

## APPENDIX

### CLASSIFICATION OF PUBLICATIONS ACCORDING TO THE INTEGRATIVE FRAMEWORK

#### FROM COMPANY-ADMINISTERED GRIEVANCE PROCESSES FOR EXTERNAL STAKEHOLDERS: A MEANS FOR EFFECTIVE REMEDY, COMMUNITY RELATIONS, OR PRIVATE POWER?

BY BEN GRAMA

This online supplement provides an overview of how each of the publications on company-administered grievance processes (CGPs) for external stakeholders referred to in the main article was categorized. This integrative literature review covers 117 publications: eighty-three articles, twenty-five book sections, and nine books. Publications are categorized as “effective remedy” if they (a) state that CGPs provide remedy and (b) accept that CGPs are appropriate forums for providing remedy. Publications are categorized as “community relations” if they (a) state that CGPs are an engagement tool, a means of conflict management, part of company-community agreement making and/or a means to foster a social license to operate and (b) accept that CGPs are an appropriate means of doing so. Publications are categorized in “private power” if they (a) state that CGPs, or private governance generally, can be a conscious *use* of power to pursue corporate interests and/or a means to stifle community mobilization, resistance, and/or agency and (b) they do not believe this problem can be resolved by improved company-driven practices.

Twenty-eight publications—sixteen articles, nine book sections, and three books—are included as *solely* “effective remedy” publications. Thirty-nine publications—thirty-four articles, three book sections, and two books—are included as *solely* “community relations” publications. Fifteen publications—ten articles, two book sections, and three books—are included as *solely* “private power” publications. Three articles and one book section are additionally included in both “effective remedy” and “community relations,” and one article is additionally included in “effective remedy” and “private power.” Nineteen articles, ten book sections, and one book do not meet any of the above perspectives’ criteria, and they are categorized as “other.”

The table below breaks this distinction down by publication, including the author(s), the type of publication, the short title of the publication, the journal or book it was published in (if relevant), the classification of the journal (if relevant), the year of publication, and its categorization according to the perspectives above. The relevant journal classifications are as follows: “Business Ethics & CSR,” “Development,” “Environmental Studies,” “Human Rights,” “Law,” “Natural Resources & Extractives,” and “Other.”

Author(s)	Type	Short Title	Publication	Journal classification	Year	Perspective on CGPs
<b>Adeola &amp; Adeola</b>	Article	The Extractive Sector and Corporate Social Responsibility	Communicatio	Other	2019	Community Relations
<b>Adjei &amp; Overå</b>	Article	Opposing Discourses on the Offshore Coexistence of the Petroleum Industry and Small-scale Fisheries in Ghana	Extractive Industries and Society	Natural Resources & Extractives	2019	Community Relations
<b>Baumgartner &amp; Bansal</b>	Book Section	Travel and Tourism	Götzmann, <i>Handbook on Human Rights Impact Assessment</i>		2019	Other
<b>Bertrand &amp; Tovar</b>	Book Section	Máxima Acuña	Bravo, Martin & Van Ho, <i>When Business Harms Human Rights</i>		2020	Other
<b>Black</b>	Book	The Social Licence to Operate: Your Management Framework for Complex Times	-	-	2017	Community Relations
<b>Boele &amp; Crispin</b>	Article	What Direction for Human Rights Impact Assessments?	Impact Assessment and Project Appraisal	Environmental Studies	2013	Other
<b>Bradshaw &amp; McElroy</b>	Book Section	Company–community Agreements in the Mining Sector	Louche and Hebb, <i>Socially Responsible Investment in the 21st Century</i>		2014	Community Relations
<b>Bruckner</b>	Article	Community Development Agreements in Mining Projects	Denver Journal of International Law and Policy	Law	2015	Community Relations
<b>Burton &amp; Onguglo</b>	Book Section	Disconnected Development Worlds	Filer & Le Meur, <i>Large-scale mines and local-level politics</i>		2017	Community Relations
<b>Cedillo</b>	Article	Better Access to Remedy in Company	Dovens Schmidt Quarterly	Business Ethics & CSR	2013	Effective Remedy/Community Relations
<b>Chinowawa</b>	Book Section	Taming the Dragon	Bravo, Martin & Van Ho, <i>When Business Harms Human Rights</i>		2020	Effective Remedy

Author(s)	Type	Short Title	Publication	Journal classification	Year	Perspective on CGPs
<b>Conde &amp; Le Billon</b>	Article	Why Do Some Communities Resist Mining Projects While Others Do Not?	Extractive Industries and Society	Natural Resources & Extractives	2017	Private Power
<b>Coumans</b>	Article	Do No Harm?	Canadian Journal of Development Studies	Development	2017	Private Power
<b>Coumans</b>	Article	Minding the “Governance Gaps”	Extractive Industries and Society	Natural Resources & Extractives	2019	Private Power
<b>Coumans</b>	Book Section	The “Shooting Fields of Porgera Joint Venture”	Pijpers & Eriksen, <i>Mining Encounters</i>		2019	Private Power
<b>Degnet, van der Werf, Ingram &amp; Wessler</b>	Article	Do Locals Have a Say?	Forests	Natural Resources & Extractives	2020	Community Relations
<b>Dickinson</b>	Article	Regulating the Privatized Security Industry	Emory Law Journal	Law	2013	Effective Remedy
<b>Doyle</b>	Book Section	Indigenous Peoples' Rights	Götzmann, <i>Handbook on Human Rights Impact Assessment</i>		2019	Other
<b>Eijsbouts</b>	Book Section	Mediation as Management Tool in Corporate Governance	Goldsmith, Ingun-Housz & Pointon, <i>ADR in Business</i>		2011	Other
<b>Esteves, Factor, Vanclay, Götzmann &amp; Moreira</b>	Article	Adapting Social Impact Assessment to Address a Project's Human Rights Impacts and Risks	Environmental Impact Assessment Review	Environmental Studies	2017	Other
<b>Farah</b>	Book Section	Toward a Multi-Directional Approach to Corporate Accountability	Michalowski, <i>Corporate Accountability in the Context of Transitional Justice</i>		2014	Effective Remedy
<b>Farah &amp; Makhoul</b>	Book Section	Access to an Effective Remedy in Business-related Human Rights Violations in the Context of Oil and Gas Disputes	Leal-Arcas & Wouters, <i>Research Handbook on EU Energy Law and Policy</i>		2017	Effective Remedy

Author(s)	Type	Short Title	Publication	Journal classification	Year	Perspective on CGPs
<b>Franks, Davis, Bebbington, Ali, Kemp &amp; Scurrah</b>	Article	Conflict Translates Environmental and Social Risk into Business Costs	Proceedings of the National Academy of Sciences	Other	2017	Community Relations
<b>Gamu &amp; Dauvergne</b>	Article	The Slow Violence of Corporate Social Responsibility	Third World Quarterly	Other	2018	Private Power
<b>Genovese</b>	Book Section	Access to Remedy	Baumann-Pauly & Nolan, <i>Business and Human Rights</i>		2016	Effective Remedy
<b>Giannini</b>	Book Section	Political Legitimacy and Private Governance of Human Rights	Voeneke & Neuman, <i>Human Rights, Democracy, and Legitimacy in a World of Disorder</i>		2018	Private Power
<b>Goodland</b>	Article	Responsible Mining	Sustainability	Environmental Studies	2012	Community Relations
<b>Götzmann</b>	Article	Human Rights Impact Assessment of Business Activities	Business and Human Rights Journal	Human Rights	2017	Other
<b>Graf &amp; Iff</b>	Article	Respecting Human Rights in Conflict Regions	Business and Human Rights Journal	Human Rights	2017	Effective Remedy
<b>Gulakov &amp; Vanclay</b>	Article	Social Impact Assessment and Stakeholder Engagement in the Russian Federation	Environmental Impact Assessment Review	Environmental Studies	2019	Community Relations
<b>Gulakov, Vanclay, Ignatev &amp; Arts</b>	Article	Challenges in Meeting International Standards in Undertaking Social Impact Assessment in Russia	Environmental Impact Assessment Review	Environmental Studies	2020	Community Relations
<b>Hanna &amp; Vanclay</b>	Article	Human Rights, Indigenous Peoples and the Concept of Free, Prior and Informed Consent	Impact Assessment and Project Appraisal	Environmental Studies	2013	Other
<b>Hanna, Vanclay, Langdon &amp; Arts</b>	Article	Conceptualizing Social Protest and the Significance of Protest Actions to Large Projects	Extractive Industries and Society	Natural Resources & Extractives	2016	Community Relations

Author(s)	Type	Short Title	Publication	Journal classification	Year	Perspective on CGPs
<b>Hanna, Vanclay, Langdon &amp; Arts</b>	Article	Improving the Effectiveness of Impact Assessment Pertaining to Indigenous Peoples in the Brazilian Environmental Licensing Procedure	Environmental Impact Assessment Review	Environmental Studies	2014	Other
<b>Hatcher</b>	Article	Global Norm Domestication and Selective Compliance	Environmental Policy & Governance	Environmental Studies	2020	Private Power
<b>Häusler, Lukas, Planitzer, Paisán Ruiz &amp; Yiannibas</b>	Book Section	Non-judicial Remedies	Juan José Álvarez & Yiannibas, <i>Human Rights in Business</i>		2017	Effective Remedy
<b>Hertel</b>	Book	Tethered Fates: Companies, Communities, and Rights at Stake	-	-	2019	Private Power
<b>Hill &amp; Lilywhite</b>	Article	The United Nations ‘Protect, Respect and Remedy’ Framework	Extractive Industries and Society	Natural Resources & Extractives	2015	Effective Remedy
<b>Hoelscher &amp; Rustad</b>	Article	CSR and Social Conflict in the Brazilian Extractive Sector	Conflict, Security & Development	Development	2019	Community Relations
<b>Idemudia &amp; Osayande</b>	Article	Assessing the Effect of Corporate Social Responsibility on Community Development in the Niger Delta	Community Development Journal	Development	2018	Community Relations
<b>Jesse &amp; Koppe</b>	Article	Business Enterprises and the Environment	Dovens Schmidt Quarterly	Business Ethics & CSR	2013	Other
<b>Jijelava &amp; Vanclay</b>	Article	Legitimacy, Credibility and Trust as the Key Components of a Social Licence to Operate	Journal of Cleaner Production	Environmental Studies	2017	Community Relations
<b>Jos</b>	Article	Access to Remedies and the Emerging Ethical Dilemmas	Brazilian Journal of International Law	Law	2018	Effective Remedy
<b>Joyce, Sairinen &amp; Vanclay</b>	Book Section	Using Social Impact Assessment to Achieve Better Outcomes for	Lodhia, <i>Mining and sustainable development</i>		2018	Effective Remedy

Author(s)	Type	Short Title	Publication	Journal classification	Year	Perspective on CGPs
		Communities and Mining Companies				
<b>Kapelus, Richards &amp; Sherwin</b>	Book Section	Conflict-sensitive Impact Assessment	Vanclay & Esteves, <i>New Directions in Social Impact Assessment</i>		2011	Community Relations
<b>Keenan</b>	Article	Evidence-Based Stakeholder Engagement	Indiana Journal of Law and Social Equality	Law	2015	Community Relations
<b>Kemp &amp; Owen</b>	Article	Community Relations and Mining	Resources Policy	Natural Resources & Extractives	2013	Community Relations
<b>Kemp &amp; Owen</b>	Article	Grievance Handling at a Foreign-owned Mine in Southeast Asia	Extractive Industries and Society	Natural Resources & Extractives	2017	Community Relations
<b>Kemp &amp; Vanclay</b>	Article	Human Rights and Impact Assessment	Impact Assessment and Project Appraisal	Environmental Studies	2013	Other
<b>Kemp, Owen, Götzmann &amp; Bond</b>	Article	Just Relations and Company	Journal of Business Ethics	Business Ethics & CSR	2011	Community Relations
<b>Knuckey &amp; Jenkin</b>	Article	Company-created Remedy Mechanisms for Serious Human Rights Abuses	International Journal of Human Rights	Human Rights	2015	Effective Remedy/ Private Power
<b>Laidlaw</b>	Book Section	Myth or Promise?	Taddeo & Floridi, <i>The Responsibilities of Online Service Providers</i>		2017	Effective Remedy/ Community Relations
<b>Lambooy, Argyrou &amp; Varner</b>	Book Section	An Analysis and Practical Application of the Guiding Principles on Providing Remedies	Deva & Bilchitz, <i>Human rights obligations of business</i>		2013	Effective Remedy
<b>Land</b>	Book Section	Regulating Private Harms Online	Jorgensen, <i>Human Rights in the Age of Platforms</i>		2019	Other

Author(s)	Type	Short Title	Publication	Journal classification	Year	Perspective on CGPs
<b>Larsen, Dimaano and Pido</b>	Article	Can the Wrongs be Righted?	Development and Change	Development	2018	Private Power
<b>Lauwo, Kyriacou &amp; Otusanya</b>	Article	When Sorry is Not an Option	Critical Perspectives on Accounting	Other	2020	Other
<b>Lawrence</b>	Article	Equator Principles	Impact Assessment and Project Appraisal	Environmental Studies	2009	Community Relations
<b>Leonard</b>	Book	Life in the Time of Oil: A Pipeline and Poverty in Chad	-	-	2016	Private Power
<b>Lindsay, McCorquodale, Blecher, Bonnitcha, Crockett &amp; Sheppard</b>	Article	Human Rights Responsibilities in the Oil and Gas Sector	Journal of World Energy Law & Business	Law	2013	Effective Remedy
<b>Lukas, Linder, Kutrzeba &amp; Sprenger</b>	Book	Corporate Accountability: The Role and Impact of Non-judicial Grievance Mechanisms	-	-	2016	Effective Remedy
<b>Maher, Monciardini &amp; Böhm</b>	Article	Torn between Legal Claiming and Privatized Remedy	Business Ethics Quarterly	Business Ethics & CSR	2020	Private Power
<b>Manning</b>	Article	Intersectionality in Resource Extraction	International Feminist Journal of Politics	Other	2016	Private Power
<b>Mares</b>	Book Section	Disruption and Institutional Development	Feichtner, Krajewski & Roesch, <i>Human Rights in the Extractive Industries</i>		2019	Other
<b>Mbilima</b>	Article	Extractive Industries and Local Sustainable Development in Zambia	Resources Policy	Natural Resources & Extractives	2019	Community Relations
<b>McPhail &amp; Adams</b>	Article	Corporate Respect for Human Rights	Accounting, Auditing & Accountability Journal	Other	2016	Other

Author(s)	Type	Short Title	Publication	Journal classification	Year	Perspective on CGPs
<b>Morgera</b>	Book	Corporate Accountability in International Environmental Law	-	-	2020	Other
<b>Narváez González &amp; Valencia</b>	Article	Improving Human Rights in the Private Security Industry	Business and Human Rights Journal	Human Rights	2019	Effective Remedy
<b>Newton</b>	Book	The Business of Human Rights: Best Practice and the UN Guiding Principles	-	-	2019	Effective Remedy
<b>Nordensvard, Urban &amp; Mang</b>	Article	Social Innovation and Chinese Overseas Hydropower Dams	Sustainable Development	Development	2015	Other
<b>Ong</b>	Article	From International to Transnational Environmental Law	Nordic Journal of International Law	Law	2010	Other
<b>Ong</b>	Article	Public Accountability for Private International Financing of Natural Resource Development Projects	Nordic Journal of International Law	Law	2016	Other
<b>Owen</b>	Article	Social License and the Fear of Mineras Interruptus	Geoforum	Other	2016	Community Relations
<b>Owen &amp; Kemp</b>	Book	Extractive Relations: Countervailing Power and the Global Mining Industry	-	-	2017	Private Power
<b>Page</b>	Article	Just Compensation	New York University Journal of International Law and Politics	Law	2017	Effective Remedy
<b>Parasibu, Vanclay &amp; Zhao</b>	Article	Challenges to Implementing Socially-Sustainable Community Development in Oil Palm and Forestry Operations in Indonesia	Land	Environmental Studies	2020	Community Relations
<b>Paré and Chong</b>	Article	Human Rights Violations and Canadian Mining Companies	International Journal of Human Rights	Human Rights	2017	Effective Remedy



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<b>Poncian</b>	Article	Extractive Resource Ownership and the Subnational Resource Curse	Extractive Industries and Society	Natural Resources & Extractives	2019	Community Relations
<b>Prenzel &amp; Vanclay</b>	Article	How Social Impact Assessment can Contribute to Conflict Management	Environmental Impact Assessment Review	Environmental Studies	2014	Community Relations
<b>Raimi, Nwoke &amp; Boroh</b>	Article	How Democratic is Community Driven Development?	International Journal of Development and Management Review	Development	2016	Community Relations
<b>Roy Grégoire &amp; Monzón</b>	Article	Institutionalising CSR in Colombia's Extractive Sector	Canadian Journal of Development Studies	Development	2017	Private Power
<b>Salcito, Wielga &amp; Singer</b>	Article	Corporate Human Rights Commitments and the Psychology of Business Acceptance of Human Rights Duties	International Journal of Human Rights	Human Rights	2015	Effective Remedy
<b>Sano</b>	Book Section	Social Accountability in the World Bank	Haglund & Stryker, <i>Closing The Rights Gap: From Human Rights to Social Transformation</i>		2015	Other
<b>Santoso</b>	Article	Just Business	German Law Journal	Law	2017	Effective Remedy
<b>Sarker</b>	Article	Voluntary Codes of Conduct and their Implementation in the Australian Mining and Petroleum Industries	Asian Journal of Business Ethics	Business Ethics & CSR	2013	Community Relations
<b>Schade</b>	Article	EU Accountability for the Due Diligence Failures of the European Investment Bank	Journal of Human Rights and the Environment	Human Rights	2017	Effective Remedy
<b>Scheltema</b>	Article	Assessing the Effectiveness of Remedy Outcomes of Non-Judicial Grievance Mechanisms	Dovens Schmidt Quarterly	Business Ethics & CSR	2013	Effective Remedy

Author(s)	Type	Short Title	Publication	Journal classification	Year	Perspective on CGPs
<b>Schoderer, Dell'Angelo &amp; Huitema</b>	Article	Water Policy and Mining	Environmental Science & Policy	Environmental Studies	2020	Community Relations
<b>Schormair &amp; Gerlach</b>	Article	Corporate Remediation of Human Rights Violations	Journal of Business Ethics	Business Ethics & CSR	2019	Effective Remedy
<b>Seck</b>	Book Section	Corporate Law Tools and the Guiding Principles on Business and Human Rights	Sinha, <i>Business and Human Rights</i>		2013	Effective Remedy
<b>Seck</b>	Article	Transnational Judicial and Non-Judicial Remedies for Corporate Human Rights Harms	Windsor Yearbook of Access to Justice	Law	2013	Effective Remedy
<b>Shrivastava &amp; Vidhi</b>	Article	Pathway to Sustainability in the Mining Industry	Resources	Natural Resources & Extractives	2020	Community Relations
<b>Simons</b>	Article	Unsustainable International Law	Transnational Law and Contemporary Problems	Law	2017	Other
<b>Strasser</b>	Article	Corporate Spheres of Responsibility	Forest and Sustainability	Natural Resources & Extractives	2017	Community Relations
<b>Szablowski</b>	Article	"Legal Enclosure" and Resource Extraction	Extractive Industries & Society	Natural Resources & Extractives	2019	Private Power
<b>Taylor</b>	Article	Appraising the Role of the IFC and its Independent Accountability Mechanism	Sustainable Development Law & Policy	Development	2016	Other
<b>Thompson</b>	Article	Determining Criteria to Evaluate Outcomes of Businesses' Provision of Remedy	Business and Human Rights Journal	Human Rights	2017	Effective Remedy
<b>Triscitti</b>	Article	Mining, Development and Corporate-community Conflicts in Peru	Community Development Journal	Development	2013	Community Relations

Author(s)	Type	Short Title	Publication	Journal classification	Year	Perspective on CGPs
<b>Tysiachniouk, Henry, Lamers &amp; van Tatenhove</b>	Article	Oil and Indigenous People in sub-Arctic Russia	Energy Research & Social Science	Other	2018	Community Relations
<b>Uduji &amp; Okolo-Obasi</b>	Article	Corporate Social Responsibility Initiatives in Nigeria and Rural Women Livestock Keepers in Oil Host Communities	Social Responsibility Journal	Business Ethics & CSR	2019	Community Relations
<b>Van der Ploeg &amp; Vanclay</b>	Article	A Human Rights Based Approach to Project Induced Displacement and Resettlement	Impact Assessment and Project Appraisal	Environmental Studies	2017	Effective Remedy/ Community Relations
<b>Van der Ploeg &amp; Vanclay</b>	Article	A Tool for Improving the Management of Social and Human Rights Risks at Project Sites	Journal of Cleaner Production	Environmental Studies	2017	Community Relations
<b>Van der Ploeg &amp; Vanclay</b>	Article	Challenges in Implementing the Corporate Responsibility to Respect Human Rights in the Context of Project-induced Displacement and Resettlement	Resources Policy	Natural Resources & Extractives	2018	Other
<b>van Huijstee &amp; Wilde-Ramsing</b>	Book Section	Remedy is the Reason	Deva & Birchall, <i>Research Handbook on Human Rights and Business</i>		2020	Effective Remedy
<b>Van Putten</b>	Book Section	Independent Accountability Mechanisms	Sciso, <i>Accountability, Transparency and Democracy in the Functioning of Bretton Woods Institutions</i>		2017	Other
<b>Vanclay</b>	Article	Principles to Gain a Social Licence to Operate for Green Initiatives and Biodiversity Projects	Current Opinion in Environmental Sustainability	Environmental Studies	2017	Community Relations
<b>Vanclay</b>	Article	Reflections on Social Impact Assessment in the 21st century	Impact Assessment and Project Appraisal	Environmental Studies	2020	Other

Author(s)	Type	Short Title	Publication	Journal classification	Year	Perspective on CGPs
<b>Vanclay &amp; Hanna</b>	Article	Conceptualizing Company Response to Community Protest	Land	Environmental Studies	2019	Community Relations
<b>Vilmondes Turke</b>	Article	Business and Human Rights in Brazil	Brazilian Journal of International Law	Law	2018	Effective Remedy/ Community Relations
<b>Wallace</b>	Article	Private Security Companies and Human Rights	Boston University International Law Journal	Law	2017	Effective Remedy
<b>Wetzel</b>	Book	Human Rights in Transnational Business: Translating Human Rights Obligations into Compliance Procedures	-	-	2016	Effective Remedy
<b>Wilson</b>	Article	What is Benefit Sharing?	Resources	Natural Resources & Extractives	2016	Community Relations
<b>Wilson</b>	Article	What is the Social Licence to Operate?	Extractive Industries and Society	Natural Resources & Extractives	2016	Other
<b>Wörsdörfer</b>	Article	'Free, Prior, and Informed Consent' and Inclusion	Transnational Legal Theory	Law	2014	Other
<b>Wörsdörfer</b>	Article	The Equator Principles and Human Rights Due Diligence:	Philosophy of Management	Other	2015	Other
<b>Wörsdörfer</b>	Book Section	The Equator Principles and the 'Business and Human Rights Debate'	Tomasic & de Jonge, <i>Research Handbook on Transnational Corporations</i>		2017	Other
<b>Wyss &amp; Bansal</b>	Book Section	Knowing and Showing	Götzmann, <i>Handbook on Human Rights Impact Assessment</i>		2019	Other
<b>Zandvliet &amp; Anderson</b>	Book	Getting it Right: Making Corporate-Community Relations Work	-	-	2017	Community Relations