more than two decades, there has not been clear understanding of what CSR is and how to implement it (Visser, Matten, Pohl and Tolhurst, 2007). Smith (2011) claimed “although the concept of corporate social responsibility (CSR) has been advocated for decades and is commonly employed by corporations globally, agreement on how CSR should be defined and implemented remains a contentious debate amongst academia, businesses and society”. Different backgrounds and perspectives also cause of different understandings and definitions of CSR and therefore lead to different expectation in CSR practices. Carrying out some social support activities would mean a good and responsible corporation in some areas but it might not be enough in other societies. Some actions might be considered as CSR action in one place, but it

might not be considered as CSR in other places. A finding from a global survey conducted for the Boston College Center for Corporate Citizenship (BCCC) found that “CSR is not about Charity” (WINGS, nd). WINGS, the Worldwide Initiatives for Grantmaker Support, (nd) suggests that CSR can mean three broad categories and they are: “1) Corporate Responsibility/ Corporate Social Responsibility/ Corporate Social and Environmental Responsibility/Corporate Citizenship/ Sustainability, 2) Corporate Philanthropy and 3) Socially Responsible Investing/ Social Investment” (WINGS, nd).

Some in the private sector, especially the mining companies, are increasingly taking CSR into their business strategies, either voluntarily or as an obligation for operation permission. In some countries, governments also encourage or even require those in the private sector to contribute to the wellbeing of the communities affected by their business as well as contribute to the country’s development. There are many different studies about CSR and multinational mining companies. However, most explored mainly how and why mining companies take CSR into their business. Previous literature also shows that mining companies have been trying different ways and strategies to integrate CSR. By trying everything, companies could be seen as taking CSR just to fulfil the requirements and obligations in order to buy more time for their businesses. In addition, there are limitations in the literature as far as examining and understanding of the different attitudes and expectations held by stakeholders such as government, companies and especially the communities regarding CSR.

CSR has been in discussion for more than twenty years and recently become the focus of the discussion among businesses and other stakeholders. “Corporate social responsibility is a term that has emerged over the past two decades to describe a growing interaction between corporations and their stakeholders” (Ontiveros, 1986). It has become a crucial strategic policy for businesses and a considerable amount of effort and resources has been used to clarify and develop understandings of CSR. However, the limited consensus on the definition of CSR still exists in the society (Munro, 2013). There are different definitions and explanations regarding what CSR is and how to define whether a company is really a CSR company. According to the World Business Council for Sustainable Development (WBCSD), “Corporate Social Responsibility is the continuing commitment by business to contribute to economic development while

improving the quality of life of the workforce and their families as well as of the community and society at large” (WBCSD, 2000). CSR is a business approach where corporations make additional contributions to the society more than what they are expected according to legal, ethical, commercial and public requirements. It can also be a management strategy and practice to ensure that the company is maximizing the economic outcomes while also minimizing the negative impacts on society (Jamali and Mirshak, 2006). “Corporate social responsibility (CSR) refers to strategies corporations or firms conduct their businesses in a way that is ethical, society friendly and beneficial to community in terms of development” (Ismail, 2009). The United Nations Industrial Development Organization (UNIDO) adds to this claim by defining CSR as the business management concept where companies integrate their concerns on environmental and social impacts to the business operations and stakeholder interaction. UNIDO also claims that CSR is what companies implement in order to achieve balancing of economic, environmental and social requirements while at the same time addressing the expectations of shareholders and stakeholders by using the Triple Bottom Line (TBL) approach to measure and report the performance of the corporations (UNIOD, nd). The TBL refers to the economic, social and environmental interests of a business (Bichta, 2003; UNIOD). Bichta (2003) also stated that in order to survive and profitable, businesses must engage with a range of stakeholders for long-term value creation and CSR is one of the business stakeholder engagement mechanisms.

Furthermore, CSR scholars, managers and authors have recognised the actions of cause marketing, donation, society improvement, disaster relief, protection, peace initiatives and pollution reduction as companies’ social responsibility activities (Tilakasiri, 2012). Archie Carroll, a well-known scholar regarding CSR, explains that CSR consists of four parts of responsibilities: economic responsibility, legal responsibility, ethical responsibility and philanthropic responsibilities (Carroll, 1991). In order to operate, businesses must generate benefit and return to the investors and apply the laws and regulations of the countries it operates. It is also believed that fulfilling the requirements of laws and regulations only is not sufficient, and that businesses also need to act ethically and responsively by addressing social and environmental issues. Social responsibility by being a philanthropic company is also one of the important

aspects of business operation (Smith, 2011). Businesses can improve their reputations with society by being generous and supporting social events. Corporations are motivated to provide financial support to CSR activities as a business strategy with the aim of bringing financial returns in the long run. These actions will benefit both corporations and society (GIZ, 2015).

Michael Hopkins gave another interesting CSR definition in his book called *Corporate Social Responsibility and International Development is Business the Solution*. In this book, Michael defined CSR as the way corporations treat different stakeholders internally and externally. He explained that

CSR is concerned with treating the stakeholders of the firm ethically or in a responsible manner. Ethically or responsible means treating stakeholders in a manner deemed acceptable in civilized societies. Social includes economic and environmental responsibility. Stakeholders exist both within a firm and outside. The wider aim of social responsibility is to create higher and higher standards of living, while preserving the profitability of the corporation, for peoples both within and outside the corporation. (Hopkins, 2007. P15 & 16).

Frederick, David and Post (1988) claimed that CSR is shaped by two principles, the Charity Principle and the Stewardship Principle (Figure: 1), which are the fundamentals of the CSR actions. Thus CSR involves the participation of businesses or corporations in community affairs by making charitable contributions. The Stewardship Principle means that CSR also involves operating the business with the aim of increasing the general public benefits. "Charity principle urged business firms to give voluntary aid to society's unfortunate or needy groups. The stewardship principle urged them to be trustees of the public interest, which meant that they should act in the interest of all members of society who are affected by the corporation's operations" (Frederick, David and Post, 1988. p. 30).

Figure 1: Foundation Principles of Corporate Social Responsibility

	Charity Principle	Stewardship Principle
Definition	Business should give voluntary aid to society's needy persons and groups	Business, acting as a public trustee, should consider the interests of all who are affected by business decisions and policies
Modern Expression	<ul style="list-style-type: none"> • Corporate Philanthropy • Voluntary actions to promote the social good 	<ul style="list-style-type: none"> • Acknowledging business and society interdependence • Balancing the interests and needs of many diverse groups in society
Examples	<ul style="list-style-type: none"> • Corporate philanthropic foundations • Private initiatives to solve social problems • Social partnerships with stakeholder groups 	<ul style="list-style-type: none"> • Stakeholder approach to corporate strategic planning • Optimum long-run profits, rather than maximum short-run profits • Enlightened self-interest attitude

Source: Frederick, David and Post (1988). Business and Society: Corporate Strategy, Public Policy, Ethics.

Banerjee (2007) on the other hand added that that CSR is social performance and that CSR means exceeding laws and regulations to form a voluntary code of conduct for the business. CSR is the corporations' social performance where firms try to manage their social relationship through their CSR policies, actions and achievements. CSR is business committing to do more than the law and regulations require. The requirements by law and regulations are the minimum actions of the businesses. CSR should go beyond law and exceed its

minimum obligations. Overall, CSR is social performance and the voluntary code of conduct (Banerjee, 2007).

Another recent global study on CSR was conducted by GIZ in 2011 and three common approaches of CSR were identified; Ethical CSR, Altruistic CSR and Strategic CSR (Earth Systems, 2015). Ethical CSR is a moral requirement and the fulfillment of more than economic and legal obligations. It is a corporate responsibility to prevent harmful incidents even though those actions might or might not directly benefit the companies. Altruistic CSR is defined as Humanitarian or philanthropic CSR. This CSR is used to describe the actions of caring and looking after the wellbeing of society, not only the financial outcome. Integrating CSR into business strategy in order to achieve business goals while maintaining and improving society is Strategic CSR (GIZ and BGR, 2015).

Recent research on CSR in Laos, conducted by the German International Development Agency (GIZ), defines CSR as a “purely a business concern – a way for businesses to raise their profiles and demonstrate their willingness to contribute to the communities in which they operate” (GIZ and BGR, 2015). GIZ continue to explain that there are two dimensions of CSR, internal and external. Internally, CSR is concerned with corporation issues such as human resource management (HRM), occupational health and safety (OH&S), change management and the internal environmental and social impacts associated with company operations. The relationships with local communities, business partners, suppliers and consumers, as well as human rights issues and global environmental and social impacts from company operations are seen as the external dimensions of CSR. (GIZ and BGR, 2015).

CSR definition seems to be the description of how corporation should be built, and how the relationship between corporation and societies and their stakeholders can be improved and maintained at all levels. There are different definitions of CSR and the arguments are between two points of views regarding the role and responsibility of corporations. One is that the corporations should only focus on creating and maximizing the financial and economical return to the investors and that is what they are supposed to do in society. “The social responsibility of business is to increase its profits” (Friedman, 1970). In contrast, others believe that corporations should consider their responsibility to the society more widely. Crowther and Aras stated in *Corporate Social Responsibility* (2008)

that “the broadest definition of corporate social responsibility is concerned with what is – or should be – the relationship between global corporations, governments of countries and individual citizens. More locally the definition is concerned with the relationship between a corporation and the local society in which it resides or operates. Another definition is concerned with the relationship between a corporation and its stakeholders” (p10).

Although, it has been in discussion for a number of years and has become a focus of the discussion among businesses and other stakeholders, there are still various definitions of corporate social responsibility. Based on the interests and purposes of the group, CSR definitions are defined and adopted to fit with their own needs. Therefore, with the various definitions and explanations, there will be debate for and against CSR.

2.3. CSR Criticism

Through a half century of debating and contesting for and against, CSR first emerged in around mid-20th century (Frederick, 2006). Since then, although CSR has been introduced and implemented for many decades and become a popular and common practice for business and society, corporations still do not universally accept it. There is still debate regarding how CSR should be defined, implemented and reported as well as what the value and appropriateness of CSR are (Katsouras and McGraw, 2010; Smith, 2011). A significant criticism of CSR is that it is not the main mandate of business where the focus is about creating and maximising the financial return and profit for the investor, and therefore CSR is additional work which corporations have to dedicate more efforts and resources towards, but without return. CSR was not the main responsibility of the companies who should primarily focus on creating wealth for their shareholders (Vogel, 2005; Maitland, 2004). Smith (2011) claims that CSR creates additional work and responsibility for the corporations. The problematic issue of corporations and CSR integration is that the corporations have to fill that gap between generating financial return and aligning with social norms. On one hand corporations must generate good returns to satisfy their shareholders while on the other hand they are also required to satisfy other related stakeholders whose demands, needs and interests are continuing to increase and could not be ignored (Smith, 2011).

Another CSR criticism regards the unclear procedures and process of implementing CSR and also the different understanding of what exactly CSR is among different groups. Some groups of stakeholders might agree that fulfilling the law and regulation requirements and minimizing the negative impacts to society can be called CSR, while others claim that corporation should do more than just fulfil the requirements of the law, and do so voluntarily. How to measure and claim that a company is doing CSR is also not clear; it is difficult to measure the results, and there are no fixed criteria of what makes a good CSR company with inconsistencies of measurements to identify a good moral and socially responsible company. Some CSR activities by a company might be considered as effective and efficient in some places, but they might not be classified at the same level in other countries. CSR can provide advantages and make sense to some firms in some circumstances, however it is understood to be best as a niche business strategy rather than a generic business case (Vogel, 2005).

The argument about whether CSR should or should not be voluntary, or if it should be enforced by law, is also one issue that makes CSR unclear. Some argue that CSR should be voluntary while others claim that fulfilling the legal requirements is enough to achieve CSR, and still others argue that CSR should involve both aspects. Bowen proposes that CSR is defined as business's responsibility to apply and follow the policies, laws and regulations to create the benefits and value to society (Smith, 2011). Hopkins (2007) argues that CSR should be voluntary as well as a legal requirement. CSR should include the notion of a voluntary acts undertaken by companies and CSR activities should be those above a company's legal requirements (Hopkins, 2007, p17).

Cultural perspectives and differences between the western and non-western countries is another important criticism of CSR. As CSR has been practised by most of the corporations from western developed countries, it is unsure whether this has been translated clearly for corporations from non-western countries. These have created a gap of misunderstandings and vary expectations of CSR between developed and developing countries (Tilakasiri, 2012). This posts concerns to the corporations and leaders charged with finding the way to compromise and align the needs, interests, demands and values of different stakeholders, the environment and society (Amato, Henderson and Florence, 2009). In addition, CSR is seen as comprising additional activities and

responsibilities that companies get involved with, but not necessarily with the intention to profit. It is up to the companies themselves to put more efforts than what they are supposed to do; in the process of producing profit, it is for the business to also take care of or even address the general social issues (Vogel, 2005. P.4).

CSR emerges as a way to encourage businesses to take more responsibility for society and drive the development of developing countries. It is a tool which businesses can use to show and demonstrate their willingness and moral obligation to contribute to the communities where they operate. However, it is also seen as a way for businesses to enhance their competitiveness as there are advantages from implementing CSR.

2.4. Private Sector and CSR

Despite criticisms, CSR is significantly important for private companies especially multinationals. Granting permission to operate, increasing market power and motivating employees' performance and loyalty are some benefits from being an ethical company. Companies are trying to increase their market share, innovative power and staff motivation by becoming socially responsible enterprises. In addition, achieving cost advantages while simultaneously increasing moral responsibility is another outcome of taking CSR into account (Cramer, 2006). CSR is even more important for particular industries like mining. Helling-Benze, Kerr, Innes, and Clements (2014) added that mining companies are using CSR as a tool to enable their companies to gain social licence and the permission to operate their business. CSR is one of the strategies that those in the private sector can use for their advantages. However, taking CSR into account is not a simple or an easy task. There are different obstacles that the private sector needs to deal with.

The private sector is facing a wide range of difficulties in integrating CSR into their business operations. Different guidelines, procedures and standards within countries of operation and internationally are among those difficulties for operations in the private sectors. Cramer (2006) addresses that there are many issues such as guidelines and standards, international codes of conduct and the different political cultures of the host countries facing companies who want to operate international, sustainable businesses. Different countries have different

requirements and regulations. In addition, international requirements and guidelines such as the Paris Declaration, Millennium Development and now Sustainable Development Goals also pose challenges to the private sector when considering CSR and contributions to societal development. Frynas (2005) found that, implementing CSR is not a simple task for companies whose expertise is not in the development area, especially as doing development has evolved and become more sophisticated task. It is a significant additional commitment requiring much effort from the corporations to integrate CSR into their business operation. "If CSR is really embedded in an organisation, it will be at the heart of the business, linked to every business proposition and added value in the value chains of various stakeholders" (Jonker and Witte, 2006, p 4).

Other critiques of CSR and the private sector claim that private sector only takes on CSR for its face value and considering or implementing CSR is simply to build their image and reputation rather than fully contributing and taking full responsibility for societies and communities. Companies taking CSR because it was getting harder to refuse and harder to ignore the negative environmental impacts from the production, as well as the increasing social expectation of society that companies ought to behave responsibly (Hond, Bakker and Neergaard, 2007. p.77). CSR is not the act of business but it is the result of pressure from other stakeholders such as activists, consumers, employees and some investors (Voget, 2005, p13).

Implementation of CSR can also pose risks to the private sector if the result of the implementation cannot be delivered. The failure of a development project can result in a negative impact on the reputation of the companies. Palazzo and Richter (2005) state that the public pays more attention to controversial industries like mining regarding their social impacts and responsibility and that makes their task to implement the responsibility is even harder. Failing to deliver catches the attention of society and brings greater scrutiny to the actions of the companies. In addition, a recent study (Cramer, 2006) indicates that there are many requirements and standards that need to be fulfilled such as environmental standard, international human rights and CSR in an international context.

On one hand, corporations can play a significant role in improving social and environmental problems and their moral actions can lead to constructive and positive outcomes for society by taking CSR into account. "Organizations are

being called upon to take responsibility for the ways their operations impact societies and the natural environment. They are also being asked to apply sustainability principles to the ways in which they conduct their business” (Amato, Henderson and Florence, 2009, p.1). CSR initiatives can address a wide range of social and environmental issues (Vogel, 2005). On the other hand, there are risks in integrating CSR into business strategies, which those in the private sector would face and which need to be managed effectively.

There are advantages and disadvantages for those in the private sector implementing CSR. They can increase their power and gain permission and trust from the society as a result of their CSR activities. However, the failure of CSR activities can also damage the companies’ reputation. The international guidelines and requirements also make it more difficult for those in the private sector to integrate CSR into their business strategies. With the increasing of complexity of the business environment, CSR can be one of the strategies that those in the private sector have to consider and integrate into their management in order to manage and operate their businesses successfully.

2.5. CSR in Laos

After joining the World Trade Organisation (WTO) and integration with the ASEAN Economic Community (AEC), and the significant increasing of foreign direct investment in recent years, CSR has been increasing in Lao PDR. A recent baseline assessment of social and environmental regulations and standards on CSR in Laos by Earth Systems for GIZ, 2014, found that the Lao business community is increasingly interested in CSR. However, the level of understanding is still low and unclear among government as well as businesses themselves. The main driving factor of CSR in Laos is mainly based on the interest of stakeholders. The assessment also finds that there are three levels of understanding and awareness among different corporations in Laos: a high level awareness and implementation among large international companies, moderate awareness among companies who are seeking to access internal and/or specific markets where CSR is required, and a low level of awareness among domestic companies and government (GIZ and BMZ, 2015). There is some evidence of CSR implementation and integration into business operation.

The integration of CSR in Laos is mainly within international investment and some large domestic companies. The driver on this matter might be occurring within the headquarter policy and dependent on the market and stakeholders. The assessment also found that the lacks of support from government and financial institutions as well as the lack of human resource capacity are common barriers for corporations looking to consider CSR in Laos (GIZ and BMZ, 2015).

CSR is a relatively new concept in Laos. The understanding of what exactly CSR is pretty low. However, the concept is being used as the way to influence and encourage large and especially foreign investments by the government of Laos. CSR in Laos can be found in leading sectors such as the hydropower and mining sector, tourism, the coffee and tea sector and the transport and logistics sector. Investors demand better commodities and fair trade and the international restrictions and standards are the main drivers of the CSR in Laos (GIZ and BMZ, 2015)).

2.6. Mining Sector: contribution and criticism

The mining industry has a significant impact on wealth creation and employment and it can be seen as one of the main contributors to the development and achievement of poverty eradication of countries. Kyophilvong (nd) claimed that the mining sector contributes directly to the country's development in different ways, contributing to the infrastructure development of the country, promoting the development of small and medium enterprises and creating jobs for local people. Better livelihoods, infrastructure, access to higher standards of living, education and health services can come with the mining industry. In the World Bank Final Report, Nishikawa and team (2006, p47) stated "the mining industry impacts directly on the macro-economy by improving infrastructure, increasing employment, developing rural communities and enabling new spin-offs and downstream businesses". People in the impact areas can also have new and better economic opportunities with the presence of the mines (Krisch, 2014). With the existing mineral deposits, countries can boost their revenue from mining activities. As there were different mineral ores in South and Central America, these countries received considerable revenue from mineral exportation. The mineral exporting countries can see benefits and earn significant foreign exchange and government revenues from mining activities (Page, 1979).

On the other hand, there are also negative impacts to society by the mining industry and these are devastating. Mining can create negative and harmful impacts to environments and humans. As different harmful chemicals are used to extract the minerals, the waste from the mine can cause damage to the environment and people's health. In the mid 1980s, Ok Tedi and Fly River in Papua New Guinea was polluted and damaged by more than two billion tons of tailing and waste rock discharging into and overburdening the river, causing environmental issues and livelihood difficulties to people whose lives relied on the river (Kirsch, 2014). The demand for water, tailing and wastewater, and dust from the mine create environmental problems and cause difficulties for communities (Page, 1979, p243). Displacement and resettlement of local communities comprise one of the major negative impacts of the mines. The mining industry requires large areas of land where the ore is located and for the processing factories. The presence of the mine can cause the loss of land to local people. Mostly the mines are located in remote and rural areas where poor people live and rely on natural resources. Presenting of the mine means the freedom of local people accessing to the natural resources for their livelihoods would be limited and sometime even dismissed (Kirsch, 2014). Mining creates significant impacts on the social and economical development of countries positively and negatively. They can boost the development of the local and remote communities where they operate. However, at the same time they can also pose negative and harmful effects to the people and the environment. Therefore, the impact management plan is important in order to mitigate the negative effects while maintaining and increasing the positive impacts.

The mining industry takes different methods in order to deal with the critics and the resistance of societies. Firstly, they deal with the criticism politically. Engaging with the communities and the activists is one of their strategies. The industry responds to its critics by getting to know their stakeholders, who they are, what they want, what their strategies and implementation look like in order to achieve their objectives and then find out how to deal with those expectations (Deegan, 2001 in Kirsch, 2014. P161). Ongoing dialogue, public relations and acknowledgement of communities and activists are a way to educate the public about their operation (Kirsch, 2014). Building relationships by partnering with NGOs is also one of their strategies to cope with the critics and benefit from this

relationship. “Mining companies have also cultivated close relationships with conservation organizations that might otherwise be critical of their environmental impacts” (Kirsch, 2014). Employing formal activists and formal employers of NGOs is one of the strategies that could provide insightful information and knowledge (Kirsch, 2014). Finally, adopting CSR policy is an important strategy for mining companies coping with critics. This policy is the strategy by which companies respond to the concerns of shareholders as well as change the reputations of the companies regarding their environment and social impacts, from destroying to promoting sustainable environments. They include CSR as one of their risk management strategies.

2.7. Mining and CSR

Although there are different advantages that the private sector can gain from taking CSR into account with their business operations, integrating and implementing CSR can be very challenging, especially for the companies whose businesses are in such a controversial industry. Different perspectives and attitudes towards the mining companies also make it more difficult. The industry can, however, provide significant wealth creation and employment given the widespread need for and use of metals. It is also seen as a contribution to development that can solve the poverty issue (Kirsch, 2014).

Integrating and implementing CSR is one of the strategies by which the mining industry manages and mitigates their negative social and environmental impacts, while mining companies have been integrating CSR into their businesses for some time. The mining industry has been adopting CSR since the mid 1990s with sustainable development as their CSR strategy (Crowther and Capaldi, 2008). Mining companies implement social responsibility in different places. Yankson (2010) mentions that in Ghana, mining companies contribute to the local communities’ development through their contribution to infrastructure and the promotion of alternative livelihood systems projects. Frynas (2005) also found that some companies have formed partnerships with International Aid Agencies, International Non-Governmental Organizations (INGOs) and Local Associations. For example, the oil company in Nigeria, Shell Petroleum Development Company (SPDC), has entered into partnership with USAID and NGOs with more experience in development projects to help with the implementation of the

projects. Building schools and health facilities, constructing and improving infrastructure such as roads, sanitation facilities and electricity, and maintaining other initiatives constitute the set of CSR activities that mining companies implement in order to respond to the impacts on livelihoods in local communities (Helling-Benze, Kerr, Innes and Clements, 2014, p.5).

However, managing CSR can be very challenging for companies whose businesses are in controversial industries like mining. The lack of trust from communities and environmental protection groups and organizations are the major challenges to CSR implementation for mining companies. Different perspectives and attitudes towards the mining companies also make it more difficult. On one hand, companies come and take away local resources and leave an impact on the environment, on the other hand, the companies are also in a position to provide support to the community, encouraging livelihoods and income generation as well as taking care of the environment. The pressure from society also contributes to the struggle of CSR implementation for mining companies. Dong, Burritt and Qian (2014) state that in the last decade stakeholders have been asking the mining industry to minimize their impacts on the environment and to improve their relations with host communities to maintain their social licenses and operation permissions. Yankson (2010) further explains that mining companies are now asked to contribute more to poverty reduction for directly affected communities and to reduce their negative impacts on the environment. Yankson (2010) continues that, as a response to the loss of people's farmland, mining companies establish different livelihood programmes in order to generate income for local people as compensation for their lost of land.

Taking CSR into account is not a simple task for a multinational mining company for many reasons. Cramer (2006) indicated that there are many requirements and standards that need to be fulfilled such as environmental standards, international human rights and CSR in an international context. Jonker and Witte (2006) state that "If CSR is really embedded in an organisation, it will be at the heart of the business, linked to every business proposition and added value in the value chains of various stakeholders" (Jonker and Witte, 2006, p 4). To fulfil the requirement for social responsibility, multinational mining companies operating in countries have engaged in development programmes in different ways, for themselves as well as subcontracting to other organisations. By running the

development programmes themselves, companies can manage and monitor the progress of the programmes closely and be able to respond to emerging issues such as the delay of implementation, budget insufficiency or a change in the focus of the programmes. Expertise in particular areas is another issue for the mining industry looking to take CSR into account. Companies have to improve their expertise and knowledge in development and integrate this into their mining expertise. As they mainly employ staff who have expertise in geology, engineering and accounting, the mining companies have challenges in understanding and responding to the sensitive issues of social responsibility (Richards, 2009). In addition, mining companies face the different perspectives of different stakeholders. Some communities might see their CSR activities as the public relations mechanism by which companies look to prevent disruption and reputational damage, rather than a genuine sign of their willingness to facilitate and address the development and poverty concerns of communities, especially the people impacted by the mine (Kemp, 2010). “In many countries there are prevalent perceptions among various stakeholder groups, that CSR activities of mining companies are only ‘window dressing’ and have no real intention of providing local communities with long-term benefits” (Helling-Benze, Kerr, Innes, and Clements, 2014, p.8). As a result, the development programmes of mining companies could experience difficulties in building trust and drawing attention and participation from communities. The mining industry has adopted CSR as its social and environmental impact mitigation strategy for a period of time. However, integrating and implementing CSR can be very challenging for the mining industry for many reasons. Lack of trust, lack of and unclear guidelines as well as international standards are some of the difficulties the mining industry faces when taking CSR into consideration.

2.8. Theoretical Framework

From the previous discussion, it can be seen that there are advantages and difficulties for the mining industry as they integrate CSR into their business especially in Lao PDR, and as for many reasons. This research is based on the theoretical framework of alternative development whereby participation of related parties is the key factor to achieving the development. The stakeholder approach is used to explore and guide the research to demonstrate how stakeholders are

important to the business and how business manages and responds to their stakeholders effectively.

2.8.1. Alternative Development

This research is guided by the alternative development framework, which emphasises on the elements of development that are distinguished from the mainstream. The focus on participatory, local interests and alternative practices of development are the main interest in looking to understand whether corporates should take social responsibility into consideration. It is also based on the stakeholder theory where corporations need to take holistically responsibility for all stakeholders. Jan Nederveen Pieterse in “My Paradigm of Yours?: Alternative Development, Post-Development, Reflexive Development, (1996) stated that alternative development can be seen from three different views. It can be viewed as “a roving critique of mainstream development, shifting in position as mainstream development shifts, as a series of alternative proposals and methodologies that are loosely interconnected” or “as an alternative development paradigm, implying a definite theoretical break with mainstream development”. It can also be viewed as “concerned with local development, with alternative practices on the ground, or as an overall challenge to the mainstream, and part of a global alternative” (Pieterse, 1996). Alternative development has distinguished elements of development methodology and objectives from the mainstream, emphasising and encouraging more participatory, endogenous self-reliance with the development objectives are aimed at locally defined needs (Peiterse, 2010).

Overall, alternatives development is the development theory that based on the economic situation of a given community. Alternative development focuses on what people have and what they want to help them construct their livelihoods rather than what they lack and what they need. It turns away from the mainstream world economy driven by factors such as market forces and economic growth. Alternative development is more about helping a community to define their own development and help them to achieve it by using the capacity and resources available in their communities. It is development that is not concerned with the role of the market, economic growth and industrialization or modernization. It is about communities defining their own goals for development based on the needs and wants of those communities. It is also a way to empower people, giving them a

chance to make their own choices. Whether those choices are good or not, it is up to the people comprising the community to take those choices. Others should not use their perspectives, value, knowledge, backgrounds or beliefs to judge the choices made by the communities as sometimes decisions that are good for some people might not be good for others.

2.8.2. Stakeholders theory

The responsibility of corporations is mainly about dealing with stakeholders. The success of corporations can be measured by the satisfaction of, and the creation of wealth for their stakeholders. According to the stakeholder theory, a corporation's responsibility is to create and maximize the wealth of stakeholders. However, the theory does not explain which stakeholder takes priority (Freeman, 2010). Therefore, the main task of the managers of the corporations has changed from maximizing the returns to shareholders, to taking responsibility for fulfilling the needs and requirements of all stakeholders. Simply creating wealth for shareholders is no longer adequate for the corporations to become successful (Clarkson, 1995). Taking greater account for social and environmental factors, as well as financial outcomes, would not be enough for corporations as it ignores the interests of other stakeholders (Hopkins, 2007).

So, what and who are the stakeholders of corporations? Crowther and Aras 2008 in "Corporate Social Responsibility" proposed that stakeholders are "Any group or individual who can affect or is affected by the achievement of the organization's objectives" (Crowther and Aras, 2008, p28). Max B. E. Clarkson, in "A Stakeholder Framework for Analyzing and Evaluating Corporate Social Performance" (1995), claimed that persons or groups who have ownership, interests or are impacted by any activities in the past, present or future of the corporations are stakeholders of corporations. With this description of stakeholders, Clarkson divided stakeholders into two groups: primary and secondary stakeholders. "A primary stakeholder group is one without whose continuing participation the corporation cannot survive as a going concern. Primary stakeholder groups typically are comprised of shareholders and investors, employees, customers, and suppliers, together with what is defined as the public stakeholder group: the governments and communities that provide infrastructures and markets, whose laws and regulations must be obeyed, and to whom taxes

and other obligations may be due” (Clarkson, 1995, p106). “Secondary stakeholder groups are defined as those who influence or affect, or are influenced or affected by, the corporation, but they are not engaged in transactions with the corporation and are not essential for its survival” (Clarkson, 1995, p107). Edward Freeman provided another concept of stakeholders by defining stakeholder as “any group or individual who can affect or is affected by the achievement of the firm’s objectives” (Freeman, 2010).

2.8.3. Stakeholders approach

In the 1980s, stakeholder management was approached as a framework to support managers dealing with unpredictable changes regarding the environment, in light of traditional frameworks’ failure to do so (Kakabedse and Morsing, 2006). The framework makes the business concept to go beyond their traditional economic foundation and defining the stakeholders as “any group or individual who is affected by or can affect the achievement of an organization’s objectives” (Kakabedse and Morsing, 2006). The framework makes the business concept go beyond their traditional economic foundation and defining the stakeholders as “any group or individual who is affected by or can affect the achievement of an organization’s objectives” (Kakabedse and Morsing, 2006). Carroll, 1989, suggested that stakeholder management is central to business (Donaldson and Preston, 1995). Engagement with stakeholders is the key mechanism of business management. Stakeholder engagement is a key tool to focus management attention on the high risks and opportunities as perceived by stakeholders (Jonker and Witte, 2006, p 21). Engagement with the stakeholders requires an on-going process that starts when finalising the facilities and continues until completed. Stakeholders should be engaged early to identify issues, agree approaches to manage these, and review the outcomes. When dealing with key issues, both leaders and (technical) experts should actively participate in stakeholder dialogue. Stakeholder relationships demand a commitment to define relationships between the business and social contexts (Jonker and Witte, 2006, p4). Arguably, integrating business, ethics, and societal considerations is necessary to finding a stakeholder approach to suit the business (Kakabedse and Morsing, 2006). Kakabadse & Morsin (2006), offer principles to guide business’s responsibility to their stakeholders; the boxes below explain those principles.

Figure 2: Ten Principles for company stakeholder responsibility

1. Company and stakeholder interests go together over time
2. Stakeholders are considered as real people and are complex
3. Solutions that satisfy multiple stakeholders are always desired
4. Intensive communication and dialogue with all stakeholders not just those who are 'friendly' are encouraged.
5. The philosophy of voluntarism to manage stakeholder relationships ourselves is the commitment over leaving it to government
6. We generalise the marketing approach.
7. We do everything to serve our stakeholders and never trade off the interests of one versus the other continuously over time.
8. Primary and secondary stakeholders are negotiated.
9. To better be able to serve our stakeholders, constantly monitor and redesign processes are encouraged and implemented.
10. The purpose of our actions is to fulfil our commitment to stakeholders. The aspiration is toward our dreams and theirs.

Source: Modified from Kakabadse & Morsin (2006, p 21).

These principles of engaging the stakeholders guide the business to take CSR into consideration. As Kakabadse & Morsin (2006) also define the levels of CSR commitment.

Figure 3: Four Commitment Levels of Company Stakeholder Responsibility

The basic value proposition
How do we make our stakeholders better off?
What do we stand for?
Principles for Sustained Stakeholder Cooperation
What are our principles or values on which we base our everyday engagement with stakeholders?
Broader Societal Issues
Do we understand how our basic value proposition and principles fit or contradict key trends and opinions in society?
Ethical Leadership
What are the values and principles that inform my leadership?
What is my sense of purpose? What do I stand for as a leader?

Source: Modified from Kakabadse & Morsin. (2006, p 21).

The stakeholders approach is crucial for this research for many reasons. Stakeholder satisfaction is crucial for business and CSR is one of the strategies to respond effectively to the needs of business stakeholders. CSR is the mechanism to engage with all level of stakeholders, it will be at the heart of the business's management. When CSR is linked to every business proposition, business can added value to various stakeholders. The key point is the development of competencies and capabilities to connect the business approach with the needs and circumstances of the various stakeholders. As stakeholder satisfaction is crucial for business and CSR is one of the strategies to respond effectively to the needs of business stakeholders, CSR is the mechanism to engage with all level of stakeholders. The key point is how the business is able to develop the competencies and capabilities to connect the business approach with the needs and circumstances of the various stakeholders. Stakeholder theory is about value creation and trade: it is a managerial theory about how business works. Questions regarding business and ethics are asked at the same time when discussing stakeholder relationships. Understanding the perspectives and expectation of stakeholders would provide a fundamental platform for business to articulate sound and effective strategies to manage and meet their stakeholder needs and requirements. Meeting those expectations would support the corporations to build and maintain relationships and collaborations with those who can help their businesses succeed.

Overall, it can be seen from the literature review that CSR's definition is still unclear despite the concept having emerged decades ago and being discussed at length since then. The private sector can play a significant role in boosting development progress, and CSR is seen as one of the mechanisms to encourage the private sector to contribute to development as a way of taking responsibility for social and environment issues. However, stakeholders' expectations have significantly affected the way the private sector takes CSR into account. By using the stakeholder framework, this research will explore how stakeholder perspectives influence CSR implementation in Laos. The next chapter will provide information on the methodologies used in this thesis to explore the issues regarding the private sector, stakeholder expectations, and CSR in Laos.

Chapter 3. Research Methodology

3.1. Introduction

The previous chapters provide the background and the literature review that frame the purpose and foundation as well as the approach that will be used for this research. This chapter will outline the methodology and mechanism as well as introduce the participants and the case study company that will be used to explore, gather and analyse the data and information to answer the research questions provided in the previous chapters.

3.2. Research design

Scientific research is the process of acquiring knowledge by reviewing existing knowledge related to the topic that has been determined beforehand by referring to specific scientific theories and concepts. It is also the process of discovery and the generation of new and surprising facts and not just to prove and confirm existing knowledge and expectations. Through the process of reviewing existing scientific knowledge on a particular topic, new and surprising facts are discovered (Silverman, 2014; Richards and More, 2013). This scientific process consists of two distinguished types of research methodologies, quantitative and qualitative. Silverman (2014) suggests that quantitative research is the research that involves analysing numbers of the relationship between variables, while qualitative research is used to examine and describe real-life situations. He also explains that qualitative research is used to produce and discover new knowledge by describing phenomena in a particular context, interpreting processes or meanings by using concepts based on theories to seek understanding of determined topics. Qualitative research methods are used to explore and understand the motivation and expectation of people and to identify the dimensions of issues in society (Mark, Woodsong, MacQueen, Guest, & Namey, 2005). Using methods such as in-depth observation, analysis and reflection, qualitative research methodologies lead to the understanding of different viewpoints, perspectives and expectations of different group of people according to their experiences and backgrounds. Denzin and Lincoln (2011) explain that qualitative research involves collecting a variety of materials such as personal experience, life stories, and interactional and visual texts that explain the routine, problematic moments and meanings in people's lives (Denzin and Lincoln, 2011).

3.3. Epistemology

Epistemology usually refers to the philosophical theory of the nature of knowledge and its origins, limits, and justification. Epistemology is the study about what and how knowledge is accumulated which includes how knowledge develops, interprets, evaluates, and justifies (Hofer and Bendixen, 2012). Grbich in her book “Qualitative Data Analysis: An Introduction” (2007) mentions that the word ‘epistemology’ has its origins in the Greek language which means knowledge theory (Grbich, 2007). She continues that epistemology deals with the question of how the truth is understood and constructed. It is the theory that explains what we know and how we know the nature of reality (Grbich, 2007).

There are different perspectives to viewing how reality is constructed. From the constructivist perspective, people can see, understand and have different views of reality, so there are multiple realities. Experiences and actions of people that occur and are shaped by the cultural, historical, political and social norms that operate within that context and time create realities (Darlaston-Jones, 2007, p19). Gray (2009) explains that, closely linked to constructivism, the relationship between people and the world is indirect and the world is interpreted through the mind. “Knowledge is subjective, constructed and based on the shared signs and symbols which are recognized by members of a culture. Multiple realities are presumed, with different people experiencing things differently (Grbich, 2007. p. 8). On the other hand, from the perspective of positivism, the reality is universal. “Empiricism, which is the foundation of positivism, views reality as universal, objective, and quantifiable. Therefore from this perspective, it is argued that reality is the same for you as it is for me and through the application of science we can identify and ‘see’ that shared reality” (Darlaston-Jones, 2007, p19). Gray (2009) suggests that reality consists of “what can be seen, smelt, touched, etc” (Gray, 2009, p. 19).

For this research, I view the knowledge of participants from the perspective of social constructivism, where people develop knowledge and belief from their experiences and there are different perspectives to view the same things. Cultural, historical, political and social norms also have major influence on the way participants perceive realities. I also consider and maintain my position as a student who seeks to learn and understand the new knowledge which might come from the different perspectives of other people viewing the same things. From the

interviews and exchanges of perspective between the participants, some new knowledge has emerged and is to be integrated, learned and treasured.

3.4. Qualitative research

Qualitative research methodology is an effective method to obtaining specific information about the values, opinions, behaviours and social contexts of particular populations (Mark, Woodsong, MacQueen, Guest, & Namey, 2005, p. 1). It is a method that is used to explore and understand motivation and identify the dimensions of issues in society. Using methods such as in-depth observation, analysis and reflection, qualitative research methodologies lead to the understanding of different viewpoints, perspectives and expectations of different groups of people according to their experiences and backgrounds.

Richards and More (2013) explain that qualitative research would be the most suitable methodology to address research purposes and to answer some questions in the following cases:

1. To understand something where there is very little or limited knowledge or where there is inadequate understanding. Qualitative research will offer surprises and allow learning about what questions may arise from the data.
2. To explain complex situations and changing and shifting phenomena. Qualitative research will help to simplify and manage data without damaging the complexity and context.
3. To understand and learn how people experience, put the meaning into, and interpret their experience in a particular setting or a process. The qualitative research will allow discovery and justification of the perceptions and complexity of the interpretations.
4. To construct a theory or understanding that reflects reality rather than is based on a particular perspective or prior determination. The qualitative research will gather data to assist in theory creation.
5. To deeply understand phenomena in detail. The qualitative research will help to discover the central themes and analysis of core concerns.

In short “If you know what is being hypothesized and what you are likely to find, if you do not need to know the complexity of others’ understandings, if you are testing prior theory rather than constructing a new framework, or if you are

simply describing a situation rather than deeply analyzing it, it is possible that you should not be working qualitatively” (Richards and More, 2013. p. 28)

As this research looks to understand and recognise the attitudes, perspectives and expectations of different groups of people regarding a particular topic, CSR and the private sector, a qualitative research methodology was selected as the main methodology of this project, with interviews and document analysis as the two methods. By adopting a qualitative research methodology, the data from interviews will be analysed to answer the research questions. These methods will help us to understand the attitudes of different players that might influence private companies in executing CSR. Doing so will answer the questions about the ‘what’, ‘how’ and ‘why’ of private companies implementing CSR. To narrow the scope of the research, the case study method is also used for this research.

3.5. Research Methods

3.5.1. Case study

Under qualitative research, there are different methods that can be used. Case study, participatory inquiry, interviewing, participation observation are some of the methods and approaches that fall under the category of qualitative research (Denzin and Lincoln, 2011). A case study provides an opportunity for researchers to explore in-depth and understand a particular complex issue within a certain context. “In most cases, a case study method selects a small geographical area or a very limited number of individuals as the subjects of study. Case studies, in their true essence, explore and investigate contemporary real-life phenomenon through detailed contextual analysis of a limited number of events or conditions, and their relationships” (Zainal, 2007). A case study is used to seek understanding of a social situation or process with the focus on one or more particular cases (Richards and Morse, 2013).

A case study is used in this research to narrow the scope of research. This research explores the understanding and perspectives of different groups of people on the way the private sector implement CSR in Lao PDR to understand and acknowledge different understandings, perspectives and expectations of key stakeholders; namely, development agencies, government (central and local levels) and communities regarding to the role and responsibility of private sector to

the host country development. Therefore, a case study would be the most appropriate method for the research. The case study method allows the research to narrow down the scope into a particular context to explore and collect the data.

In this research, a multinational mining company, Lane Xang Minerals Limited (LXML), which has been operating the Sepon Mine in Laos since 2005, was selected as the case study to represent the private sector integrating CSR into their business operation in Laos. The rural development contribution of the company is one of its interesting aspects. LXML has been contributing to the development of Laos as well as the host communities in many different ways. They set up and are providing a community development fund (Trust Fund) annually, implementing community development programmes and recently entered into a partnership with other organizations to implement a community development programme for them. This variety of strategies and community development activities provides important information for the research.

3.5.2. Interviews

Although there are many different ways to collect the data within qualitative research, interview is one of the most common techniques of data collection in the social sciences. There are different approaches and perspectives of qualitative research, ethnography, phenomenology and psychoanalysis for example, however, the interview is the method of choice to collect qualitative data for all qualitative approaches (Packer, 2011. p. 42). There are different ways of conducting interviews, for example, semi-structured, structured or non-structured interviews. From them, the semi-structured interview is the most popular way, to conduct qualitative research today (Packer, 2011).

3.5.3. Semi-Structured Interview

Semi-structured interviews are those in which the interview is open and participants are encouraged to freely speak in their own words. The discussion topic and interview guideline questions are planned and prepared beforehand, but there is no fixed order of questions, and interesting topics can be followed up as they emerge (Packer, 2011). “A semi-structured interview is a qualitative method of inquiry that combines a pre-determined set of open questions (questions that prompt discussion) with the opportunity for the interviewer to explore particular themes or responses further” (“evaluation toolbox”, 2010). This interview method is

suitable for this research as the discussion and interview aims to gather information regarding the perspectives and understanding of participants based on their own experiences. There is no right or wrong answer for particular questions. Different participants would answer each guideline question differently but all answer will be treated as the information for the research and will be analysed to find trends that can then be translated into a particular theme. The aim of the semi-structured interview is to encourage participants to speak in their own words (Packer, 2011). Therefore, this research will use semi-structure interviews for conducting data collection.

Participants from different target groups were interviewed using different sets of interview guideline questions (see appendix 2). These questions were used as a guide for the interview to explore and get information regarding the opinions, perspectives and expectations of participants. Similar questions were to be used but not every participant was asked the same set of questions, as they are from different backgrounds and represent different interests. Interviews were conducted in Lao, as all of the participants are Lao people. After the interviews, transcriptions of each interview were created and translated into English by the researcher.

3.5.4. Document analysis

Documents including a variety of CSR publications, different reports from the case study and other agencies as well as several documents from government departments were collected and reviewed to provide relevant information. The document analysis was therefore one of the main sources of secondary data and information to find out key information, especially the different definitions of CSR and some experiences of private sector or companies implementing CSR in different parts of the world.

3.6. Data Collection and analysis

Data collection involves interviewing participants from different groups and conducting document analysis. As mentioned above, semi-structured interviews were the main interview technique used in this research. Interviews were conducted to collect primary data regarding the perspectives, expectations and attitudes of different participants. Interviews took place in two different locations, Vientiane capital city, where participants hailed from central government and development agencies and where the company is located, and Vilabury district,

Savanakhet province, where participants from local authority, communities and company were interviewed. It is also the place where the case study company is operating their mining site.

3.6.3. Research participants

The researcher interviewed a number of participants from different backgrounds (Figure: 4). These participants represent four target groups of participants: the company, government, development agencies and local communities. Participants from the company were key personnel at the management and implementation levels of company policy and representing strategic engagement with communities. They are key staff that can also inform and make decisions regarding the strategies of the company. These participants were interviewed to gather the information regarding the company strategies responsible for CSR, and the issues and challenges that the company experiences in implementing CSR. This included information regarding their experience and perspectives in implementing government and company policies and strategies, as well as their experience in implementing different kinds of development programmes and strategies. Two participants from the company were recruited and both of them were male. One participant is at the management level and the other at the implementation level. Both participants have been working for the company in relation to community relations for more than ten (10) years, and therefore are very familiar with the context and the issues regarding the thesis's research context

Perspectives and expectations of the government were gathered by interviewing representatives from the government at central and local levels. Three participants, two males and one female, from this group were recruited. One participant represents the central government while two represent local authority at the community level. These participants are high position public servants who could influence the policies and implementation of the development programmes at the community level as well as at the central level. Participants from this group were interviewed one-on-one about what they thought and expected about the role and responsibility of the private sector regarding rural and community development. Participants from this group were selected based on their role and responsibility, and their involvement and influence on the way the company

implements its CSR. How government manages, evaluates and monitors the result of the contribution of the private sector are also to be explored. The government's policies and expectations towards the private sector and mining companies regarding the contribution to and support of the country's development and poverty reduction is crucial to understanding why and how the private sector should take CSR into account.

Two participants from local communities where the company is operating were recruited and interviewed to gather information regarding the perspectives, expectations and attitudes of local people towards the company in respect of its responsibility to local communities. Participants from this group were selected based on their role as community leaders involved in influencing and advocating the way the company is responsible for the community's wellbeing. They are running their own businesses as well as representing communities in the discussion and negotiation in regards to the issues impacting their communities.

One participant from a development agency was recruited to provide information regarding the perspectives and expectations of development agencies. The participant was selected based on role and responsibility, and the likelihood that he or she would be able to provide information regarding to the development agencies' perspectives on how the private sector could contribute to the rural development of the country. The development agencies' perspectives can play significant roles in influencing the private sector's contribution to the country's development directly or indirectly. For example, when a donor considers supporting a development programme in the areas affected by the operation of the private sector, the donor would encourage the company to support or at least contribute to the programme. As well as this, some of them are implementing joint private and government development programmes. These diverse participants provided the different perspectives, viewpoints and approaches of different actors that contribute to rural development and poverty reduction of a country like Laos.

Figure 4: Summary of Research participants

Group of Participants	Number of participants	Gender	
		F	M
Government	3	1	2
Community	2	2	
Company	2		2
Development Agency	1		1
Total	8	3	5

3.7. Data analysis

3.7.1. Qualitative data analysis

This research used quality data analysis approaches based on Miles and Huberman (1994). In “An Expanded Sourcebook: Qualitative Data Analysis” Miles and Huberman (1994) explain that there are three approaches to analyse qualitative data: interpretivism, social anthropology and collaborative social research. Interpretativism holds that the understanding of group actions and interactions comes from the interpretation of meanings while social anthropology focuses on descriptions and concerns with genesis or refinement of theory. Collaborative social research, on the other hand, focuses on the search for underlying themes or patterns to “unpack taken-for-granted views and detecting invisible but oppressive structures” (Miles and Huberman, 1994. p. 8-9). The data from the research was analysed and interpreted to refine the theory, and then unpacked to find the views of different stakeholders regarding the private sector and social responsibility. The data from the research are messy as it is usually for qualitative research. “Qualitative data are usually messy and fluid records” (Richards, 2009). The data was analysed by using flexible approaches to understand the complex situation.

3.8. Writing up

With all information and analysis, the thesis was written with the aim to provide in-depth discussion and findings. The research was written and organised by chapter to chapter starting with providing all foundations and rationales behind the research topic. Then the findings from the research were outlined and

discussed in order to provide answers to the topic questions. Reflection, recommendation and how the findings contribute to the general knowledge of the research topic, CSR, are made at the end of the thesis. Overall, the writing tries to provide all information to describe what this thesis project is all about. "This is what I tried to answer, this is what I learned, this is why it matters, and here is a useful account" (Richards, 2009, p. 191). The thesis writing is based on the researcher's choices using theory minimisation approaches that allow the researcher to call a variety of conceptual models, theories and ideas to explain the findings and at the same time be able to maximally display the data to bring the readers closer to the experiences of the subjects and to be able to make decisions based on their own experiences (Grbich, 2009).

When writing and presenting the findings, information related to the topic was selected and integrated into the findings. Not all information could not be included in this thesis as some was not related or would take the thesis off track. Opinions and ideas from all participants were interpreted into the knowledge and ideas and combined into the findings from the field research, representing the perspectives and expectations of different stakeholders of private sector implementing CSR in Laos.

3.9. Ethics and ethical considerations

3.9.1. Ethical issues

As this research is about understanding the different perspectives, viewpoints and opinions of different actors in development, respecting different perspectives from different participants is very crucial. Permission to interview and to use the information and responses from participants was obtained following the ethics procedures of Victoria University of Wellington, whose Human Ethics Committee reviewed and approved this research (see appendix 3). Participants were well informed of the purpose and the process of research and they were free to stop or withdraw from the research. Privacy and confidentiality were critical to ensure that information obtained is to be used for the research purpose only. All information was kept and used only for the research purpose and the identity of participants kept confidential. Permission to use the information especially the personal and company information were obtained from participants by using appropriate protocols such as signing the participant consent form. Where

participants refused or did not want to sign or there were cases that participants did not use signatures, the permissions to interview and use the information were obtained verbally.

All participants were contacted and asked for their voluntary decision to participate and provided with information regarding the research questions. Participant information and consent forms were presented and participants asked whether they were happy to sign the form. All rights and other related information such as the purpose of the research, how the interview would be conducted, how information from the interview will be used, and the confidentiality of the participants, were clearly explained and to all participants. Exact times and dates for the interviews were arranged with the participants for their convenience. A voice recorder was used to record some interviews and only after gaining permission from the participant. Some participants didn't allow the voice recorder and therefore note-taking techniques were used instead. All interviews were conducted at locations based on the preferences of the participants, such as offices and houses. All participants were asked to choose their preferred place and time for interviews.

3.9.2. Positionality

Conducting this thesis project, there are certain positionality issues that I had to pay significant attention to at all times. As this research project used in-depth interviews as its main research method by which to situate the knowledge of the people interviewed, it is important to acknowledge that all knowledge is produced and shaped in specific circumstances (Rose, 1997). Different people would have different knowledge based on their experiences and reflections of realities. What they shared in the interviews reflected those differences, as well as how they perceived me as an interviewer.

I used to work with the company in the area of community development (for a period of two years). Being employed and working for the company previously, I have to be aware of bias, which might come from personal frustration and appreciation during working for the company. This might have an influence on the outcome of the study, including the conclusion and its final recommendations. In addition, the information from the participants could be manipulated. Those from the company could have the impression that the research would criticize the

company and might discount the information provided. This could influence the participants to provide misleading information that would impact the findings. Moreover, the power of participants from the government and communities could also influence the information provided in order to influence the outcome of the research. Also, they could have associated me with the company and chosen their responses accordingly. With all these concerns, as well as having been a formal employee of the case study company, I have to position myself to maintain the awareness of a researcher trying to conduct research to find out interesting knowledge of a particular topic, rather than pretending or presenting myself as researcher who sees and knows everything (Rose, 1997).

On the other hand, I also found that being a formal employee of the company provided me with advantages. I can get into detail through in-depth discussions with participants via the common experience of when I was working for the company. Overall, practising self-awareness of the positionality is the key for the research.

In addition, when discussing with the participant from the development partner, I had to be consistent and explain clearly that this research was about finding the information to support my research and would or would not have any influence on the way the government managed or articulated their policy on CSR. At the same time, it would or would not have any impact on the way others in the private sector execute their CSR actions. However, it could serve as the communication channel and the knowledge and opinion exchange mechanism between different stakeholders in regarding to CSR and in particular, the development strategies associated with CSR in Laos.

3.9.3. Health and safety

As the research involved traveling to the mining operation where safety is the critical issue, all company-issued safety instruction was followed to ensure my own safety and also that of the participants. Unsafe situations such as conflicts of opinions and ideas between participants and the researcher were avoided. Unexplored Ordnance (UXO) was one of the major safety issues in the areas surrounding the mine and the communities nearby, so safety instruction and self-awareness of this issue was kept in mind at all time.

3.9.4. Conclusion

To summary, this chapter provided information on methodology and methods used to conduct this research. It also provides information on the ethnic and other issues that should be considered while conducting and writing this research. Qualitative research is the main research methodology used for this research. Information and data was gathered from the fieldwork conducted in Laos using semi-structure interviews as the main method. The information and data was then analysed and the findings were written practising self-awareness and honesty.

In order to provide some context about the place where the research was conducted, the next chapter will provide information regarding Laos, and with a particular focus on the community where the cases study company operates. Some information regarding development in Laos will also be provided in order to demonstrate how the private sector plays a significant role in the development of Laos, and why CSR is an important issue in Laos.

Chapter 4: Laos Context

This chapter will provide some general information about Laos, where this research took place. It will also provide some information about Savannakhet province and Vilabury district where the case study company operates. Information regarding to the mining industry and CSR in Laos will also be presented to provide some background of the CSR context in Laos.

Landlocked and with a mostly mountainous landscape, Laos is located in the heart of the Southeast Asian region (Figure: 5) with a total area of 236,800 square kilometres and a population of around 6.8 million people in 2015 (Lao Statistics Bureau, 2016, p. 22). The majority of the population lives in rural areas and is dependent on subsistence agriculture (IUCN and NERI, 2011). The country is divided into 18 provinces, and Vientiane is the capital city located in the central part of the country. Laos shares borders with China on the north, Cambodia on the south, Vietnam on the east, Myanmar on the northwest and Thailand on the west. It is considered to be one of the most ethnically and linguistically diverse countries in the region. The population of Laos is divided into four main ethno-linguistic families: Lao-Tai (67 percent), Mon-Khmer (21 percent), Hmong-Lu Mien (8 percent) and Chine-Tibetan (3 percent) (King and van de Walle, 2010, pp. 249).

Figure 5: Map of Laos

source: <http://www.retire-asia.com/lao-maps.shtml>

Laos has significantly suffered from unexploded ordnance (UXO) contamination from the Second Indochina War. According to UNDP (2012) during the Second Indochina War, Laos was heavily bombed. Between 1963 and 1974, it was estimated that more than 2 million tons of ordnance including 270 million sub-munitions or “bombies” were dropped on the land of Laos (Figure: 6), making it the most bombarded country per capita in the world (NRA, nd). It is estimated that 30% of those bombies failed to explode and remain dangerously active on the land of Laos. It is estimated that 25% of all villages still suffer from UXO contamination (NRA, nd). The presence of UXO has presented difficulties for the development of the country (UNDP, 2012). Due to the presence of UXO, the people of Laos, especially poor people who live in rural areas, are facing difficulties in pursuing their livelihoods. The UXO poses a risk to people in using their agricultural land, affecting their income generation and food security. It is also an obstacle to the country’s infrastructure development such as building roads, schools, and electricity (UNDP, 2012).

Figure 6: US Bombing data map used to estimate and allocate the UXO contamination areas, National Regulatory Authority for UXO/Mine Action Sector lao PDR

(One red dot represents one bombing flight during 1963-1974)

Source: National Regulatory Authority for UXO/Mine Action Sector Lao PDR
<http://www.nra.gov.la/uxomap.html>

4.1. Development in Laos

Located in the heart of South East Asia, Laos has one of the fastest growing economies in the region and was ranked as the thirteenth fastest growing economy globally in 2015 (World Bank Group, 2017). However, despite the rapid economic growth, Laos is still one of the poorest countries in the world. The OECD (2009) has ranked Laos as the twentieth poorest country in the world (OECD, 2009). According to the Decree of Prime Minister Office number 309/PMO regarding poverty and rural development between 2012 and 2015, the poverty rate of the country in 2014 was 23.09 percent of all villages nationwide, while there were 76,604 poor households and 1,736 poor villages (Ministry of Planning and Investment, 2016).

The National Social Economic Development Plan (NSED) is the main driver of Laos's development and currently the government has approved a new development plan, the 8th Five-Year National Social Economic Development Plan (2016-2020) which aims to achieve poverty eradication and country development. With this strategic plan, Laos has enjoyed significant and continued economic growth with an average rate of 7.9 percent per year during the last five years from 2010 to 2015 (Figure: 7). There was an increase in imports and exports and investment. With this improvement, the government could achieve their target for revenue collection, while the people's wellbeing was also improved (MPI, 2016).

Figure 7: Laos GDP Growth Rate of each Fiscal Year from 2010 – 2014

Descripti on	7 th NSED Target (2011-15)	Actu al 2010 -11	Actual 2011- 12	Actual 2012- 13	Actual 2013- 14	Actual 2014- 15	Averag e (5 Year)
GDP Growth (%)	>8	8.1	8.3	8.0	7.8	7.5	7.9

Source: adapted from the 8th National Social Economic Development Plan, p3.

However, there are different concerns and challenges for the social and economic development of Laos. Laos has been enjoying a steady economic growth recently but the rapid growth of the economy relies mainly on exploiting

natural resources such as mining and hydropower. There is a concern over the economic growth rate when the main factors for that economic boost become scarce. In addition, there is a lack of proper environmental protection policies and mechanisms to ensure effective and sustainable natural resource usage. The management and utilization of natural resources in Laos in many cases is still implemented in an unsustainable, wasteful and environmentally unfriendly manner (MIP, 2016). Another concern is the uneven dissemination of development within the country as there is a lack of inclusive social-economic development (MIP, 2016). Laos divides its development into two zones, the lowlands (flat and less mountainous areas) of the south and the uplands (mountainous areas) of the north. The outcome of development efforts seems to benefit the lowlands of the south more than the uplands of the north region (OECD, 2009). There are differences between urban and rural areas, and inter-provincial and inter-regional developments, while the gap between the poor and the rich is still large (MPI, 2016). This means the poverty rate of the country is still high despite continuous decreases. It has been indicated that the poverty rate dropped from 27.6 percent in the fiscal year of 2007-2008 to 23.2 percent in the fiscal year 2012-2013. However, it is estimated that the poverty rate would remain at approximately 20 percent in 2015 (MIP, 2016).

Laos is also struggling to maintain the economic growth rate for many reasons. As mentioned, economic growth is mainly based on resource-based sectors while there is a minimum contribution from sectors such as agriculture or services sectors. The World Bank Group (2017) reported that one third of Laos's economic growth is from the use of the country's natural resources such as water, forest and minerals, while there is minimal contribution from other sectors. The "commercial goods production is not yet developed and diversified and production groups organization is still limited and sensitive to external factors such as goods price changes and international competition" (MPI, 2016). Lacking of quality human resource is one of the major challenges for Lao development. "There are limited human resources, skilled labour development, knowledge and capability among the public and private sector staff, which cannot meet the requirements of the regional and international economic integration" (MPI, 2016). With these conditions, Laos is facing challenges in stabilising economic growth amid the unstable economic situation globally and regionally

In addition, the significant growth of the economy has not translated into the fast growth of the country's development. Many development indicators are still low with slow progress. Human capital development (HDI) is one of the challenges that Laos is facing. HDI is a summary measure for assessing progress in a long and healthy life, access to knowledge and a decent standard of living. The UNDP suggests that Laos HDI rate in 2015 was 0.586. This rate was a promising increase of 47.6 percent when compared to the HDI in 1990, which was 0.397. However, despite having HDI of 0.586 in 2015, HDI Laos is still below the average rate of other countries in the same category, the medium human development category where the HDI rate was 0.631, and the countries in East Asia and the Pacific where the HDI average rate was 0.720 (UNDP, 2016). The figure shows that there is still work to be done in order to continuously increase the HDI rate.

Regarding the Millennium Development Goals (MDGs), Lao achieved a good progress on a number including reducing poverty, hunger, and improving education and health outcomes. However, there are other certain MDGs that still remain off track and are major challenges for the government of Laos. Mother and child health is one of the biggest issues of the development of Laos. Nutrition is an urgent issue that the government needs to address. It is estimated that 44 percent of children under five years old are being stunted. The mortality rate is still high and skilled birth attendants are limited. Achieving gender equality is also another challenge for the development of Laos (World Bank Group, 2017). "Gender inequality is prominent throughout the country...The 2011 GII ranked Lao PDR at 0.513, positioning it 107 out of 146 countries. Statistics illustrate that women face a number of barriers in everyday life" (Kemp, Keenan, Dejevongsa and Schleger, 2012). With the introduction of the Sustainable Development Goals (SDGs), the government of Laos can have better frameworks and mechanisms to monitor and evaluate the progress of the development plan implementation effectively.

4.2. Mining Industry in Laos

The mining sector is recognized by the Government of Laos to be the major contributor for the country's economy and development (Fong-Sam, 2012). The sector plays a significant role for social economic development in Laos. It increases and improves the infrastructure, for local people as well as the government of Laos, and it improves the livelihoods of local people with incomes

and revenue sources. Kyophilvong (nd) states that the mining sector contributes directly to the country development in different ways, such as infrastructure development, promoting the development of small and medium enterprises and creating jobs for local people. There are a number of mining companies registered in Laos but there are two major multinational mining companies, LXML and Phu Bai Mining. LXML operates the Sepon mine in Savannakhet Province and Phu Bai operates the Phu Kham Copper-Gold Operation and Ban Houayxai Gold-Silver Operation in the Vientiane Province (MMG, 2014; PanAust, 2016). In the period of 2011-15, the mining sector achieved the significant production value of 66,746.83 billion kip (equivalent to \$7 billion USD), which exceeded the target of the period by 184.18 percent (MIP, 2016). "In 2013, total trade in Laos' was reported to be \$5.28 billion compared with \$5.32 billion (revised) in 2012. The country's total exports were valued at about \$2.26 billion compared with \$2.27 billion in 2012. The value of all mineral commodity exports amounted to \$899 million (40% of total exports) and that of electricity exports amounted to \$590 million (26% of total exports)" (Fong-Sam, 2016, p. 16.1).

Despite the significant contribution, there are also negative impacts from the mining industry to the communities of Laos. Displacement, migration and environment issues are some of the negative impacts posed by the mining industry. Mining operations require huge areas of land which might result in losing land for people living close to the mineral deposit areas. From 1950 to 1990, millions of people were displaced as a result of the mining industry (Downing, 2002). People living in rural areas depend heavily on natural resources such as land, forests and rivers, and losing their land can pose further difficulties to their livelihoods. "Joblessness, homelessness, marginalization, food insecurity, loss of common lands and resources, increased health risks, social disarticulation, the disruption of formal educational activities, and the loss of civil and human rights" are some of the potential social issues as the result of displacement (Downing, 2002, p. 3). Existing mines in areas where people live could make natural resources such as forest, land and rivers, become scarce for local communities or limit their access to them (Gibson & Rex, 2010). Migration is one of the major issues of mining and this poses considerable disadvantage to the local communities who are living in the areas. One possible significant negative change

as the result of mining is the in-migration and resettlement of people in order to seek advantages and benefit from the mining (Kemp, 2009).

As this sector can contribute to the country's development significantly, and since this can be both negative and positive, to ensure its benefits are shared with the communities, the government of Laos is working hard to strengthen the sector by improving the policy frameworks, laws and regulations in the mining sector. In 2008 the government revised the Minerals Law and introduced the obligation to contribute to the community development fund (CDFs) for the mining business (Earth Systems, 2011).

4.3. Mining Industry and rural development and poverty reduction contribution in Laos

In general, the mining sector has been playing a crucial role in the development of Laos. LXML, who operate the Sepon Mining Operation, for example, has been significantly supporting the local community where they work. "Our mission is to mine to create wealth for our people, host communities and shareholders" (MMG, 2014). LXML allocates a district development fund that is given to the district authority to implement small infrastructure programmes such as small bridges, school buildings and irrigation systems across the district. The company also implements the livelihoods programmes and provides scholarships to young people to study within the country, in Australia and other countries. In 2015, with the support and community development programmes, the Vilaboury district could be removed from the list of poorest districts in Laos. This progress is a great outcome, largely achieved through the employment opportunities at the Sepon Mining Operation and the investments in local infrastructure, health, education, and business development programmes (Michelmore, 2015). Another example of the mining industry's contribution to the country's development is through Phu Bai Mining, one of the two biggest mining companies operating in Laos, which contributes significantly to the community's development in areas where they operate, running communities' development programmes with the aim to help the local community develop sustainable livelihoods, better education, health, infrastructure, and microfinance and small-business development (Panaust, 2016).

MMG and Phu Bia Mining endorse community development as the heart of their business and commitment in order to maintain their social license through

their social responsibility approaches. This can build trust and relationships among all stakeholders as well as share the benefits of the business with the communities impacted by the mining operations. The commitment to share the benefits with the affected communities and the host country has become an additional complementary approach to the traditional social mitigation measures of the mining industry (Earth Systems, 2011).

4.4. LXML as the case study

LXML was selected to be the case study for this research for various reasons. First, the author has personal experience working with LXML in 2008 and 2009. Having worked for the company for two years as a community development coordinator, the relationship between the author and the company, local communities and local authority has been firmly built. From this experience, the wider context and some of the challenges facing the company, including issues facing staff, have also been understood. Secondly, the contribution of the company towards rural development is particularly interesting. LXML has been contributing to the development of Laos as well as different host communities in many different ways. The company set up and provides a community development fund (Trust Fund) annually, implementing community development programmes such improving infrastructure, education and health centres in the Vilabury district (Kemp, Keenan, Dejvongsa and Schleger (2012). Interviewed in November 2016, Participant D, who was from LXML, explained that the company started to contribute to community development in 2004, starting with \$90,000US per year, a contribution which has been increased first to \$250,000, then \$300,000, and \$500,000 per year. For the past four years, the company has been providing funding of \$750,000 per year to the development of Laos and especially in the Savannakhet and Vilabury districts. LXML has also sets up a Village Development Fund where LXML contributes \$120 per household and up to \$15,000 per village per year for big villages and \$12,000 for smaller villages. This money is given to the village for their own development purposes. Joint development programmes with other organisations and NGOs Bennett and PIS and GIZ have also been created and implemented as part of LXML's development contribution to Laos. This variety of strategies provides important information for the research.

In addition, the context of the communities is one of the main reasons for choosing LXML as the case study. As mentioned in the previous chapter, Sepon mine is located in a very remote area of Laos. Communities consist of two major ethnic groups, Phu Thai and Khamu. These two ethnic groups have different perspectives, attitudes and cultures. These differences make private sector contributions to local and community development difficult, and require comprehensive strategies. Therefore, this company has been selected as a case study for these interesting reasons.

4.5. Savannakhet Province (SVK)

Savannakhet Province is located in the central part of Lao PDR, about 470 km southeast of Vientiane Capital. It shares borders with Khammuane Province to the north, Saravan Province to the south, Quang Tri Province of Vietnam to the east and Mukdahan and Nakhon Phanom Provinces of Thailand to the west (IUCN and NERI, 2011). Savannakhet province is one of the largest provinces in Laos with a total area of 21,774 square kilometers divided into 15 districts administrations (Nolintha, 2011). Sharing borders with other provinces of Laos, and also with Vietnam and Thailand, Savannakhet has geographical advantages that attract foreign investment into the province (Nolintha, 2011). The Second Thai-Lao Friendship Bridge across the Mekong River connecting SVK with Mukdahan Province of Thailand was built and opened in 2007 to accommodate and enable transportation and trading between Laos, Thailand and Vietnam.

SVK is rich in natural resources, especially mineral resources such as copper, gold, ceramics, potassium, sodium, and iron. A number of mineral deposits have been found and mined. There are two major mining companies operating their mining in the province – LXML, with the Sepon Gold & Copper Mine of Australian/Chinese investment, and another ceramics mine with Vietnamese investors (IUCN and NERI, 2011). SVK is also one of the districts most affected by UXO contamination, posing significant risk to people's livelihood and a pressing challenge for development in the district, especially for infrastructure development. For example, UXO can increase the cost of a road's construction significantly and also cause fatal accidents to the construction workers and people close to the construction sites.

4.6. Vilabury District

Vilabury is one of the fifteen districts of Savannakhet. Located in the East and around 250 kilometers from the central part of Savannakhet province along the National Route No 9 to the West, Vilabury is one of the more remote and poorer districts of Laos (Figure: 8). As can be seen in figure 8 below, the percentage of people living under the poverty line in 2005 in Vilabury was between 60 and 80% (PRF, nd). In 2004, Vilabury was categorized as one of the 47 poorest districts in Laos, however, after 13 years of development, the district was announced to be able to graduate from one of the poor districts in Laos on 2015 (PRF, 2017). There are approximately 36,000 people living in the district, mostly consisting of Phou-Tai and Mon-Khmer (Makong and Tri) speaking communities. The majority of people in the district earn their livelihood from the farming of both upland and lowland agriculture. Since the operation of mining commenced, Vilabury district has undergone significant change. The presence of the mine means new income sources and livelihoods for local people: “Between 2001 and 2009, the Phou-Tai and Makhong/Tri populations’ annual income rose from US\$80 to over US\$480 and from US\$33 to US\$300” (Kemp, Keenan, Dejevongsa and Schleger, 2012. p. 10). With the income increase, livelihoods and living conditions have been improved. However, the mine also brings some adverse consequences to communities. In-migration, displacement, loss of natural resources (such as forests for foraging), and other social issues are among the social consequences of the mine (Kemp, Keenan, Dejevongsa and Schleger, 2012). The initial project site of the LXML mining operation has mainly impacted Phou-Tai communities. However, the project expansion area also affected the Mon-Khmer speaking communities. The presence of the mine poses both positive and negative impacts to the livelihoods of people in Vilabury district significantly.

Figure 8: Map of Savannakhet Province Poverty Incident

Source: *Poverty Reduction Fund*
http://www.prflaos.org/sites/default/files/Map/Savannakhet_Poverty-Incidence-map.jpg

This chapter provides information about the context of Laos, especially in regard to the development of Laos in the mining industry. It also describes how the private sector, especially the mining industry, plays a significant role in the development of Laos. The next chapter will go into detail over the findings from this research, while the discussion includes comparison between what was found in the field data collection with what has been found from the literature review.

Chapter 5: Findings: the Understandings and Expectations of CSR

This chapter presents and analyses the results from data collection during fieldwork, in particular regarding understandings about the concept of CSR among different stakeholders of the LXML Company. It also explores different expectations of how the company should contribute in order to show social responsibility. It compares participant responses with the literature to see whether there are similarities or differences between Laos and other cases.

The chapter is divided into three sub-sections. The first sub-section will explain how participants define CSR. This information answers the first research sub-question, *“How do different stakeholders, namely development agencies, government (at central and local levels), and communities, understand CSR in Lao PDR?”* Then, in the second section, the chapter examines participants’ perspectives and expectations around the private sector’s role in development, thus answering further sub-research questions, *“what are some differences between the attitudes and expectations around CSR between stakeholders?”* And finally discusses about *“what are the impacts of these different understandings and expectations of CSR in Lao PDR?”* Finally, the last sub-section will analyse the understandings and expectations of different stakeholders of the company with comparison and reflexion to the literature, to provide the insights of the research findings.

5.1. CSR Definition and concept.

From the analysis of the data collected from the fieldwork, it was found that there are different understandings of CSR among different groups of research participants. It can also be seen that the understandings vary depending on the backgrounds, needs and familiarisation of the CSR context of the participants. When asking the question, *In your opinion, what do you think corporate social responsibility (CSR) means?*, most of the answers seem to focus on the activities that the case study company itself has been implementing in order to demonstrate their social responsibility. It also refers to the way the company aims to comply with laws and regulations, as well as the commitment to government rather than to the general (or ‘big’) picture of what CSR means for the private sector.

5.1.1. Government group

Three participants from this group were recruited to represent the government's understanding and perspective of CSR and private sector. The three participants are as follow:

Name in this research	Gender	Position	Working station	From
Participant A	Male	At the level of Head of Department / Division	Ministry of Planning and Investment	Central Government in Vientiane
Participant B	Male	High ranking position	Vilabury District Authority	Local Government in Vilabury
Participant C	Female	High Ranking Position	Vilabury District Authority	Local Government in Vilabury

The discussion in the interviews, it revealed that the participants' understanding of CSR seems to focus on the compliance of laws and regulations as well as the obligations to the government that the company has committed to and the government from the negotiation process for operation permission. In the interview, participant A from the central government explained:

If the company complies with the law and obligations of the country, they can be called a CSR Company. The company shows their social responsibility by implementing their commitments, contributing to the country development and mitigating their impact to the community for example, with the government. (Participant A).

A similar understanding of CSR by the local authority supported the understanding of this central government participant. Participant B, from the local authority, provided similar answers to the same questions, saying that:

Corporate Social Responsibility means the company complies with the law and regulations of the country. To comply with the laws and regulations, they must pay tax and royalties, respect and comply with environment

regulations, create jobs for local people, and support community development such as road renovation and communal building construction, as possible. (Participant B).

On the other hand, while another participant (Participant C) in this group provided similar answers, she expressed additional ideas regarding the definition of CSR in regard to the private sector. Participant C claimed that apart from complying with the law, the company should take social responsibility voluntarily without demands or requests. When asked what or how companies demonstrate their social responsibility, she answered that:

A CSR Company will follow and comply with all obligations and regulations. However, the private sector should also willingly and intentionally support and contribute without further requests and demands. (Participant C).

Participant B further supported this understanding, adding that:

Apart from respecting the laws and regulations, a CSR company should also create jobs for local people, encourage local participation and support local community development such as road construction or renovation and communal building construction such as schools and temples as much as possible. (Participant B).

The understanding of CSR among the government participations seems to focus on the compliance of laws and regulations as well as obligations. The company agrees to an understanding with the government during the negotiation for operation permission, with the understanding that companies are operating to make profit. Without making profit, they would not be willing to spend extra money on something that is not clearly going to benefit their business operations. However, there is also a belief that companies should demonstrate their social responsibility voluntarily, without demands or requests by the government.

5.1.2. Company

To explore the understanding of this group, two staff from LXML were recruited. Two participants were recruited based on their roles and responsibilities, one was from the management group who mainly engaging with stakeholders at

high level and the other was from the implementation group who engaging with local communities involving day-to-day tasks. The two participants are as follows:

Name in this research	Gender	Position	Working station	From
Participant D	Male	High level position in the company management	LXML Head office	Management role
Participant E	Male	High position at the implementation level	Mining operation	Implementation role

The understanding of CSR in the private sector demonstrated by two participants from the company whose details (above) show some similarity to the government participants. And yet their roles come with additional obligations to international requirements, as well as a willingness to undertake additional actions and commitments to society, voluntarily, in order to show social responsibility.

When asked what CSR means, participants from the company replied to the question similarly to the government participants, emphasising that legal compliance and agreement with government was the fundamental aspect of CSR for the company. During the interview, participant D replied to the question about how to define CSR, and what CSR meant, this way:

Everything we do is according to our negotiation with the government. It is not that we want to do that much. However, what we do is based on what we agree and are willing to do after we negotiate with the government and have agreed with what the government proposed. We discuss, negotiate and agree, and then we put everything in the contract between the government and the company. Therefore, we must comply and commit to deliver our commitment. This is how we show our social responsibility.
(Participant D)

It is interesting to note that Participant D mentions the negotiation with the government regarding all aspects of operating the business, including the company's commitment, and that how the company should contribute to community development as a way to show social responsibility was also negotiated, after which, all agreements were included in the contract between the

two parties, government and company. This could be the reason why both company and government participants have a similar understanding, that complying with the laws and regulations, as well as the agreements in the contract, is the main criteria for a CSR company.

In addition, there was another interesting point from the interview of both participants in this group. From the interviews, the two participants raised additional interesting points towards CSR, from two perspectives. Participant D has a management role. This management role has responsibility mainly to articulate policy, make decisions and engage with central and higher authority such as the provincial authority and central government. He answered the question, *In your opinion, what do you think corporate social responsibility (CSR) means?*, that CSR includes collaboration and teamwork among key actors.

CSR is the cooperation between stakeholders. For example, an NGO is doing a programme. The company provides support. The community also participates in the programme. These works must be implemented alongside the support from the government in terms of monitoring and evaluation. (Participant D)

On the other hand, Participant E, whose role involved implementation rather than management, indicated that CSR involves the sharing of benefits, supporting each other, and companies mitigating their impacts on communities. The participant explained that CSR comprises the responsibility and the obligations of the company to mitigate the impact of their business on their community. The participant E said:

CSR is about obligations. However, the company comes here to make profit and they should not be leaving impacts on the community. CSR is about obligations, ethics and responsibility. (Participant E)

Both participants from the company said that complying with the law and obligations would not be enough to call the company a CSR company. There are voluntary actions as well as international criteria that the company should also consider. As participant D said:

Our company is only a good implementer and a good model for other companies in terms of taking care of the local community and as a

development contributor, but we are not yet a CSR company. We can only be a good model or case study of the government in relation to community development, and the contribution to the country's social development. To become a CSR company, we have to become a member of the CSR organisation and comply with all criteria both in terms of social and environmental aspects. (Participant D)

Participant E added support to the idea of a company that should voluntarily support local communities. He said that:

We are in the same place. We live in the same area. Therefore, we should help each other. We live together and we share each other. (Participant E)

Overall, this group of participants understand that CSR is mainly the duty of the company to comply with the law and regulations. However, it is also the responsibility of the company to look after and mitigate the impacts that the company poses to the communities. CSR is more than just complying with the law. It is also the companies' duty to share benefits with the communities..

5.1.3. Community

Two community members from Vilabury district were recruited to form this group of participants. Two participants were selected based on their roles and responsibility within their communities. The two participants are as follow:

Name in this research	Gender	Position	Working station	From
Participant F	Female	Local business owner	Vilabury district	Community
Participant G	Female	Local business owner	Vilabury district	Community

In contrast to both the private sector's and the government's understanding of CSR, the community feels that the company must do more than just complying with the agreements to maintain CSR. Running a business in a country, the minimum obligation of the private sector would be complying with all requests set by the laws and regulations of that country. This is a must, and not an option to be

negotiated. Even local businesses that are small and self-owned must still comply with laws and regulations such as paying tax, being registered and supporting local communities as possible. This is a minimum request across all levels of businesses. Therefore, to take responsibility for society, corporations should do more than just what is stipulated in a contract between the corporation and the government. There is a need to show their merit and willingness to help and support the communities and society as a whole and not just do things as agreed with and requested by governments. In the interview regarding how CSR is both meant and understood, participant F mentioned that:

If they (the company) do what they are required to do by the law and government, they only do it because they must do it. Everyone or every business, big or small, must comply with the laws and regulations. For example, like us, the local business, we also need to pay tax, royalties, and contribute to local communities as per the district's regulations. So, to comply with the obligations in the contract, that would only mean they comply with the law and regulation. It would not mean taking any further responsibility towards society. They would not be able to continue their business and the government would fine and terminate their contract if they do not fulfil their contract obligation. It is the same case for us. If we don't pay tax then the District Finance Office will come and fine us. (Participant F)

Participant F further explained what she understood and thought about how a company should demonstrate their social responsibility thus:

I think that to demonstrate that the company is taking responsibility for communities, they should look at the situation of the communities at that moment and provide help for urgent needs. For example, look at the condition of the road connecting the district to the central province now. You [referring to me, the researcher] can see that the road condition is very bad. It would take almost a day to travel to the central province while it would take only around 2 to 3 hours if the road was good. We asked the company to help fix the road but they said they did all they can (as agreed in the contract) by giving support and contributions to the government, and it was now the government's responsibility to fix the road as agreed between them and the government. So, the company said that it is for the district to take

responsibility for the road, not the company. If the situation continues like this, it would take more than a day to travel to the central province and in case of an emergency such as illness, the patient would have to stay overnight during the transfer from the district to the provincial hospital. So, I think if they take social responsibility, they should willingly fix the road. It would not benefit only the communities, but it would benefit the company as well as they also use this road for their transportation. It would benefit both the communities and the companies themselves. I think this is how the company could show their social responsibility. (Participant F)

From the interview with participant G, a similar point of view towards the social responsibility of the company was mentioned, in that the company needs to show their responsibility by supporting communities dealing with issues that affect the wellbeing of the community as it emerges. They should also look at what people or communities are in need of rather than only referring to their agreement with the government. In the interview, participant G said:

What they agreed with the government sometimes is not what we (the community) want, or it is for everyone, not only for our communities who are close and directly affected by the mine. To take responsibility for the community, they must look at what people in the community need and want and then provide additional supports. If they do things to help communities without being requested to by the government, we can call that the company taking responsibility for the community. But at the moment, I think what they have been doing is because they have a contract and an agreement with the government. If they do not have the contract, they would not do it. The companies support it because they are forced to do so. They come here to generate the income and make profit, so unless forced, they would not want to lose their money. For example: paying tax. Without enforcement by law, no one would want to pay tax. It is the same as me running a business here. Even though my business is small I still need to pay tax as stated in the law of the government. I would not pay tax if I didn't have to and if there were no penalties that applied. (Participant G)

To sum up, participants from the community seem to understand CSR as the company taking additional activities in supporting communities voluntarily and willingly, based on what communities need. It is the additional commitment of the private sector to take responsibility to help, assist and support the communities, to take a lead in solving the unexpected issues which emerge and affect the wellbeing of the communities, rather than only upholding the commitment that the private sector have formally with the government, even if that commitment is about supporting the communities. Participants from the community understood that companies' agreement with the government is the minimum requirement with which the company must comply or they would face a penalty similar to other small businesses. The willingness to take extra actions to support the communities is, therefore, counted as part of the social responsibility of the company.

5.1.4. Development Agency

Finally, the perspective of the development agency was also explored to detect further differences in the understanding of CSR, as well as to have a broader view from a different angle. To explore opinions of CSR from this group, one participant was recruited from this group. This participant was selected based on his role and responsibility as well as his organisation's wider role and status in the development of Laos. His organisation is well-regarded by the government in terms of its contribution to the development of Laos. It is one of the major donors, contributing multi-millions of US dollars to support and assist the development of Laos in different sectors across Laos. This organisation is one of the biggest development partners of Laos in terms of grant aid for development cooperation and humanitarian assistance, and also an important trade partner.

Name in this research	Gender	Position	Working station	From
Participant H	Male	Programme Manager	Vientiane	Development agency

Similar to those in the community group, the participant from the development agency sees CSR as the willing and voluntary act to do more than just comply with laws and regulations. CSR is the willingness and ability to do

more than just what companies are expected to do by the government. During the interview, participant H from the development agency explained that:

CSR is the ability to do more than what is agreed upon between government and companies. It is the willingness to do it, and more importantly that companies volunteer to do it. It should be beyond the obligations under the law, beyond the agreement that a company or private sector has with the government of the country in which they're operating their business. It is the willingness to volunteer to do more. CSR should be voluntary in order to show the company's willingness and their responsibility as a good citizen of the community. We live together so we should share the benefit and help each other. (Participant H)

When asked why the company needs to do more than what is in the contract to be able to claim that they are a CSR company, the participant raised the view that CSR is the ability and commitment of the company to put more effort and resources into taking responsibility for their internal and external stakeholders. Internal stakeholders are their employees and shareholders, while externally they are the society where they operate, including those concerned with any environmental factor that they might have an impact on. During the interview, participant H explained that:

There are two aspects that a CSR corporation must take care of: external and internal aspects. Internally, there is health and safety of their staff and social issues. These would increase their competitiveness and they would become better than others in the same business. Externally it's about crosscutting issues. Becoming an ethical business and contributing back to the community. (Participant H)

In addition during the interview, the participant mentioned that CSR was a new idea, and that there is unclear understanding regarding CSR in Laos. The term CSR is still unclear and explanations vary:

CSR is a new thing and even the government of Laos does not have a clear idea about what CSR actually means. Government would have their own definition and understanding of CSR, which might be different from the

companies'. On the other hand, the community and the private sector would define CSR based on their own interests. (Participant H)

From this perspective, it can be seen that the participant from the development agency group has a similar but wider definition of CSR in respect of the private sector compared to the participants from previous groups. It is the willingness to take responsibility for the impact of company holistically that is crucial. CSR companies are the companies who take responsibility for the wellbeing of their employees as well as that of the societies (including those societies' environments) where they operate their businesses.

Overall, it can be summarised that the different understandings can be categorised into two categories. First involves complying with laws and regulations and doing more than what is agreed and on a voluntary basis. However, it can be drawn from the interviews and the analysis that in the perspectives of different stakeholders of the private sector, CSR is the duty as well as the willingness of the corporation to take responsibility to prevent, manage, and mitigate the negative impacts of their business activities. Second involves their companies' duty to be a good citizen in society. Corporations operate business in and with society and generate their revenue and profits from society. Therefore, as one of that society's members, they should also take responsibility for, and contribute as much as possible to, the development and improvement of society. CSR is the private sector taking responsibility to firstly mitigate their direct or indirect impacts on the community or the society. It is also the responsibility of the private sector to support and contribute to the development of the community.

5.2. Perspectives and expectations of different stakeholders around the private sector role in development:

Regardless of other influences on the way people interpret and digest the information and translated it into their perspectives and expectations, from the data collection it can be seen that different groups of participants have different perspectives and expectations regarding the private sector's implementing CSR in Laos.

5.2.1. Government

Government participants have the view that the private sector ought to comply with laws and regulations, fulfilling the commitments they have made to the government as their top priority. The way a private company shows their social responsibility translates from complying with the country's law. Tax and royalty payments, creating jobs for local people, and contributing to the country's economic growth are expected from the company. As the government focuses on the bigger picture of development rather than individual needs, fulfilling contracted obligations can be called CSR according to the government perspective. Government tries everything to ensure that those in the private sector contribute to the country's development after they make a profit.

Government is responsible for the well being of people in the country. It is the government duty and responsibility to share the benefits generated from the mining projects with the whole country. To ensure this happen, laws, regulations and agreements with the related parties are needed. Therefore, any additional contributions made outside the terms of the contract depends on the merit, willingness and ethicality of the company. Another perspective held by government towards the private sector is that the contribution of company would be made after the business has made a profit and the company has little interest in additional contributions, as these would reduce their profit.

When asked whether the company's contribution to the development of the country should be voluntary or not, participant A responded:

No, no, the company's contribution is not voluntary. It is the agreement and obligation that's included in their contract with the government. The company's contribution is a way to share the benefits of their business with locals and society. To be frank, companies are doing business and doing business is to make profit. No one wants to lose or spend money for things that would not directly related to their businesses if they are not forced to do so. They are businesses and the more benefit they make, the better for them. Contributions are subject to profit generation. If the business could generate profit, they could make the contribution. We make these social contributions their obligation and duty to the government so they must comply when they have made a profit from their business. (Participant A)

To summarise, there are perspectives and expectations that business is for making profit and their ability to contribute depends on their business operation. Without profit they will not be able to make any contribution to society. On the other hand, without proper mechanisms the private sector would not want to spend additional money that would not contribute to profit generation. Therefore, to ensure contributions are made and commitments to social responsibility are met, all aspects need to be included in the contract. Without making profit businesses would not be willing to spend extra money on something that is not clearly to benefit their business operations. Additional contributions would, therefore, depend upon the merit and willingness of the company rather than form a part of their social responsibility.

5.2.2. Company perspectives

Company participants have an expectation of CSR that it is both voluntary and mandatory. Companies need to fulfil their obligations and they should also volunteer to do more. Both participants from LXML stated that their company is doing a good job in taking responsibility for communities and managing their impact on the communities. However, they also mentioned that their companies are not yet doing enough and they must do more. When asked the question, *Do you consider your company is implementing CSR? Why and why not?*, both participants, D and E, provided similar answers and agreed that LXML is doing CSR but still not enough.

When asked about what the company has been doing in terms of supporting the community or the country's development, many activities, especially financial support, was cited from the participants. These are considered as the efforts of company to show social responsibility. However, participants from the company also saw these contributions as legal and regulatory obligations that the company had agreed to fulfil with the government. When asked if the company was making these voluntarily, participant D answered:

The contribution is what we agreed to do after negotiating with the government. Everything we do is according to the contract that we have with the government. The government negotiated with us, and we also agree to do so. This is based on our responsibility to the community that we affect directly. Our company is partially a CSR company and has been

taking good care of the community we affect. We have different development programmes and initiatives to improve livelihoods in those areas which would contribute to achieving the country's development goals. (Participant D)

It is interesting that participants from the company believe that there are endless demands from the community. This is cited as the cause of the company failing to meet community demands, resulting in the company not being seen as a good company that takes full social responsibility. Participant E explained that:

Local communities can have endless demands and needs, leading to increasing expectations which the company needs to manage. Local people always need and want more and more. When we respond to the requests by providing what they ask for, other additional requests would follow. And when we fail to provide as per the request, they would say the company does not take responsibility for the community's needs (Participant E).

To respond to this issue, the company, in negotiation with, and as agreed to by, government, has developed and implemented different community support programmes. During the interview regarding how the company responds to the different requests from central government and local authorities, participant D said that:

We have the Trust Fund where we contribute to the district and provincial development plan. In addition, we also have the Business Development Fund, or we can call it the Village Development Fund where the management of funds is up to the villagers themselves. (Participant D).

Overall, participants representing the private sector have the perspective that CSR is both voluntary and mandatory. The company needs to fulfil its obligations as well as volunteer to respond to the unexpected needs of communities that emerge. In addition, participants from the private sector have the view that seemingly endless demands from stakeholders, especially communities, cannot be fulfilled though they might try to do so. Therefore they would focus on what they can do and which way is the most effective for them.

5.2.3. Community

In contrast with the company, as expected, participants from the community hold the view that the private sector has a moral obligation to willingly volunteer to CSR. To show their social responsibility they must do more than what they must comply with by law according to the agreements they have from their negotiation with the government. It is the minimum obligation of the company to comply with and fulfil the legal agreement with the government. Taking responsibility is more about responding to the needs of people as much as possible and when it is needed. Participants from the community argued that providing support and contributing to community development in order to fulfil what they agreed in the contract could not be considered as taking responsibility for society. The participants believed that without the legal contract, there would not be any contribution to the community by the company.

The company only do what they are supposed to do according to the law, regulations and agreement that they have with the government. They would not do anything in addition. So fulfilling legal obligations does not mean that they are necessarily taking responsibility for society. Rather, it means that they are just fulfilling their obligations since otherwise they would be fined or punished by the government. (Participant F).

It is the perspective of the local communities that the company should respond to the issues affecting local communities when those issues happen, and to acknowledge urgent needs, for example, helping communities to solve the issue of poor road conditions. In addition, they strongly believe that what the company does is only to mitigate and respond to the impacts of their operation. They do not have the sense that the company is contributing to the development of the communities. To the question, *Do you consider what the company is doing is social responsibility?*, participant F responded:

No, they do this because they create the impact on the community, it is not their social responsibility. It is just a way for them to mitigate and compensate the losses of the local people. (Participant F)

Participant F further explained that:

They came here to operate the mining in our communities. Some people have lost the land. Therefore, the company has some programmes to compensate the loss. So, we cannot count this as social responsibility. It is just compensation for what they have taken from us. (Participant F)

This claim raises the interesting point that the communities might perceive that what the company has been doing is compensation and not purely part of their social responsibility. As mentioned in Chapter 4, the existence of the mine could mean lost lands and lost livelihoods for people who were living in the mining target areas, meaning that any contributions to community development and income generation programmes could be seen as one of the mechanisms for compensation to communities.

As anticipated, the expectation of the community contrasts with those of company and government. Communities are more focused on the reality of what is happening in their communities in terms of events that impact on their day-to-day lifestyles and livelihoods, for example, road conditions and income generating activities. With the belief that the company is only making contributions as compensation, so as to fulfil and comply with the law and obligations of the contract, participants from the community hold the perspective that the company is doing nothing to support community but simply compensating communities for what they have lost from the company's operation. And, therefore, the communities expect the company to do more than what they have been doing, and voluntarily rather than because the contract forces them to.

In order to show that they are taking care of the community, the company should look at where the needs are in the area, and provide support to solve those issues rather than just doing what they are told to do by the government and claiming that they have provided support for community needs and development. For example, look at the road, it is in urgent need at the moment, its condition is worse than it has been over the last few years. Remember when you [me, the researcher] were here? The condition was much better than this, right? And what is it now? You see the road is very bad and dusty. It would take a day to travel from here to the central province and if the situation continues, it will take overnight to go there. You

see now, if they take responsibility they should help fix the road because they also use this road for their transportation, and only heavy trucks are used for their transportation. You can see that they are the main cause of road damage but instead of fixing the road they just argue that they provide funding through, and contribute to, the district development fund, which is generally used for the district development as the whole. (Participant F).

Another participant's answer supports this claim:

I think it is their obligation because they have a contract with the government. I think all the funding and support they have provided is the obligation that they have to comply with the contract. If their contribution was made ethically, they should see what is needed now, for example, the roads, and they should provide support to fix them. (Participant G)

5.2.4. Development agencies

Development agencies on the other hand have the perspective that CSR should be both by request as well as voluntary. In addition to complying with the requests of the government, the company should also show their moral and ethical sense of business by supporting and assisting the communities to address urgent issues that impact the communities' wellbeing in order to show and demonstrate their business ethics and moral sense of social responsibility. As to whether CSR should be voluntary or not, participant H replied thus:

In my opinion, CSR is both mandatory and voluntary. It is both complying with the law and volunteering to take a proactive role in contributing to society. Fulfilling obligations is the minimum duty of the company. Then, the company should also do something that can be considered voluntary in order to show their commitment and support to society. Giving something back to society without any requirement or force by legitimization shows that the company is an ethical business. (Participant H).

In addition, the participant from the development agency raised the need for clear understanding and guidelines around the mechanisms of the government, to influence and encourage the private sector to take CSR more seriously. The participant stated that:

Government should also have a clear guideline to promote the voluntary basis of making a contribution to society by the private sector. Guidelines and mechanisms are one of the keys to encouraging the private sector to contribute to CSR willingly. Incentives such as tax exceptions for CSR expenses, acknowledgement from the government and communities, and the promotion of voluntary CSR should be encouraged and supported. (Participant H)

Overall, there is a similar trend of expectations among different groups of participants. Participants from the community and the development agency expect that companies' CSR should be voluntary, while the government has the expectation that the company should comply with all agreements and obligations and that this is enough for them to be called a CSR company. The participants from the company think that the company should also do more than just agree with the government. There are different expectations and understandings of the way a company can demonstrate their social responsibility.

5.3. Analysis and discussion

Different stakeholders have different perspectives and expectations regarding what CSR is and how the private sector contributes to social and economical development, with the private sector and government seeming to have similar perspectives. Fulfilling legal obligations seems to be sufficient for businesses and government to claim that they are CSR companies while doing more than what is in the contract is what CSR means for the community and other organisations. Participants from company and government groups seem to focus on the contribution to the country's development as a whole. This means that a CSR company is one that complies with laws and regulations, and the obligation in their agreement with the aim of increasing social and economic development across the country as a whole. This fits the WBCSD's definition, that "Corporate Social Responsibility is the continuing commitment by business to contribute to economic development while improving the quality of life of the workforce and their families as well as of the community and society at large" (WBCSD, 2000).

In contrast, the community believes that the company which complies with the laws and regulations, and which does what they agreed with the government,

are just fulfilling their contractual obligations. Legal compliance is the obligation that every company must deliver. Therefore, it cannot be claimed as criteria for delivering CSR. Participants from communities insist that if the company does only what is included in the contract, this means they do it in order to fulfil their obligations and hence it cannot be counted as their taking care of the community. They do it because they must deliver on their contractual commitment otherwise the government might fine them for failing to comply with the contract requirements. From the literature review, Archie Carroll, a well-known scholar regarding CSR explains that CSR consists of four parts of responsibilities, the economic responsibility, legal responsibility, ethical responsibility and philanthropic responsibilities (Carroll, 1991). In order to operate, businesses must generate benefit and return to investors, and apply the laws and regulations of the countries in which they operate. It is also believed that fulfilling the requirements of laws and regulations only is not sufficient, and that businesses also need to act ethically and responsively by addressing social and environmental issues. Social responsibility by being a philanthropic company is also one of the important aspects of business operation (Smith, 2011). This claim is similar to the findings of this research. Different participants, especially from the government group, as well as from the company, also mention that CSR means the company needs to share the benefits of their business with local communities.

On the other hand, the perspective of the donor is similar to the community's, with the additional need to volunteer to do more rather than rely on their agreements with the government: Private sector should fulfil their obligations as the basic foundation. To become CSR they should also respond to the need of the communities outside their contract and voluntarily. Corporations, especially large and multinational companies, are expected to do more than fulfilling their legal obligations, regulations and requirements, and making profit; they should provide acceptable workplace conditions, pay higher wages and obey the law, but these are no longer enough to ensure that they are a good corporate enterprise. There are increasing expectations from different stakeholders for the companies to do more than just to fulfil the requirements by law and regulation (Bradshaw and Vogel, 1981). There is mention that apart from complying with laws and regulations, corporations need to volunteer to support and assist with the needs of the communities whenever they can. CSR is both complying with the law as well

as volunteering to do more than is required by laws and agreement with the government. The finding from GIZ supports the idea that there are two dimensions of CSR, internal and external. Internally, CSR is concerned with issues within the corporations such as human resource management (HRM), occupational health and safety (OH&S), change management and the internal environmental and social impacts associated with company operations. The relationships with local communities, business partners, suppliers and consumers as well as human rights issues and global environmental and social impacts from company operations are seen as the external dimensions of CSR. (GIZ and BGR, 2015). "Stakeholders exist both within a firm and outside. The wider aim of social responsibility is to create higher and higher standards of living, while preserving the profitability of the corporation, for peoples both within and outside the corporation." (Hopkins, 2007. p. 15 & 16). This is very similar to what the participant from the development agency explained about CSR and the private sector whereby the participant raised the issue that CSR is the ability of the company to put more effort and resources towards responsibility for their internal and external stakeholders. Internally are their employees and shareholders, while the externally is the society where they operating their business and environmental issues that they might have an impact on.

The insufficient consultation and engagement with related stakeholders can be seen as a result of the different perspectives and expectations that exist between company, government and communities. The expectation of the community regarding to the private sector and CSR seems to be focused on the impacts to their livelihoods as the priority. If the company fails to respond to these needs the company can be blamed for neglecting their responsibility to the community. In this situation, again the bigger picture (country and government needs) opposes community needs. In contrast, additional contributions from the company are seen to be a matter of goodwill and dependent on the merit of the company from the government's perspective. On the other hand, the company might agree to offering extra support, however they may be hesitant as the additional contribution might lead to endless demands and requests, or the companies make lack a mechanism by which to make the contribution. It can be assumed that there was insufficient engagement with other stakeholders, especially the local communities during the contract discussion and negotiation

between government and the company. It seems that the voices and needs of particular local communities have been forgotten or were not sufficiently consulted and integrated to reflect the realities and situations of the particular communities. Insufficient stakeholder engagement and consultation can lead to the conflict and misunderstanding between the different perspectives of stakeholders. People have different needs and expectations, and failing to recognise this important aspect results in difficulties with fulfilling or meeting the needs of crucial stakeholders.

Regarding the Business Excellence Model, businesses would be in a better position when stakeholders' interests are managed and satisfied (Kakabedse and Morsing, 2006). As can be seen from the research, the company can obtain and maintain their operation permission when governments' interests and demands are met. From the research, the government of Laos considers LXML as a CSR company as they comply with their legal obligations as well as the commitments in the contract they have with the government. However, the company is not yet a CSR company when looked at from the other stakeholders' perspectives. There are other aspects of CSR that the company needs to comply with, and not only about laws and regulations. Jonker and Witte (2006) state that all levels of stakeholders should be engaged and the business should link their management to the value of various stakeholders. The key point is the development of competencies and capabilities to connect the business approach with the needs and circumstances of the various stakeholders. It demands a commitment to define relationships between the business and the social context (Jonker and Witte, 2006, p4). From the research, the company seems to focus only on fulfilling the needs and requests of the government, using these as their foundation to claim that the company is a CSR company while acknowledging that there are other important requests and needs that need to be addressed. Even one participant from the company claimed that the company is not yet a "full" CSR company. It needs to do more than just fulfil obligations. According the stakeholder theory, the corporation's responsibility is to create and maximize the wealth of stakeholders. However, the theory does not give priority to which stakeholder is prioritised (Freeman, 2010). Therefore, the main task of managers of corporations has changed from maximizing returns to shareholders to taking responsibility for fulfilling the needs and requirements of all stakeholders. Creating wealth for shareholders alone is no longer adequate for corporations trying to become

successful (Clarkson, 1995). Taking greater account of social and environmental needs as well as financial outcomes would not be enough for corporations as these ignore the interests of other stakeholders (Hopkins, 2007).

The understandings of CSR by different groups of participants, from the information gathered in the field research, can be categorized into three major levels: community level, company and government level, and development agency level. Communities seem to focus on their needs, and CSR would here mean supporting the needs of community regardless of the company's agreement with the government. It can be interpreted from the information that some think CSR should be both voluntary and a requirement. Fulfilling obligations and requests by laws and contracts would not mean full CSR unless the contract negotiation would also reflect the needs of the communities as well as other unexpected issues that might arise after the negotiation process had been completed. Therefore, companies also need to be able to support and contribute to society's urgent needs in a timely manner. As Hopkins (2007) says, "CSR is concerned with treating the stakeholders of the firm ethically or in a responsible manner. 'Ethically or responsible' means treating stakeholders in a manner deemed acceptable in civilized societies." (Hopkins, 2007. p. 16). Doing more than what is in the contract would show the company is ethical, which contributes to the positive reputation of the company.

To conclude, overall, from the research data and the literature review, it can be summarised that CSR can mean the stakeholder management strategy of business. It is about the ways businesses manage their stakeholders at different levels. It is the strategy that businesses can use to create, improve and maintain their relationships with their stakeholders. It is the concerns of how businesses would like their relationships between global corporations, governments of countries and individuals to be. CSR, I think, is also about the understanding of different perspectives and expectations of different stakeholders in the business, and trying to respond and meet all stakeholders' expectations as much as possible. There is no universal understanding and definition of CSR. Businesses should create the mutual understanding of their social responsibility among their key stakeholders by taking all concerns and expectations into consideration. The next chapter will discuss the impacts and challenges resulting from the different understandings and expectations of CSR held among different stakeholders.

Chapter 6. Impacts and challenges of different perspectives and understanding of CSR

This chapter will demonstrate and discuss an analysis regarding the impact and challenges of the different understandings and expectations of CSR. The information provided in this chapter aims to answer the sub-research question, *What are the impacts of these different understandings and expectations of CSR in Lao PDR?* The analysis in this chapter will compare the key findings from the research and literature review in order to identify and highlight the similarities and differences of the impacts and challenges that the case study company is facing, compared to the rest of the world.

Firstly, different perspectives and understanding of CSR can create tensions and misunderstandings between companies and communities. With their different contributions to community supporting programmes, companies would claim that they have been doing so many things for the communities, while the communities would still accuse the company of failing to assist them in addressing the issues affecting the communities. Communities think that the company does not help them fix emergency issues, such as improving the road conditions which negatively affect local communities, and especially those issues that are related to or caused by the company's operation. Failing to respond to emergency and unexpected needs, the company is facing the difficult situation where the community thinks that the company does not do enough to show their support to the community affected by the company's operation. This might also lead to anger, grievances and dissatisfaction within the communities, and end up creating a dispute with the company. There is a risk that the company might lose trust from the community degrading the reputation of the company. This situation is also recognised by one of the participants from the company. The participant said that:

As there is increasing immigration to Vilabury, there are increasing and non-stop expectations from local people which the company must well manage. Sometime, there is competition over land compensation with bigger cities such as Vientiane, Savannakhet, where the compensation is higher. These become significant issues and lead to blocks to compensation. Local people always need and want more and more. When we respond to the requests by providing what they ask for, other additional

requests would follow. And when we fail to provide as per the request, they say the company does not take responsibility for the community's needs. This is the community's dissatisfaction. (Participant D).

It can be seen that there is misunderstanding and disconnection between demand and supply, from what the company is trying to do for the community and how the communities would like the company to support them. Therefore, the company has allocated resources and effort in order to demonstrate their social responsibility. On the other hand, the community seems to focus on their community's wellbeing in terms of emergency issues that affect and make their daily life difficult. Therefore, the communities' accuse the company of failing to take any responsibility for the community's wellbeing.

The different understandings and expectations lead to the difficulty in deciding whose and which needs should be fulfilled first and how these should be fulfilled. Given the different perspectives on show, there will be different needs from different stakeholders. Government would want some things while the communities themselves would demand other things, but whose requirements are more important? During the interviews, participants from the company mentioned that the contrast between the needs of government at the local level and the needs of the community make it difficult to take on all responsibilities. One participant from the company said that:

The expectations between government and local community contrast with each other, which makes implementing our development programme difficult. Government is more concerned with the infrastructure programmes while communities and local people would prefer income generation. We are in the middle and have pressures from both sides. If we do and support what the community needs, the government would tell us that those activities only respond to the needs of a small number of people and that we should look at the bigger picture. On the other hand, when we support the government's development plan, the community would accuse us of not doing anything to support the community and not compensating the communities for the impacts of our business. It is about the "bigger picture of the government versus the smaller picture of community". Overall, we

wish we could support and fulfil the needs of both, but that is not what we can do. (Participant E).

This makes it difficult to decide whose satisfaction should be fulfilled first and foremost, or whose voices are privileged over others. While being used as a good model of social responsibility for the government of Laos, LXML is not yet supporting communities dealing with the most urgent issues affecting the communities. The company is considered by the government a good model of a business that takes good care of communities offering different programmes and support to the communities. One participant from the company provided information regarding the community supporting programmes that the company has been implementing. The participant explained that:

We have different development programmes and initiatives to improve livelihoods in these areas, which would help achieve the country's development goals. Our company started to contribute to community development in 2004 starting with \$90,000US per year. This was used for creating natural food sources such as communal fishponds, building schools and hospitals and skills trainings for local people unable to work with the mine. After a few years we increased the budget to \$250,000 and \$300,000 and reached \$500,000 per year. Now it has increased to \$750,000 per year over the past four years. With this money, now we contribute to improve the district infrastructure such as the school, hospital and roads. Apart from this money, now we have created the Village Development Fund where we contribute \$120 per household and up to \$15,000 per village per year for big villages and \$12,000 for smaller villages. This money is given to the village for their own development purposes. We also have joint development programmes with other organisations and NGOs, such as promoting health issues with Bennett and PIS and microfinance with GIZ. (Participant D).

With all contributions, the company is considered as a good model by which the government can explain to other companies what a moral and ethical company which contributes significantly to the country's development looks like. A

participant from the company explained, when asked how he considered the contribution of the company to the country's development, that:

It would be better for me to refer or use the government comments. The government of Laos said that LXML is categorised as Grade A1 while Phu Bai Mining is only at Grade A. A1 means that in the past local people in the mining areas earned only around \$40 per person per year but now they earn around \$500 to \$600 per person per year. There are about 14,000 people in the "Direct and indirect impact" areas by the mine and there are around 35,000 people in Vilabury district, of which half of them (15,000) are in the impact areas or 6 villages (Participant D)).

However, these contributions seem to be not enough for the communities. The community did not interpret these contributions as the social responsibility of the company. Instead, they were regarded as the way the company tries to comply with laws and regulations, as one of the participants observed. Participants representing the communities expected the company to respond to unexpected issues that posed difficulties to the communities, and which arose from the activities of the company, or in case of emergencies. The long-term community support programmes such as the Trust Fund, Village Fund or local business development are seen as a way for the company to comply with government stipulations. During the interview, one of the community representatives said he thought that:

All contributions that the company made were according to their agreement with government and therefore part of their duty to comply. I think that, ethically, and to truly pay attention to the community's needs, they should also provide assistance to address what are urgent needs, for example helping us to improve the road. They are running a business here and the road is damaged mainly by their transportation. Fixing the road would be a benefit to them as well. But, you can see they do nothing, only saying it is not their responsibility to fix the road. (Participant F).

These situations make it difficult for the company to satisfy both important stakeholders. While doing many things could not satisfy the community, doing just what is agreed in the contract with the government is enough to become a CSR

company from the perspective of government. Additional contributions were regarded as meritorious and ethical, but although beyond what they agreed to do, not enough to necessarily make the business a CSR company. The different understandings and perspectives can lead to a situation where the communities feel that the company is doing many things but not enough, and yet the government holds that doing one thing is more than enough. It was found that the company has done a number of development programmes such as creating the Trust Fund for district development, social and health programmes, and local income generation programmes in order to provide support to the local communities.

There is a challenge and a concern that the company might allow the community to go back to poverty when they come to mine closure in the near future. Therefore there is even more demand for the company to provide more support to the communities, to ensure that the communities will not face difficulty after the company leaves. In the interview with participant G, from the community, she mentioned that:

I wish to see the company doing more to support our communities especially when the company comes close to closing their mining here. If the company close and leave this place, there would be significant impact on the incomes of people in our communities. There are many people working with the mine, many people doing business with the mine. If the mine is closed, there will be a significant reduction in terms of the economy of this area. (Participant G)

It can be assumed that communities have some perception that the company has been providing support to the communities. However, there are some concerns over urgent and emergency issues, as well as the long-term support to the communities. Therefore, there is a demand for more support and assistance from the company.

6.1. Analysis and discussion

Different understanding of CSR creates different criteria for a CSR company. It can affect the development programme's implementation and contribute to confusion whereby communities feel the company does not do enough, yet the government feels that the company doing one thing is more than enough. It also affects the reputation of those in the private sector where the government cited the company as a good model while communities said the company was doing nothing to show they have social responsibility. It is difficult for a company to declare itself as a CSR company as there is no clear goal and directions for the company to follow in order to become or to claim that the company is a CSR Company. When there are different understandings of CSR, each stakeholder would define a CSR company according to their own understanding. This means the private sector is facing different challenges, which will be explained and analysed in the next section.

Different CSR understandings on the part of stakeholders create significant tension between stakeholders in regards to how those in the private sector should demonstrate their social responsibility. Without mutual understanding of what can be expected, what should be negotiated and agreed, and where any limitation lies, responding to emergency issues when they occur becomes difficult. Which body should be responsible when there are emergency issues? Where there are emergency issues, which body should be approached for discussion and assistance? In these situations, it would be difficult for the communities to respond to the emergency issues facing their communities. As a result, the issues are getting worse and worse, without a main body to take action. The tension makes it difficult for the company to identify themselves as a CSR companies or a company that takes care of communities. At the same time, it makes it even more difficult for the communities to find assistance in case of emergency issues. It might affect the company's reputation if there are complaints from the communities and in case of disputes between communities and company.

Another challenge posed as the result of the different understanding and expectations among stakeholders is that the company, or the private sector as a whole, has to put more effort, abilities and resources towards fulfilling different expectations without clear goals and objectives. The major issues are identifying whose perspectives and expectations the company is trying to fulfil, and would that

be enough. There are four different stakeholders whose perspectives should all be used as the standard and benchmark to measure and clarify the social responsibility of the company. Without clear and mutual understanding and expectations, the company would have to use more effort, resources and time to fulfil unlimited demands. Doing many things could still mean they are not doing enough from the community's perspective, while it could mean they are doing more than what they are supposed to do in the government's view. It can be seen that the company has different programmes such as the Trust Fund, where we contribute to the district and provincial development plan, the Village Development Fund, where the management of funds is up to the villagers themselves, as well as a Social Contribution to public social events such as the Outcome Demonstration Exhibition of Ministry of Energy and Power, with Exhibitions held on important days of the year for the country such as National Days etc. This shows that the company has been doing many things without a clear goal to be achieved nor whose satisfactions are to be met from these activities. All of these contributions would be considered as meritorious and a good model for social responsibility in the view of government while they are just doing what the government requests and not intending to solve the community's and society's issues. The company is facing the challenge of deciding which expectation they should devote and allocate limited resources towards. Without clear understanding and mutual expectation, this task could be very difficult and might be impossible for the company.

There is also a challenge in how to improve the relationship and maintain trust with the communities while facing criticism from the communities that they, the company, are irresponsible towards the communities. When all programmes and support are presumed to simply meet the government's request, the community accuses the company of neglecting their own request, hence risking a conflict between community and company.

From the literature review, the lack of trust and different perspectives and attitudes of the stakeholders, especially that of the communities, makes it difficult for the private sector, especially the mining industry, to integrate CSR. This supports the finding that the company is facing difficulty in meeting the demand and expectation of both government and communities. While the government is looking at the bigger picture of the country's development, the communities are more concerned about their living and the impact of the company on their

communities and livelihoods. These two viewpoints pose significant impacts and challenges to the private sector. From the literature, one impact is that there is a significant criticism of CSR: namely, that CSR is not the main mandate of business where the focus is about creating and maximising the financial return and profit for the investor, and therefore CSR is additional work where corporations have to put in more effort and resources without return. CSR was not the main responsibility of the companies who should mainly focus on creating wealth for their shareholders (Vogel, 2005; Maitland, 2004). Smith (2011) claims that CSR creates additional work and responsibility for the corporations. The problematic issue of corporations and CSR integration is that the corporations have to fill that gap between generating financial return and aligning with social norms. On one hand corporations must generate good returns to satisfy their shareholders while on the other hand they are also required to satisfy other related stakeholders (Smith, 2011) whose demands, needs and interests are continuing to increase and could not be ignored. This is supported by the finding that the company is trying to do as much as they can without clearly being able to identify whose expectation they are able to fulfil. Therefore, complying with the obligations and commitments with the government seems to be the best option for them.

The literature review shows that there are other critiques of CSR and the private sector which claims that the private sector takes CSR only on its face value and considering or implementing CSR is just to build their image and reputation rather than to fully consider contributing to and taking full responsibility for societies and communities. Companies take CSR because it was getting harder to refuse, and harder to ignore both the negative environmental impacts from production and the increasing expectations from society toward companies (Hond, Bakker and Neergaard, 2007. p.77). CSR is not the act of business but it is the result of pressure from other stakeholders such as activists, consumers, employees and some investors (Voget, 2005, p13). However, I think this contrasts with my research which found that it is not the pressure from the stakeholders forcing the company to take CSR into their consideration. Instead it is reflected in the willingness of the company, with the push from the government and the impact of their business operation, to contribute voluntarily to social responsibility.

The conception of the literature might come from the different perspectives of different stakeholders and it seems that what the company or private sector is

doing aims for mitigation of the impacts of their business operation. The company seems to well understand the impacts of their business operation to the communities and environment and have been trying different ways to mitigate the impacts. This willingness can be seen as they negotiate their commitment and put everything into their contract with the government which shows their awareness of the impact as well as their commitment to mitigate the impact.

The research also found that it is challenging for the private sector to integrate CSR into their business operation and management. This is similar to the finding from the literature review. From the research it was found that the company is facing difficulties to decide whether it is enough to fulfil the obligations and commitments in the contract or to also provide additional support and contributions to meet the demands of the communities. As the result, the company has ended up doing many different programmes without, or with the minimum, acknowledgment from the communities that the company is showing social responsibility. This supports the idea from the literature review that integrating and implementing CSR can be very challenging, especially for the companies whose businesses are in controversial industries like mining industry (Cramer, 2006). The lack of trust from the communities and environmental protection groups and organizations, mean the mining industry is facing difficulties in integrating CSR. Different perspectives and attitudes towards the mining companies also make it more difficult. On one hand, mining companies come and take away the resources and create the impact on the environment. On the other hand, the companies also want to provide support to the community to improve livelihoods and income generation as well as take care of the environment (Kirsch, 2014). Corporations, especially large and multinational companies, are expected to do more than just fulfil their legal obligations, regulations and requirements and make profit, as providing acceptable workplace conditions, paying higher wages and obeying the law are no longer enough to be a good corporate enterprise. There are increasing expectations from different stakeholders for the companies to do more than just fulfil the requirements by law and regulation (Bradshaw and Vogel, 1981). As a result, companies are trying to improve their business strategy to respond to changing needs and increasing expectations from other stakeholders, and hence CSR is one of the business strategies by which companies differentiate themselves from others (Jamali and Mirshak, 2006).

Without clear and mutual understanding and expectation of what the private sector should contribute in order to show their social responsibility, there will still be conflict and misunderstanding among the different stakeholders in the private sector. This poses significant impacts and challenges to the way businesses operate as well as the way the private sector shows their social responsibility. The research and literature review provides similar trends showing that without a clear explanation to create clear and mutual understanding of CSR among related and associated parties, the issue would still be created and still exist. The different understandings would lead to different perspectives and expectations. This would make it harder for those in the private sector, especially the resources extract industry, to show and take social responsibility into account. Effective and reliable communication mechanisms would mitigate conflict between stakeholder groups and also stabilise trust-building significantly between key stakeholders, an essential element for every stakeholder relationship (Helling-Benze, Kerr, Innes and Clements, 2014).

Chapter 7: Conclusion

This chapter is organised to provide overall conclusion of the thesis, the achievement of the thesis objectives, outcome and implications of the research. It also provides information on how this research contributes to the discussion on CSR in general. Limitations and recommendations for further research, to explore deeply CSR and the private sector in relation to the stakeholder of the private company, are also provided, along with the conclusion and some reflection of the author upon completion of this thesis.

In Laos, CSR is a relatively new concept but it is an increasingly significant and important part of the business where government and businesses themselves are paying more attention. However, there is still unclear and common understanding among key stakeholders, namely, government, business and other related stakeholders such as communities and other organisations. Despite encouraging and promoting CSR, the concept of what CSR is in Laos is still unclear among government and the company itself, and how to define a company as a good CSR company remains difficult (Kakabadse and Morsing, 2006). During the interviews, different participants from different groups communicated that their concepts of CSR are very different. For the government participants, if the company fulfils their obligations in taking responsibility for the communities, that company is a CSR company. This is because the government has discussed and negotiated terms and conditions regarding what companies should contribute to the communities. On the other hand, a CSR company from the perspective of participants from development agencies is that a company should take responsible for the health and safety of their employees and also for the communities and environment where they are operating. Fulfilling legal obligations seems to be sufficient for the business and the government to claim that they are CSR companies, while doing more than what is only in the contract is what CSR means for the community and other organisations.

Two levels of CSR can be drawn from the data. CSR as fulfilling the laws and regulations obligations, and CSR as additional to those requirements by law; both of them can be claimed as CSR but involve different levels of commitment and willingness, and raise an issue around whose needs the company is trying to respond to: government and company management, or community and other

related stakeholders. Integrating and implementing CSR can be very challenging, especially for the companies whose businesses are in controversial industries like mining. With the lack of trust from the communities and environmental protection groups and organizations, the mining industry is facing difficulties in integrating CSR. Different perspectives and attitudes towards the mining companies also make it more difficult. On one hand, mining companies come and take away the resources and create the impact on the environment. On the other hand, the companies also want to provide support to the community to improve livelihoods and income generation as well as take care of the environment (Kirsch, 2014). The different and unclear definitions, perspectives and expectations of individual stakeholders, represented by each participant group, as to the way those in the private sector present their CSR credentials translates into the difficulties and challenges that the company is facing in implementing and contributing to the community development programmes. It is also become the main obstacles to the company when engaging with different stakeholders.

One thing that can be learnt from the research is that different perspectives and expectations are the key influence to determining and clarifying the reason why corporations take social responsibility. From the research it can be seen that it is not only the pressure from the stakeholders, namely government and communities that forced the company to take CSR into their consideration. It is also due to the willingness of the company, with the push from the government and the impact of their business operation, to voluntarily contribute to social responsibility. The conception in the literature might come from the different perspectives of different stakeholders and it seems that what companies or the private sector are doing aim mainly to mitigate the impacts of their business operation. Therefore, without a clear and mutual understanding and expectation of what the private sector should contribute in order to show their social responsibility, there will still be conflict, misunderstanding and different expectations.

Without clear and mutual understanding and expectation of what the private sector should contribute in order to show their social responsibility, there will still be conflict and misunderstanding among the different stakeholders of the private sector. This would post significant impacts and challenges to the way businesses operate as well as the way the private sector shows social responsibility. The

research and literature review provide similar trends showing that without clear explanations to create clear and mutual understanding of CSR among related and associated parties, the issue would still be created and still exist. The different understandings would lead to different perspectives and expectations. The argument whether CSR should or should not be voluntary or should be part of the requirements by law is another issue that makes CSR unclear and this would make it harder for the private sector, especially the resources extract industry, to show and take social responsibility into account.

In summary, the finding from this research provides important evidence of the misunderstood and unclear concept of CSR in Laos. It also shows the difficulty and impact of the different expectations of related stakeholders. Therefore it is significant and useful for related organisations and agencies, especially the policy makers, to take this as the basic information when considering promoting CSR.

7.1 Research Limitation and areas for further exploration

As information from the research comes mainly from participant interviews and deskwork, the data can be based on the perspectives and opinions of the people involved. Different people from different backgrounds would have different opinions towards the same thing (Mark, Woodsong, MacQueen, Guest, & Namey, 2005, p. 2). This research only aims to understand differences of opinion rather than to define what is wrong or what is right regarding the CSR definition. There is “no one size fit all”. It is mainly to raise awareness and to recognise the different understandings, perspectives and expectations among different groups in the hope that holistic responses will be generated. Thus, the finding from this research would only be used to provide some information on the perspectives of some, and not all, different stakeholders involving CSR and the private sector. It should also be used as fundamental information for further research or for initial understanding of the private sector and CSR in Lao PDR.

The research does not consider and go in depth regarding how and what are the influences behind the understanding and expectations of different participants from different groups. Therefore, the understandings and expectations of the participants could or could not differ regarding to the different backgrounds of participants. As well, the research explores the perspectives and understanding of four stakeholders of the private company where there are still other

stakeholders of the private sector such as consumers and investors as well as employees that can impact and influence the business operation of the company. These stakeholders' perspectives and understanding of CSR is worth being examined and understood.

The research used a resource-extracting company whose operation can create significant impacts on the local communities and society as the case study. The level of expectation might be significant as there are loss and compensation aspects that could influence the expectations of participants. Therefore, perspectives and expectations regarding the private sector and its social contributions for other different industries might differ from the findings in this research. Hence, it could be an interesting and worthy experiment, to explore and compare these findings with others to see and understand the differences.

7.2 Conclusion

In my opinion, I think CSR means the way corporations share the wealth with the societies that they directly or indirectly affected. It is the way corporations create a “win-win” situation where most if not all related stakeholders all benefit from the wealth that has been created without, or at least the minimum, trade off. It is the way corporations show good citizenship and ethical perspectives and attitudes. And most importantly, the sharing would be well recognised with the mutual understanding of each other as the fundamental basis. Without a clear and comprehensive policy and practical process to respond to the differences, clear understanding and recognition would be worthless. Therefore, it is also worth exploring the different mechanisms and methodologies to respond to the differences in the expectations of different stakeholders in different industries. This is not for the purpose of creating a single new and effective mechanism that would fit for all circumstances, it is rather to inform and show examples and adapt to the needs of a particular situation.

With those points in mind, the further research that I would like to continue as a result from completing this research, would be to develop and experiment a CSR model suitable for the circumstances of Laos. The model would integrate and consider different factors and the context of Laos such as government policies, human resource, and the cultures and perspectives of different communities. The

focusing on the model would also be appropriate for Small and Medium Enterprises, which would be interesting and highly important for Laos.

In terms of the development study, it is clear that participation from related parties is significant and important in order to drive achievement goals. However, without a clear and mutual understanding of the degree and the meaning of participation, the same level of participation could mean nothing for one party but mean too much for the other. Therefore, the meaning of “participation” is crucial to define, and it must be widely understood: what level of participation is appropriate for development? Reflecting on the alternative model of development, I think this is one of the ways doing development that helps address the needs of people as much as possible. By asking and facilitating the discussion and participation, needs and wants can be identified by the people who face need, rather than by the people who know the solutions based on what they think they know, and because they want to help.

Throughout completing the research, I have enjoyed my research and knowledge accumulation. This research has helped me rethink the concept of participation and contribution in relation to the development of individuals, parties or organisations, in particular that it is not only about contributing to the economic growth, income generation and literacy improvement of a particular country. I think it also involves the contribution to people’s happiness and wellbeing by which people construct their own definition of happiness and wellbeing. It is the willingness and the intention to contribute and participate without being forced. It is the notion of participation and contribution without expecting returns or in service of a hidden agenda. The contribution should not only look at the bigger picture but also think about how to support the small scale. It is also the ability to respond to the immediate needs and desires of people, as the changing of society results in changes in the needs of people. As well as the particular issues and challenges of people facing difficulties, at the same time, different societies have different needs and challenges (reference). The most important aspect is that it involves mutual understanding on, and acknowledgment of, the ability of what a person, party or organisation can do as well as their willingness and limitations.

It is also important to understand and acknowledge that the needs of people and the meaning of development will keep changing in order to adapt, reflect and respond to the changing environment and circumstances. Learning, ideology,

international environment, domestic institutions, constraints and aspirations, and culture of the discipline are the main sources of change in theory and policy prescriptions (Adelman, 1999). The ability to recognise and respond to changes is one of the most important aspects in order to ensure a holistic response to the need is provided and delivered..

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Appendix

Appendix 1:1 Participant Information Sheet

Implications and experiences of Private Sector implementing Cooperate Social Responsibility in Lao PDR: Case study of MMG/Lane Xang Minerals Limited-Sepon Mining Operation

INFORMATION SHEET FOR PARTICIPANTS

Thank you for your interest in this project. Please read this information before deciding whether or not to take part. If you decide to participate, thank you. If you decide not to take part, thank you for considering my request.

Who am I?

My name is *Pisay Souvansay* and I am a *Masters student in Development Study* at Victoria University of Wellington. This research project is work towards my *Master thesis*.

What is the aim of the project?

This project will explore the influence of perspectives of different groups of people to the way private sector is implementing Corporate Social Responsibility (CSR) in Lao PDR. According to the World Business Council for Sustainable Development (WBCSD), "Corporate Social Responsibility is the continuing commitment by business to contribute to economic development while improving the quality of life of the workforce and their families as well as of the community and society at large". The research will examine the attitudes, perspectives and expectation of key stakeholders namely; the company, government, effected communities and development agencies regarding to the role and responsibility of the private sector to the host country development. The research will also identify how these perspectives and expectations impact the strategies of foreign investment engaging in CSR especially regarding to rural development and poverty reduction in Lao PDR.

This research has been approved by the Victoria University of Wellington Human Ethics Committee. Ethics Approval number: 23551.

How can you help?

If you agree to take part I will interview you in a public place, such as a café or where is convenient for you. I will ask you few questions about private sector and corporate social responsibility especially regarding to the implications and experiences of private sector implementing rural development program in Laos. The interview will take between 30 minutes to one hour. I will record the interview and write it up later. You can stop the interview at any time, without giving a reason. You can withdraw from the study up to four weeks after the interview. If you withdraw, the information you provided will be destroyed or returned to you.

What will happen to the information you give?

This research is confidential which means that all information given will be used only for this research and the information providers will not be identified. I will not name you in any reports, and I will not include any information that would identify you. Only my supervisors and I will read the notes or transcript of the interview. The interview transcripts, summaries and any recordings will be kept securely and destroyed 2 years after the research ends.

What will the project produce?

The information from my research will be used in my *Masters thesis*. You will not be identified in my report. I may also use the results of my research for conference presentations, and academic reports. I will take care not to identify you in any presentation or report.

If you accept this invitation, what are your rights as a research participant?

You do not have to accept this invitation if you don't want to. If you do decide to participate, you have the right to:

- choose not to answer any question;
- ask for the recorder to be turned off at any time during the interview;
- withdraw from the study up until four weeks after your interview;
- ask any questions about the study at any time;
- request to receive a copy of your interview recording;
- read over and comment on a written summary of your interview;
- be able to read any reports of this research by emailing the researcher to request a copy.

If you have any questions or problems, who can you contact?

If you have any questions, either now or in the future, please feel free to contact either:

Student:

Name: Pisay Souvansay

University email address:

[\[souvanpisa@myvuw.ac.nz\]](mailto:souvanpisa@myvuw.ac.nz)

Tel: 020 78791516

Supervisor:

Name: Marcela Palomino-Schalscha

Role: Supervisor and lecturer in Human Geography and Development Studies

School: Victoria University of Wellington

Phone: +64 4 4635899

Email: Marcela.Palomino-Schalscha@vuw.ac.nz

Human Ethics Committee information

If you have any concerns about the ethical conduct of the research you may contact the Victoria University HEC Convener: Associate Professor Susan Corbett. Email susan.corbett@vuw.ac.nz or telephone +64-4-463 5480.

Appendix 1:1 Participant Information Sheet (Lao version)

ໃບຂໍ້ມູນກ່ຽວກັບບົດຄົ້ນຄ້ວາສໍາລັບຜູ້ເຂົ້າຮ່ວມ

ຫົວບົດ: ຄວາມໝາຍແລະປະສົບການໃນການດໍາເນີນວຽກງານຄວາມຮັບຜິດຊອບທາງສັງຄົມ ຂອງພາກເອກະຊົນ ໃນ ສປປລາວ: ກໍລະນີສຶກສາຈາກ ບໍລິສັດ ລ້ານຊ້າງມີເນີໂຮນສ ຈຳກັດ - ໂຄງການບໍ່ແຮ່ເຊໂປນ

ຂໍຂອບໃຈທີ່ທ່ານສົນໃຈເຂົ້າຮ່ວມໃນການຄົ້ນຄ້ວາດັ່ງນີ້. ຂໍໃຫ້ທ່ານໄດ້ອ່ານເອກະສານຂໍ້ມູນສະບັບນີ້ ແລ້ວ ຕັດສິນໃຈວ່າທ່ານຈະເຂົ້າຮ່ວມຫຼືບໍ່. ຂໍສະແດງຄວາມຂອບໃຈຖ້າທ່ານຫາກຕັດສິນໃຈເຂົ້າຮ່ວມ ການຄົ້ນ ຄ້ວາ. ຖ້າທ່ານຕັດສິນໃຈບໍ່ເຂົ້າຮ່ວມ, ກໍ່ຂໍສະແດງຄວາມຂອບໃຈທີ່ ທ່ານໄດ້ຮັບຟື້ຈາ ລະນາໃບສະເໜີ ຂອງຂ້າພະເຈົ້າ.

ຂ້າພະເຈົ້າແມ່ນໃຜ?

ຂ້າພະເຈົ້າຊື່ວ່າ ປິໄຊ ສຸວັນໄຊ ເປັນນັກຮຽນປະລິນຍາໂທ ສາຂາ ສຶກສາການພັດທະນາ ຢູ່ທີ່ ມະຫາວິ ທະຍາໄລ ວິກຕໍາເລຍ ນະຄອນຫຼວງເວລລິງຕັນ ປະເທດນີວຊີແລນ. ບົດຄົ້ນຄ້ວາດັ່ງກ່າວນີ້ ແມ່ນບົດປະລິນ ຍານິພົນສໍາລັບປະລິນຍາໂທຂອງຂ້າພະເຈົ້າ.

ເປົ້າໝາຍຂອງບົດຄົ້ນຄ້ວາແມ່ນຫຍັງ?

ບົດຄົ້ນຄ້ວາດັ່ງກ່າວນີ້ຈະຄົ້ນຄ້ວາປັດໃຈດ້ານທັດສະນະຄະຕິຂອງຜູ້ມີສ່ວນຮ່ວມທີ່ແຕກຕ່າງກັນທີ່ມີຕໍ່ຮູບ ແບບແລະວິທີການດໍາເນີນວຽກງານຄວາມຮັບຜິດຊອບຕໍ່ສັງຄົມ (CSR) ຂອງພາກເອກະຊົນ ທີ່ດໍາເນີນໃນ ສປປລາວ. ໂດຍອີງຕາມ ສະພາບທຸລະກິດໂລກເພື່ອການພັດທະນາແບບຍືນຍົງ (World Business Council for Sustainable Development (WBCSD), "ຄວາມຮັບຜິດຊອບຕໍ່ສັງຄົມແມ່ນຄໍາໝັ້ນສັນຍາຂອງພາກທຸລະກິດໃນການປະກອບສ່ວນເຂົ້າໃນການພັດທະ ນາເສດຖະກິດຢ່າງຕໍ່ເນື່ອງໃນຂະນະທີ່ປັບປຸງຊີວິດການເປັນຢູ່ຂອງແຮງງານແລະຄອບຄົວຂອງເຂົາເຈົ້າ ພ້ອມທັງ ຊຸມຊົນແລະສັງຄົມໂດຍລວມ". ການຄົ້ນຄ້ວາຈະສຶກສາມຸມມອງ, ທັດສະນະຄະຕິ ແລະ ຄວາມ ຄາດຫວັງຂອງຜູ້ມີສ່ວນຮ່ວມທີ່ສໍາຄັນຊຶ່ງໄດ້ແກ່: ບໍລິສັດເອງ, ພາກລັດທະບານ, ຊຸມຊົນທີ່ໄດ້ຮັບຜົນກະທົບ ບາດຈາກການດໍາເນີນງານ ແລະ ອົງການຈັດຕັ້ງເພື່ອການພັດທະນາອື່ນໆ ກ່ຽວກັບບົດບາດ ແລະ ຄວາມຮັບ ຜິດຊອບຂອງພາກສ່ວນເອກະຊົນທີ່ມີຕໍ່ການພັດທະນາຂອງປະເທດທີ່ເຂົາເຈົ້າດໍາເນີນງານຢູ່. ບົດຄົ້ນຄ້ວາ ຍັງຈະຊີ້ໃຫ້ເຫັນກ່ຽວກັບທັດສະນະຄະຕິ ແລະ ຄວາມຄາດຫວັງດັ່ງກ່າວນັ້ນສົ່ງຜົນກະທົບຕໍ່ຍຸດທະສາດ ໃນການດໍາເນີນວຽກງານ CSR ໂດຍສະເພາະ ວຽກງານການພັດທະນາຊຸມຊົນ ແລະ ຫຼຸດຜ່ອນຄວາມ ທຸກຈົນຂອງການລົງທຶນຈາກຕ່າງປະເທດ ໃນ ສປປລາວ ນັ້ນມີຄືແນວໃດ.

ບົດຄົ້ນຄ້ວາດັ່ງກ່າວນີ້ໄດ້ຮັບການອະນຸມັດໂດຍ ຄະນະກຳມະການເພື່ອຈັນຍາບັນ ຂອງມະຫາວິທະຍາໄລ ວິກຕໍເລຍ ຂອງເມືອງວິວລິງຕັນ ເລກທີ 23551.

ທ່ານຈະຊ່ວຍຫຍັງໄດ້ແນ່?

ຖ້າທ່ານສົນໃຈເຂົ້າຮ່ວມເປັນສ່ວນໜຶ່ງໃນການຄົ້ນຄ້ວາຂ້າພະເຈົ້າຈະຂໍສຳພາດທ່ານຢູ່ສະຖານທີ່ສາທະລະນະ ທົ່ວໄປເຊັ່ນ ຮ້ານກາເຟ ຫຼື ສະຖານທີ່ສະດວກສຳລັບທ່ານ. ຂ້າພະເຈົ້າຈະຖາມຄຳຖາມກ່ຽວກັບ ພາກສ່ວນເອກະຊົນແລະຄວາມຮັບຜິດຊອບທາງສັງຄົມຂອງພາກເອກະຊົນ ໂດຍສະເພາະທີ່ກ່ຽວກັບ ຄວາມພາຍແພະປະສົບການໃນການດຳເນີນໂຄງການພັດທະນາຊຸມ ນະບົດໃນ ສປປລາວ ມີຄືແນວໃດ. ການສຳພາດຈະໃຊ້ເວລາປະມານ 30ນາທີເຖິງ ໜຶ່ງຊົ່ວໂມງ. ຂ້າພະເຈົ້າຈະຂໍບັນທຶກສຽງຂອງການສົນທະນາແລະຈະຂຽນອອກມາເປັນເອກະ ສານຕາມພາຍຫຼັງ. ທ່ານສາມາດຍຸດການສຳພາດໄດ້ທຸກເວລາ, ໂດຍບໍ່ຈຳເປັນຈະຕ້ອງໃຫ້ ເຫດຜົນໃດໆ. ຖ້າທ່ານຂໍຖອນຕົວອອກຈາກການຄົ້ນຄ້ວາ, ຂໍ້ມູນທີ່ທ່ານ ໃຫ້ກໍຈະຖືກທຳລາຍ ຫຼື ຖືກລົງຄືນໃຫ້ທ່ານ.

ການຄົ້ນຄ້ວາຈະສ້າງຫຍັງອອກມາ?

ຂໍ້ມູນຈາກການຄົ້ນຄ້ວາຂອງຂ້າພະເຈົ້າຈະຖືກນຳໃຊ້ເຂົ້າໃນບົດວິທະຍານິພົນປະລິນຍາໂທ ຂອງຂ້າພະເຈົ້າ. ທ່ານຈະບໍ່ຖືກກ່າວເຖິງໃນບົດລາຍງານດັ່ງກ່າວ. ຂ້າພະເຈົ້າອາດນຳໃຊ້ຜົນໄດ້ຮັບທີ່ໄດ້ຈາກການຄົ້ນຄ້ວາ ດັ່ງກ່າວເຂົ້າໃນການນຳສະເໜີໃນກອງປະຊຸມ ແລະ ໃນບົດລາຍທາງວິຊາການ. ຂ້າພະເຈົ້າຈະຮັບຜິດ ຊອບໃນການປົກປິດສິ່ງຕ່າງໆທີ່ອາດສາມາດບົ່ງຊີເຖິງຕົວທ່ານໃນບົດລາຍງານ ຫຼື ການນຳສະເໜີຕ່າງໆ.

ຖ້າທ່ານຕົກລົງ, ທ່ານຈະມີສິດຫຍັງແນ່ໃນຖານະຜູ້ເຂົ້າຮ່ວມການຄົ້ນຄ້ວາ?

ຖ້າທ່ານບໍ່ຕ້ອງການເຂົ້າຮ່ວມເປັນສ່ວນໜຶ່ງໃນການຄົ້ນຄ້ວາທ່ານສາມາດປະຕິເສດການເຊື່ອເຊີນຄັ້ງນີ້ໄດ້. ແຕ່ຖ້າທ່ານເຫັນດີເຂົ້າຮ່ວມ, ທ່ານກໍ່ມີສິດທີ່ຈະ:

- ເລືອກທີ່ຈະບໍ່ຕອບຄຳຖາມໃດໆກໍ່ໄດ້;
- ຂໍໃຫ້ຢຸດການບັນທຶກສຽງເວລາໃດກໍ່ໄດ້;
- ຖອນໂຕຈາກການຄົ້ນຄ້ວາພາຍໃນໄລຍະເວລາ ສີ່ອາທິດຫຼັງຈາກສຳເລັດການສຳພາດ;
- ຖາມຄຳຖາມກ່ຽວກັບການຄົ້ນຄ້ວາໄດ້ທຸກເວລາ;
- ຂໍສຳເນົາການບັນທຶກສຽງການສຳພາດຂອງທ່ານ (ຖ້າມັນຖືກບັນທຶກສຽງ);
- ອ່ານແລະໃຫ້ຂໍ້ສະເໜີບົດສະຫຼຸບຫຍໍ້ການສຳພາດຂອງທ່ານ;
- ເລືອກຊື່ສຳລັບນຳໃຊ້ແທນຊື່ແທ້ຂອງທ່ານ;
- ສາມາດອ່ານບົດລາຍງານຂອງບົດຄົ້ນຄ້ວານີ້ທຸກອັນໂດຍສິ່ງອີເມວຂໍສຳເນົາບົດລາຍງານ ເຖິງຜູ້ຄົນຄ້ວາ.

ຖ້າທ່ານມີຂໍ້ສົງໄສຫຼືຄໍາຖາມອື່ນໆ, ທ່ານຈະສາມາດຕິດຕໍ່ໄວ້ໄດ້?

ຖ້າທ່ານມີຄໍາຖາມ, ບໍ່ວ່າໃນຕອນນີ້ຫຼືໃນອານາຄົດ, ທ່ານສາມາດຕິດຕໍ່:

<p>ຜູ້ຄົນຄືວ່າ:</p> <p>ຊື່: ປິໂຊ ສຸວັນໄຊ</p> <p>ອີເມວ: souvanpisa@myvuw.ac.nz</p>	<p>ອາຈານທີ່ປຶກສາ:</p> <p>ຊື່: ມາເຊລາ ປາໂລມິໂນ-ຈາວຈາ</p> <p>ຕໍາແໜ່ງ: ອາຈານທີ່ປຶກສາ ແລະ ອາຈານ ສາຂາການສຶກສາດ້ານມະນຸດສາດ, ພູມສາດ ແລະ ການພັດທະນາ</p> <p>ໂຮງຮຽນ: ມະຫາວິທະຍາໄລ ວິກຕໍເລຍ ນະຄອນຫຼວງເວວລິງຕັນ</p> <p>ໂທ: +64 4635899</p> <p>ອີເມວ: Marcela.Palomino-Schalscha@vuw.ac.nz</p>
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ຂໍ້ມູນກ່ຽວກັບຄະນະກຳມະການເພື່ອຈັນຍາບັນ

ຖ້າທ່ານມີຂໍ້ກັງວົນກ່ຽວກັບການປະຕິບັດດ້ານຈັນຍາບັນຂອງການຄົ້ນຄ້ວາ, ທ່ານສາມາດຕິດຕໍ່ຜູ້ຮັບຜິດ ຊອບ
HEC ມະຫາວິທະຍາໄລ ວິກຕໍເລຍ: ຮອງສາດສະດາຈານ ຊູຊານ ຄໍເບັດ. ອີເມວ:
susan.corbett@vuw.ac.nz ຫຼືໂທ +64-4-463 5480

Appendix 2: Participant Consent Form

**Implications and experiences of Private Sector implementing Cooperate Social Responsibility in Lao
PDR:
Case study of MMG/Lane Xang Minerals Limited-Sepon Mining Operation**

CONSENT TO INTERVIEW

This consent form will be held for 2 years.

Researcher: *Pisay Souvansay, School of Geography, Environment and Earth Sciences, Victoria University of Wellington.*

- I have read the Information Sheet and the project has been explained to me. My questions have been answered to my satisfaction. I understand that I can ask further questions at any time.
- I agree to take part in an audio recorded interview.

I understand that:

- I may withdraw from this study up to four weeks after the interview and any information that I have provided will be returned to me or destroyed.
- The information I have provided will be destroyed 2 years after the research is finished.
- Any information I provide will be kept confidential to the researcher and the supervisor. I understand that the results will be used for a *Masters* report and a summary of the results may be used in academic reports and/or presented at conferences.
- My name will not be used in reports, nor will any information that would identify me.
- [OR] I consent to information or opinions which I have given being attributed to me in any reports on this research: Yes ☐ No ☐
- I would like a copy of the transcript of my interview: Yes ☐ No ☐
- I would like a summary of my interview: Yes ☐ No ☐
- I would like to receive a copy of the final report and have added my email address below. Yes ☐ No ☐

Signature of participant: _____

Name of participant: _____

Date: _____

Contact details: _____

Appendix 3.1: Interview Guideline (English)

Private Sector implementing Cooperate Social Responsibility in Lao PDR: Case study of MMG/Lane Xang Minerals Limited-Sepon Mining Operation

Questions for Interview

Government officials

1. What is your role and responsibility in this organisation?
2. How long have you been in this role?
3. Can you briefly explain about the country development goals?
4. Regarding to the government development goals, how can these goals be achieve?
5. How do you think the private sector can contribute to the country development?
6. Have you heart about Corporate Social Responsibility?
 - a. If yes,
 - i. What is your opinion or understanding about the Cooperate Social Responsibility or (CSR)?
 - b. If No
 - i. What do you think CSR is?
7. Do you think are there any companies that are implementing CSR in Laos?
Can you give some example of companies that doing CSR and why you consider them as the company that implementing CSR?
8. Do you think CSR should be mandatory or voluntary?
9. In your opinion, does the Lao Government have any specific or particular requirement for private sector regarding to the contribution to country/local community development?
10. What are the government policies, obligation or strategies in order to promote or encourage private sector contribute to the rural development?
 - a. If a company implementing rural development program as required by government, do you think they are taking CSR into account?
 - b. How does an organisation/private sector show their social responsibility?
 - c. What should they do more or less?
11. Do you measure the result of the contribution?
 - a. If yes, how did you measure?
 - b. If not, how do you know the effectiveness of your programs?
 - c. How contribution of company is reported?
12. Would you consider private sector implementing CSR is contributing to the country's achievement of country development goals?

13. Do you think there are any differences between the role of private sector implementing CSR and other development agencies like donors, NGOs or CSOs? Why and why not?
14. are there any linkages between MGD, SDG or Aid Effectiveness and private sector?
 - a. If yes, what are they?
 - b. If no, do you think private sector should or should not taking the International declaration on Aid Effectiveness for example the Paris, Busan Declarations into account?
15. Public and Private Partnership concept has been mentioned for many occasions, could you provide some information about this concept?
 - a. Can you define this partnership?
 - b. How it should be implement?
 - c. Who is doing what?
16. In general, what is your opinion regarding to the role and responsibility of private sector in order to support the government to achieve the country development goal?
17. In your opinion, what could be done in order to encourage private sector to contribute to the country development goal?
18. Do you any comments or additional suggestion?

Company participants

1. What is your role and responsibility in the company?
2. How long have you been in this role?
3. Can you explain about what your company is doing regarding to contributing to the community development?
4. In order to do this do your company have to have plan or strategies?
 - a. Can you explain what is the goal of this strategy and how you will achieve it?
5. Do you measure the result of your contribution?
 - a. If yes, how did you measure?
 - b. If not, how do you know the effectiveness of your programs?
6. Apart from what you planning to implement annually, are there any additional requests for contribution from government or communities?
 - a. How did you manage these requests?
 - b. Are there any impacts on your planning or strategies?
7. Do you have any difficulties or challenges in implementing development programs?
 - a. What are they and what is the most challenge?
 - b. How you manage those challenges?
8. How do you think about your company role and responsibility for the country development?
9. Have you heart about Corporate Social Responsibility?
 - a. If yes,
 - i. What is your opinion or understanding about the Cooperate Social Responsibility or (CSR)?
 - b. If No
 - i. What do you think CSR is?

10. Do you consider your company is implementing CSR? Why and why not?
 - a. If yes, can you talk about previous experiences of your company in implementing CSR?
 - b. What are they and are there any challenges or any convenient and why?
11. Do you think CSR should be mandatory or voluntary? Why?
12. Does Government have any priorities or particular requirements for private sector regarding to the contribution to country/local community development?
13. What do you think are the advantages of having government policy to guide the company CSR policy?
14. What do you think about country achieving poverty reduction goal and private sector?
 - a. Would you consider your company or private sector is contributing to the country's achievement of country development goals?
15. As you are funding and doing development programs, do you think there are any differences between the role of private sector implementing CSR and other development agencies like donors, NGOs or CSOs? Why and why not?
16. What is your opinion about government ownership on development program or Aid Effectiveness? Do you think private sector should or should not consider International declarations?
17. Public and Private Partnership concept has been mentioned for many occasions, could you provide some information about this concept?
 - a. Can you define this partnership?
 - b. How it should be implement?
 - c. Who should do what?
18. In general, what is your opinion regarding to the role and responsibility of private sector in order to support the government to achieve the country development goal?
19. In your opinion, what could be done in order to encourage other private sector to contribute to the country development goal?
20. Do you any comments or additional suggestion?

Development Agencies

1. What is your role and responsibility in this organisation?
2. How long have you been in this role?
3. What do you think about the progress of Lao country development?
4. What is your opinion about the role and responsibility of private sector regarding to the country development?
5. What do you think private sector can do in order to contribute to the country development?
6. Have you heard about Corporate Social Responsibility?
 - a. If yes,
 - i. What is your opinion or understanding about the Corporate Social Responsibility or (CSR)?
 - b. If No
 - i. What do you think CSR is?

7. Do you think are there any companies that are implementing CSR in Laos?
Can you give some example of companies that doing CSR and why you consider them as the company that implementing CSR?
8. Do you think CSR is mandatory or voluntary for private sector?
9. What do you think private sector can/should do if they are taking CSR into account?
10. Do you think there are any differences between the role of private sector implementing CSR and other development agencies like donors, NGOs or CSOs? Why and why not?
11. What is your opinion about government ownership on development program or Aid Effectiveness?
12. Do you think private sector should or should not consider the principles of International declarations for example Ownership, Partnership or cooperation?
13. In general, what is your opinion regarding to the role and responsibility of private sector in order to support the government to achieve the country development goal?
14. In your opinion, what could be done in order to encourage private sector to contribute to the development goal achievement?
15. Do you have any comments or additional suggestion?

Local Communities

1. What is your role and responsibility?
2. How long have you been in this role?
3. In your opinion, what do you want to see it happens or to have in your community in the next 5 years?
 - a. In your opinion, what government role and responsibility to your community development?
 - b. In your opinion, what the company (Lane Xang Minerals) or private sector role and responsibility to your community development?
4. Is there any contribution or support from the company (Lane Xang Minerals) to your communities or to your business?
5. Why do you think the company (Lane Xang Minerals) should provide support to the communities?
6. Do you think what the company (Lane Xang Minerals) doing is part of their responsibility to the community?
 - a. Do you think they are doing enough in order to contribute to the development of your communities?
 - b. If no, what do you think they can do more?
 - c.
7. Have you or your communities requested for any supports/funding from company?
 - a. If yes, what are they?
 - i. Do you receive any supports?
 - b. If no, why?
8. Do you think what the company (Lane Xang Minerals) is doing is mandatory or voluntary?

9. Do you think company contribute to or implement rural development program as to fulfil their obligation of the law or policy?
10. How does an organisation/private sector show their social responsibility? What should they do more or less?
11. Compare the company (Lane Xang Minerals) to other NGOs who are doing development program here, do you think they are different or similar? Why and why not?
12. In general, what is your opinion regarding to the role and responsibility of private sector in order to support the government to achieve the country development goal?
13. In your opinion, what could be done in order to encourage private sector to contribute to the development goal achievement?
14. Do you any comments or additional suggestion?

Appendix 3.2: Interview Guideline (Lao versions)

ຄວາມຮັບຜິດຊອບທາງສັງຄົມຂອງພາກເອກະຊົນໃນ ສປປລາວ: ກໍ
ລະນິສຶກສາຈາກ ບໍລິສັດ ລ້ານຊ້າງມີເນີໂຣນສ ຈຳກັດ - ໂຄງການບໍ່ແຮ່ເຊໂປນ

ຄໍາຖາມສຳພາດ

ຜູ້ເຂົ້າຮ່ວມຈາກພາກລັດ

1. ໜ້າທີ່ແລະຄວາມຮັບຜິດຊອບຂອງທ່ານໃນອົງການຈັດຕັ້ງນີ້ແມ່ນຫຍັງ?
2. ທ່ານເຮັດວຽກນີ້ມາດົນປານໃດແລ້ວ?
3. ຂໍໃຫ້ທ່ານກະລຸນາອະທິບາຍໂດຍຫຍໍ້ກ່ຽວກັບເປົ້າໝາຍການພັດທະນາປະເທດ?
4. ເປົ້າໝາຍດັ່ງກ່າວມານັ້ນຈະສຳເລັດໄດ້ແນວໃດ?
5. ທ່ານຄິດວ່າ ພາກເອກະຊົນສາມາດປະກອບສ່ວນແນວໃດໃນການບັນລຸເປົ້າໝາຍການພັດທະນາຂອງ ປະເທດດັ່ງກ່າວ?
6. ທ່ານເຄີຍໄດ້ຮູ້ຈັກແນວຄວາມຄິດກ່ຽວກັບວຽກງານການຮັບຜິດຊອບທາງສັງຄົມຂອງພາກເອກະຊົນ ຫຼືບໍ່?
 - a. ເຄີຍ
 - i. ທ່ານມີຄວາມເຫັນ ຫຼື ຄວາມເຂົ້າໃຈແນວໃດ ກ່ຽວກັບ CSR?
 - b. ບໍ່ເຄີຍ
 - i. ທ່ານຄິດວ່າ CSR ມັນຄວນເປັນແນວໃດ?
7. ທ່ານຄິດວ່າ ມີບໍລິສັດໃດທີ່ກຳລັງດຳເນີນວຽກງານ CSR ໃນ ສປປລາວ? ກະລຸນາໃຫ້ຕົວຢ່າງໂຄງການທີ່ເຂົາເຈົ້າເຮັດ ແລະ ເປັນຫຍັງທ່ານຈຶ່ງຄິດວ່າເຂົາເຈົ້າກຳລັງຈັດຕັ້ງປະຕິບັດ CSR ຢູ່?
8. ທ່ານຄິດວ່າ CSR ຄວນເປັນການບັງຄັບ ຫຼື ຄວາມເປັນການສະໝັກໃຈເຮັດ?
9. ໃນຄວາມຄິດຂອງທ່ານ, ລັດທະບານ ສປປລາວ ມີຂໍ້ຮຽກຮ້ອງສະເພາະຫຼືພິເສດໃດບໍ່ຕໍ່ກັບການປະກອບສ່ວນເຂົ້າໃນການພັດທະນາຊຸມນະບົດຂອງພາກເອກະຊົນ?
10. ນະໂຍບາຍ, ຂໍ້ຮຽກຮ້ອງຫຼືຍຸດທະສາດຕ່າງໆເພື່ອສົ່ງເສີມຫຼືຊຸກຍູ້ໃຫ້ພາກສ່ວນເອກະຊົນໄດ້ປະກອບສ່ວນເຂົ້າໃນການພັດທະນາຊຸມນະບົດມີຫຍັງແນ່?

- a. ທ່ານຄິດວ່າ ບໍລິສັດທີ່ດຳເນີນໂຄງການພັດທະນາຊຸມນະບົດຫຼືປະກອບສ່ວນເຂົ້າ
ໃນການພັດທະນາຊຸມນະບົດ ຕາມການຮຽກຮ້ອງຂອງລັດຖະບານ ແມ່ນການດຳເນີນ
CSR ຫຼືບໍ່?
 - b. ທ່ານຄິດວ່າ ພາກເອກະຊົນຈະສາມາດສະແດງໃຫ້ເຫັນການຮັບເອົາ CSR
ເຂົ້າໃນການດຳເນີນທຸລະກິດຂອງເຂົາເຈົ້າຄືແນວໃດ?
11. ລັດຖະບານໄດ້ມີການວັດແທກຜົນໄດ້ຮັບຂອງການປະກອບສ່ວນຄືແນວໃດ?
 - a. ຖ້າມີ, ທ່ານວັດແທກຄືແນວໃດ?
 - b. ບໍ່ມີ, ທ່ານຮູ້ຄວາມມີປະສິດທິພາບຂອງໂຄງການຄືແນວໃດ?
 - c. ພາກເອກະຊົນໄດ້ລາຍງານການປະກອບສ່ວນຂອງເຂົາຄືແນວໃດ?
12. ທ່ານຄິດວ່າການດຳເນີນວຽກງານ CSR ຂອງພາກເອກະຊົນນັ້ນແມ່ນການປະກອບສ່ວນ
ເຂົ້າໃນການບັນລຸເປົ້າໝາຍການພັດທະນາຂອງປະເທດຫຼືບໍ່?
13. ທ່ານຄິດວ່າບົດບາດຂອງພາກເອກະຊົນທີ່ດຳເນີນວຽກງານ CSR ມີຄວາມແຕກຕ່າງ
ຈາກບົດບາດຂອງອົງການຈັດຕັ້ງເຊັ່ນ ຜູ້ໃຫ້ທຶນ, NGOs ຫຼື ອົງການຈັດຕັ້ງມະຫາຊົນ ຫຼືບໍ່?
ເປັນຫຍັງ?
14. ທ່ານຄິດວ່າ MDGs, SDG ຫຼື ຄວາມມີປະສິດທິພາບຂອງການໃຫ້ທຶນຊ່ວຍເຫຼືອ
ມີສ່ວນພົວພັນຫຍັງກັບພາກເອກະຊົນຫຼືບໍ່?
 - a. ເປັນຫຍັງ?
 - b. ທ່ານຄິດວ່າພາກເອກະຊົນຄວນພິຈາລະນານຳໃຊ້ຫຼັກການຄວາມມີປະສິດທິພາບ
ຂອງການໃຫ້ທຶນຊ່ວຍເຫຼືອຫຼືບໍ່?
15. ແນວຄວາມຄິດດ້ານ ການຮ່ວມມືພາກລັດແລະເອກະຊົນ ໄດ້ຖືກກ່າວເຖິງເປັນປະຈຳ
ທ່ານພໍໃຫ້ຂໍ້ມູນກ່ຽວກັບແນວຄວາມຄິດນີ້ໄດ້ບໍ່?
 - a. ການຮ່ວມມືແມ່ນຫຍັງ?
 - b. ການຈັດຕັ້ງປະຕິບັດຄວນເປັນແນວໃດ?
 - c. ພາກສ່ວນໃດຄວນເຮັດຫຍັງ?
16. ໂດຍທົ່ວໄປແລ້ວ,
ເພື່ອເປັນການປະກອບສ່ວນສະໜັບສະໜູນພາກລັດໃນການບັນລຸເປົ້າໝາຍ
ການພັດທະນາປະເທດນັ້ນ ທ່ານຄິດວ່າບົດບາດ ແລະ ຄວາມຮັບຜິດ ຊອບຂອງພາກເອກະຊົນ
ຄວນມີຄືແນວໃດ?
17. ໃນຄວາມຄິດຂອງທ່ານ, ເຮັດແນວໃດຈຶ່ງຈະສາມາດຊຸກຍູ້ແລະລົງເສີມໃຫ້ພາກເອກະຊົນ
ໄດ້ປະກອບສ່ວນໃນການບັນລຸເປົ້າໝາຍຂອງການພັດທະນາປະເທດໃຫ້ສູງຂຶ້ນ?
18. ທ່ານມີຄຳເຫັນຫຼືຂໍ້ມູນເພີ່ມເຕີມອື່ນໆ ບໍ່?

ຜູ້ເຂົ້າຮ່ວມຈາກພາກເອກະຊົນ

1. ໜ້າທີ່ແລະຄວາມຮັບຜິດຊອບຂອງທ່ານໃນອົງການຈັດຕັ້ງນີ້ແມ່ນຫຍັງ?
2. ທ່ານເຮັດວຽກນີ້ມາດົນປານໃດແລ້ວ?
3. ກະລຸນາອະທິບາຍໂດຍຫຍໍ້ກ່ຽວກັບກິດຈະກຳທີ່ບໍລິສັດຂອງທ່ານໄດ້ດຳເນີນຫຼືກຳລັງດຳເນີນງານ ທີ່ເປັນການປະກອບສ່ວນເຂົ້າໃນການພັດທະນາຊຸມຊົນ?
4. ເພື່ອດຳເນີນວຽກງານຕ່າງໆເຫຼົ່ານີ້ບໍລິສັດຂອງທ່ານໄດ້ວາງແຜນແລະຍຸດທະສາດຕ່າງໆບໍ່?
 - a. ເປົ້າໝາຍຂອງຍຸດທະສາດດັ່ງກ່າວແມ່ນຫຍັງ ແລະ ທ່ານຈະບັນລຸເປົ້າໝາຍໄດ້ຄືແນວໃດ?
5. ທ່ານໄດ້ວັດແທກຜົນໄດ້ຮັບຂອງການປະກອບສ່ວນດັ່ງກ່າວບໍ່?
 - a. ໄດ້ເຮັດ, ທ່ານວັດແທກຄືແນວໃດ?
 - b. ບໍ່ໄດ້ເຮັດ, ທ່ານສາມາດຮູ້ວ່າວຽກງານດັ່ງກ່າວມີປະສິດທິພາບໄດ້ຄືແນວໃດ?
6. ນອກຈາກໂຄງການຕ່າງໆທີ່ທ່ານໄດ້ວາງແຜນເຮັດແລ້ວ, ທາງພາກລັດໄດ້ສະເໜີຂໍການຊ່ວຍເຫຼືອຫຼືການສະໜັບສະໜູນເພີ່ມເຕີມອື່ນໆ ອີກບໍ່?
 - a. ຖ້າມີ, ທ່ານສາມາດຈັດການກັບການສະເໜີເພີ່ມເຕີມດັ່ງກ່າວຄືແນວໃດ?
 - b. ມັນໄດ້ສົ່ງຜົນກະທົບຫຍັງຕໍ່ກັບແຜນງານຫຼືຍຸດທະສາດທີ່ທ່ານໄດ້ວາງໄວ້ບໍ່?
7. ທ່ານມີຂໍ້ສະດວກ ຫຼື ຂໍ້ຫຍຸ້ງຍາກໃນການດຳເນີນແຜນງານການພັດທະນາຕ່າງໆນັ້ນຄືແນວໃດ?
 - a. ແມ່ນຫຍັງທີ່ເປັນສິ່ງທ້າທາຍທີ່ຫຍຸ້ງຍາກທີ່ສຸດ?
 - b. ທ່ານຈັດການກັບສິ່ງທ້າທາຍນັ້ນຄືແນວໃດ?
8. ທ່ານຄິດວ່າບົດບາດແລະພາລະໜ້າທີ່ ໃນການປະກອບສ່ວນເຂົ້າໃນການພັດທະນາ ປະເທດຂອງບໍລິສັດຂອງທ່ານແມ່ນຫຍັງ?
9. ທ່ານເຄີຍໄດ້ຖືກຮັບຮູ້ແນວຄວາມຄິດກ່ຽວກັບວຽກງານການຮັບຜິດຊອບທາງສັງຄົມຂອງພາກເອກະຊົນ CSR ບໍ່?
 - a. ເຄີຍ
 - i. ທ່ານມີຄວາມເຫັນ ຫຼື ຄວາມເຂົ້າໃຈແນວໃດ ກ່ຽວກັບ CSR?
 - b. ບໍ່ເຄີຍ
 - i. ທ່ານຄິດວ່າ CSR ມັນຄວນເປັນແນວໃດ?
10. ທ່ານຄິດວ່າບໍລິສັດຂອງທ່ານແມ່ນບໍລິສັດທີ່ດຳເນີນວຽກງານ CSR ຫຼືບໍ່? ເປັນຫຍັງ?
 - a. ໃຫ້ທ່ານຍົກຕົວຢ່າງກ່ຽວກັບວຽກງານ CSR ທີ່ບໍລິສັດທ່ານໄດ້ດຳເນີນງານມາ
 - b. ມີຂໍ້ສະດວກແລະຂໍ້ຫຍຸ້ງຍາກຄືແນວໃດ?
11. ທ່ານຄິດວ່າ CSR ຄວນເປັນການບັງຄັບ ຫຼື ຄວາມເປັນການສະໝັກໃຈເຮັດ?
12. ໃນຄວາມຄິດຂອງທ່ານ, ລັດທະບານ ມີຂໍ້ຮຽກຮ້ອງ ຫຼື ຂໍ້ກຳນົດສະເພາະຫຼືພິເສດໃດບໍ່ຕໍ່ກັບວຽກງານ CSR ຂອງພາກເອກະຊົນ?

13. ທ່ານຄິດວ່າ ຖ້າລັດຖະບານມີນະໂຍບາຍຫຼືຍຸດທະສາດກ່ຽວກັບ CSR ມັນຈະສົ່ງຜົນຕໍ່
ຫຍັງແນ່ນອນທີ່ບໍລິສັດ ຫຼື ພາກສ່ວນເອກະຊົນ?
14. ທ່ານຄິດແນວໃດກ່ຽວກັບການບັນລຸເປົ້າໝາຍການພັດທະນາຂອງປະເທດ ແລະ
ພາກສ່ວນເອກະຊົນ?
 - a. ທ່ານຄິດວ່າບໍລິສັດ ຫຼື ພາກສ່ວນເອກະຊົນກຳລັງປະກອບສ່ວນໃນການບັນລຸ
ເປົ້າໝາຍພັດທະນາດັ່ງກ່າວບໍ່?
15. ໃນຖານະທີ່ບໍລິສັດຂອງທ່ານໄດ້ໃຫ້ທຶນແລະດຳເນີນໂຄງການພັດທະນາຊຸມນະບົດ,
ທ່ານຄິດວ່າ ບົດບາດ ແລະ ຄວາມຮັບຜິດຊອບຂອງບໍລິສັດຂອງທ່ານມີຄວາມແຕກຕ່າງ
ຈາກອົງການເພື່ອການພັດທະນາອື່ນໆເຊັ່ນ ຜູ້ໃຫ້ທຶນ, NGOs ຫຼືອົງການຈັດຕັ້ງມະຫາຊົນ ບໍ່?
16. ທ່ານຄິດແນວໃດກັບຫຼັກການດ້ານຄວາມເປັນເຈົ້າການ ຢູ່ໃນສົນທິສັນຍາການພັດທະນາ ຫຼື
ຄວາມມີປະສິດທິພາບຂອງທຶນຊ່ວຍເຫຼືອ?
 - a. ທ່ານຄິດວ່າພາກສ່ວນເອກະຊົນຄວນພິຈາລະນານຳໃຊ້ມັນບໍ່?
17. ແນວຄວາມຄິດດ້ານ ການຮ່ວມມືພາກລັດແລະເອກະຊົນ ໄດ້ຖືກກ່າວເຖິງເປັນປະຈຳ
ທ່ານພໍໃຫ້ຂໍ້ມູນກ່ຽວກັບແນວຄວາມຄິດນີ້ໄດ້ບໍ່?
 - a. ການຮ່ວມມືແມ່ນຫຍັງ?
 - b. ການຈັດຕັ້ງປະຕິບັດຄວນເປັນແນວໃດ?
 - c. ພາກສ່ວນໃດຄວນເຮັດຫຍັງ?
18. ໂດຍທົ່ວໄປແລ້ວ, ເພື່ອເປັນການປະກອບສ່ວນສະໜັບສະໜູນພາກລັດໃນການບັນລຸ
ເປົ້າໝາຍການພັດທະນາປະເທດນັ້ນ ທ່ານຄິດວ່າບົດບາດ ແລະ ຄວາມຮັບຜິດ
ຊອບຂອງພາກເອກະຊົນ ຄວນມີຄືແນວໃດ?
19. ໃນຄວາມຄິດຂອງທ່ານ, ເຮັດແນວໃດຈຶ່ງຈະສາມາດຊຸກຍູ້ແລະສົ່ງເສີມໃຫ້ພາກເອກະຊົນ
ໄດ້ປະກອບສ່ວນໃນການບັນລຸເປົ້າໝາຍຂອງການພັດທະນາປະເທດໃຫ້ສູງຂຶ້ນ?
20. ທ່ານມີຄຳເຫັນຫຼືຂໍ້ມູນເພີ່ມເຕີມອື່ນໆ ບໍ່?

ຜູ້ເຂົ້າຮ່ວມຈາກອົງການຈັດຕັ້ງເພື່ອການພັດທະນາ

1. ໜ້າທີ່ແລະຄວາມຮັບຜິດຊອບຂອງທ່ານໃນອົງການຈັດຕັ້ງນີ້ແມ່ນຫຍັງ?
2. ທ່ານເຮັດວຽກນີ້ມາດົນປານໃດແລ້ວ?
3. ທ່ານຄິດແນວໃດກ່ຽວກັບຄວາມຄືບໜ້າຂອງ ການພັດທະນາໃນລາວ?
4. ທ່ານຄິດແນວໃດກ່ຽວກັບບົດບາດແລະຄວາມຮັບຜິດຊອບໃນການພັດທະນາປະເທດ
ຂອງພາກສ່ວນເອກະຊົນ?
5. ທ່ານຄິດວ່າພາກເອກະຊົນສາມາດເຮັດຫຍັງໄດ້ແນ່ນອນເພື່ອເປັນການປະກອບສ່ວນເຂົ້າໃນການພັດທະນາປະເທດ?

6. ທ່ານເຄີຍໄດ້ຮັບຮູ້ແນວຄວາມຄິດກ່ຽວກັບວຽກງານການຮັບຜິດຊອບທາງສັງຄົມຂອງພາກເອກະຊົນ ບໍ່?
 - a. ເຄີຍ
 - i. ທ່ານມີຄວາມເຫັນ ຫຼື ຄວາມເຂົ້າໃຈແນວໃດ ກ່ຽວກັບ CSR?
 - b. ບໍ່ເຄີຍ
 - i. ທ່ານຄິດວ່າ CSR ມັນຄວນເປັນແນວໃດ?
7. ທ່ານຄິດວ່າ ມີບໍລິສັດໃດທີ່ກຳລັງດຳເນີນວຽກງານ CSR ໃນ ສປປລາວ? ກະລຸນາໃຫ້ຕົວຢ່າງໂຄງການທີ່ເຂົາເຈົ້າເຮັດ ແລະ ເປັນຫຍັງທ່ານຈຶ່ງຄິດວ່າເຂົາເຈົ້າກຳລັງຈັດຕັ້ງປະຕິບັດ CSR ຢູ່?
8. ທ່ານຄິດວ່າ CSR ຄວນເປັນການບັງຄັບ ຫຼື ຄວາມເປັນການສະໝັກໃຈເຮັດ?
9. ທ່ານຄິດວ່າ ບໍລິສັດຫຼືພາກເອກະຊົນຄວນປະຕິບັດຄືແນວໃດ ເພື່ອເຮັດໃຫ້ບໍລິສັດເຂົາເຈົ້າກາຍເປັນບໍລິສັດທີ່ດຳເນີນວຽກງານ CSR?
10. ທ່ານຄິດວ່າບົດບາດຂອງພາກເອກະຊົນທີ່ດຳເນີນວຽກງານ CSR ມີຄວາມແຕກຕ່າງຈາກບົດບາດຂອງອົງການຈັດຕັ້ງເຊັ່ນ ຜູ້ໃຫ້ທຶນ, NGOs ຫຼື ອົງການຈັດຕັ້ງມະຫາຊົນ ຫຼືບໍ່? ເປັນຫຍັງ?
11. ທ່ານຄິດແນວໃດກ່ຽວກັບ ຄວາມເປັນເຈົ້າການໃນການພັດທະນາຂອງພາກລັດ ຫຼື ດ້ານຄວາມມີປະສິດທິພາບຂອງການໃຫ້ທຶນຊ່ວຍເຫຼືອ?
12. ທ່ານຄິດວ່າພາກເອກະຊົນຄວນພິຈາລະນາຫຼັກການຂອງສົນທິສັນຍາສາກົນເຊັ່ນ ຄວາມເປັນເຈົ້າການ, ການຮ່ວມມື ຫຼື ການປະສານງານ ຫຼືບໍ່?
13. ໂດຍທົ່ວໄປແລ້ວ, ເພື່ອເປັນການປະກອບສ່ວນສະໜັບສະໜູນພາກລັດໃນການບັນລຸເປົ້າໝາຍການພັດທະນາປະເທດນັ້ນ ທ່ານຄິດວ່າບົດບາດ ແລະ ຄວາມຮັບຜິດຊອບຂອງພາກເອກະຊົນ ຄວນມີຄືແນວໃດ?
14. ໃນຄວາມຄິດຂອງທ່ານ, ເຮັດແນວໃດຈຶ່ງຈະສາມາດຊຸກຍູ້ແລະສົ່ງເສີມໃຫ້ພາກເອກະຊົນໄດ້ປະກອບສ່ວນໃນການບັນລຸເປົ້າໝາຍຂອງການພັດທະນາປະເທດໃຫ້ສູງຂຶ້ນ?
15. ທ່ານມີຄຳເຫັນຫຼືຂໍ້ມູນເພີ່ມເຕີມອື່ນໆ ບໍ່?

ຜູ້ເຂົ້າຮ່ວມຈາກຊຸມຊົນ

1. ໜ້າທີ່ແລະຄວາມຮັບຜິດຊອບຂອງທ່ານໃນອົງການຈັດຕັ້ງນີ້ແມ່ນຫຍັງ?
2. ທ່ານເຮັດວຽກນີ້ມາດົນປານໃດແລ້ວ?
3. ໃນອີກ 5ປີທາງໜ້າ ທ່ານຢາກເຫັນຫຍັງເກີດຂຶ້ນຫຼືຢາກໃຫ້ຊຸມຊົນຂອງທ່ານມີຫຍັງແນ່?

- a. ໃນຄວາມຄິດຂອງທ່ານ,
ໜ້າທີ່ແລະຄວາມຮັບຜິດຊອບຂອງພາກລັດຕໍ່ການພັດທະນາ
ຂອງຊຸມຊົນຂອງທ່ານມີຫຍັງແນ່?
- b. ໃນຄວາມຄິດຂອງທ່ານ,
ໜ້າທີ່ແລະຄວາມຮັບຜິດຊອບຂອງບໍລິສັດຫຼືພາກເອກະຊົນ ຕໍ່ການພັດທະນາ
ຂອງຊຸມຊົນຂອງທ່ານມີຫຍັງແນ່?
4. ບໍລິສັດໄດ້ໃຫ້ການສະໜັບສະໜູນຫຍັງບໍ່ໃຫ້ແກ່ການພັດທະນາໃນຊຸມຊົນຂອງທ່ານ?
5. ເປັນຫຍັງທ່ານຈຶ່ງຄິດວ່າບໍລິສັດຄວນໃຫ້ການສະໜັບສະໜູນແກ່ຊຸມຊົນຂອງທ່ານ?
6. ທ່ານຄິດວ່າສິ່ງທີ່ບໍລິສັດກຳລັງເຮັດຢູ່ນີ້ເປັນສ່ວນໜຶ່ງຂອງຄວາມຮັບຜິດຊອບຕໍ່ຊຸມຊົນຂອງທ່ານ ຫຼືບໍ່?
 - a. ທ່ານຄິດວ່າສິ່ງທີ່ບໍລິສັດໄດ້ເຮັດຜ່ານມານັ້ນມັນພຽງພໍແລ້ວຫຼືຍັງ?
 - b. ຖ້າຍັງ, ບໍລິສັດຄວນເຮັດຫຍັງເພີ່ມເຕີມອີກ?
7. ນອກຈາກທີ່ບໍລິສັດໄດ້ເຮັດແລ້ວ ທ່ານໄດ້ສະເໜີຂໍການຊ່ວຍເຫຼືອຫຼືສະໜັບສະໜູນ
ອື່ນໆເພີ່ມເຕີມຈາກບໍລິສັດຫຼືບໍ່?
 - a. ແມ່ນຫຍັງ?
 - i. ທ່ານໄດ້ຮັບຫຼືບໍ່?
 - b. ຖ້າບໍ່ມີເປັນຫຍັງ?
8. ທ່ານຄິດວ່າສິ່ງທີ່ບໍລິສັດກຳລັງເຮັດຢູ່ແມ່ນຍ້ອນປະຕິບັດຕາມຂໍສັນຍາຫຼືຍ້ອນຄວາມສະໝັກໃສຂອງບໍລິສັດເອງ?
9. ທ່ານຄິດວ່າ ທີ່ບໍລິສັດ ໄດ້ປະກອບສ່ວນ ຫຼື
ໄດ້ຈັດຕັ້ງປະຕິບັດໂຄງການພັດທະນາຊຸມຊົນຕ່າງໆ
ຜ່ານມານັ້ນແມ່ນເພື່ອປະຕິບັດຕາມນະໂຍບາຍຫຼືຂໍ້ຜູ້ມັດໃນສັນຍາຫຼືຕາມກົດໝາຍ ຫຼືບໍ່?
10. ທ່ານຄິດວ່າບໍລິສັດຄວນເຮັດຫຍັງເພີ່ມຫຼືລຸດ?
11. ໂດຍສົມທຽບບໍລິສັດແລະອົງການຈັດຕັ້ງເພື່ອການພັດທະນາອື່ນໆ ທ່ານຄິດວ່າບົດບາດ
ແລະ ຄວາມຮັບຜິດຊອບມີຄວາມແຕກຕ່າງກັນບໍ່? ເປັນຫຍັງ?
12. ໂດຍທົ່ວໄປແລ້ວ, ເພື່ອເປັນການປະກອບສ່ວນສະໜັບສະໜູນພາກລັດໃນການບັນລຸ
ເປົ້າໝາຍການພັດທະນາປະເທດນັ້ນ ທ່ານຄິດວ່າບົດບາດ ແລະ ຄວາມຮັບຜິດ
ຊອບຂອງພາກເອກະຊົນ ຄວນມີຄືແນວໃດ?
13. ໃນຄວາມຄິດຂອງທ່ານ, ເຮັດແນວໃດຈຶ່ງຈະສາມາດຊຸກຍູ້ແລະລົງເສີມໃຫ້ພາກເອກະຊົນ
ໄດ້ປະກອບສ່ວນໃນການບັນລຸເປົ້າໝາຍຂອງການພັດທະນາປະເທດໃຫ້ສູງຂຶ້ນ?
14. ທ່ານມີຄຳເຫັນຫຼືຂໍ້ມູນເພີ່ມເຕີມອື່ນໆ ບໍ່?

Appendix 4: Ethics Approval

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MEMORANDUM

TO	Pisay Souvansay
COPY TO	Dr Marcela Palomino-Schalscha
FROM	AProf Susan Corbett, Convener, Human Ethics Committee
DATE	9 November 2016
PAGES	1
SUBJECT	Ethics Approval: 23551 Implications and experiences of Private Sector implementing Corporate Social Responsibility in Lao PDR: Case study of MMG/Lane Xang Minerals Limited-Sepon Mining Operation

Thank you for your application for ethical approval, which has now been considered by the Standing Committee of the Human Ethics Committee.

Your application has been approved from the above date and this approval continues until 14 August 2017. If your data collection is not completed by this date you should apply to the Human Ethics Committee for an extension to this approval.

Best wishes with the research.

Kind regards

Susan Corbett
Convener, Victoria University Human Ethics Committee