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An analysis of the effectiveness of Corporate Social Responsibility in the Mining Sector: A comparative study of South Africa and Zimbabwe mining companies

By

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Doctoral thesis submitted in fulfilment of the requirements for the award of Doctor of Philosophy

The Graduate School of Business Administration, Wits Business School

University of the Witwatersrand

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Abstract

Over the past years, Corporate Social Responsibility (CSR) has received increased attention from the corporate world and international organisations. There has been a call for an Africanised CSR agenda based on the African context since CSR activities being undertaken in developing countries do not address the root cause of poverty and fail to improve relations with local communities. There is concern over the sustainability of the CSR projects undertaken by mining companies in Zimbabwe and the motives behind CSR activities aimed at benefitting the mining companies' shareholders and less on the community where they operate. CSR projects in Zimbabwe differ to that of South Africa although the companies are subsidiaries.

This comparative study between Zimbabwe and South Africa's mining sectors has been carried out to analyse the effectiveness of Corporate Social Responsibility activities. The study followed the interpretivism philosophy and the qualitative research design with multiple case studies in the two countries. The target population for the research were two companies with branches in Zimbabwe and South Africa. Hence four mines were chosen, two in Zimbabwe and two in South Africa. A total of 22 respondents were purposively selected consisting of community representatives, mining company representatives, non-governmental stakeholders and governmental stakeholders. Data was triangulated by integrating semi-structured interviews and secondary documents.

The findings indicated that in South Africa there is more stakeholder inclusion and ownership of the CSR projects as compared to Zimbabwe. This is more attributed to the nature of the South African legislation on CSR that encourages stakeholder inclusion. The stakeholder inclusion and ownership contributesto project sustainability which then leads to effectiveness of CSR. The research also concluded that an Africanised CSR agenda should prioritize legal

issues over others. This means African countries need to attend to their legislation so that CSR is mandatory with 'social impact' as the driving force.

The study contributes to the CSR literature specifically as a comparative study between African countries. This is one of the few empirical studies that compare CSR in neighbouring developing countries. Moreover, the study also addresses whether there is a need for a more Africanised CSR to address the social challenges and understand the effectiveness of the Africanised CSR agenda leading to sustainable development

Declaration

I, **Melody Mandevere** with student number 1440025, hereby declare that this PhD dissertation is my own work except as indicted in the references. The research was conducted at Wits Business School (WBS) under the supervision of Dr. Renee Horne. It is submitted in fulfilment of the requirements for the award of Doctor of Philosophy at the University of Witwatersrand. This work is not a reproduction in part or in whole of any research presented for the award of a degree.

Melody Mandevere

.....

Parktown, Johannesburg (South Africa)

Signed on the 27th day of March, 2020

Dedication

To God the Almighty, Glory and Honour Be unto You!

To my husband Richard Mandevere, my sons Adonai Tadiwanashe and Abimael Tinashe Mandevere and my beautiful daughter Adiella Tawananyasha Mandevere

ACKNOWLEDGEMENT

My utmost gratitude also goes to my husband Richard; the support that you always give me is out of this world. The time that you sacrificed, the home chores that you had to do on my behalf, not forgetting the loneliness you had to endure. THANK YOU. My children Adonai, Abimael, Adiella, the sacrifice that you did were something else.

I would also want to extend my gratitude to my parents Pastors Kutsirai and Aloisia Makota. Your prayers and support kept me going. My sincere gratitude also goes to my siblings Menard Makota (*BaAno),* Liberty Makota (*BaAne),* Marvellous Chihota *(mai Ati)* and Delight Madziva *(mai Natha).* May the Lord keep you and your families safe and sound always.

I would want to appreciate my supervisor Dr. Renee Horne for her support, guidance and patience. My sincere gratitude also goes to the CAPSI team (Prof. Bheki and Keratiloe Mogotsi), without you guys it was almost impossible. Thank you for the financial and emotional support. The PhD Manager Mmbatho, your patience is out of this world. I honestly appreciate you. Wycliffe Ouma, Chengete Chakamera, thank you so much. My other PhD candidates thank you people.

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Those I may have left out, thank you all.

The usual caveats apply.

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List of Acronyms

CSR –	Corporate Social Responsibility
SDG –	Sustainable Development Goals
BBBEE -	Broad-Based Black Economic Empowerment
EU –	European Union
AMV -	African Mining Vision
SD –	Sustainable Development
NGO –	Non-Governmental Organisations
SLO –	Social Licence to Operate
SLP –	Social Labour Plan
MPRDA -	Mineral and Petroleum Resources Development Act
IDP -	Integrated Development Plan
EIAP -	Environmental Impact Assessment Policy
IEEA -	Indigenisation and Economic Empowerment Act
SADC –	Southern African Development Community
BEE –	Black Economic Empowerment
MOU -	Memorandum of Understanding

CHAPTER 1

1.1 Background to the study

Corporate Social Responsibility (CSR) has increased attention from the corporate world, international organisations as well as the academia internationally (Hooge, 2012; Šontaitė-Petkevičienė, 2015). It is one of the most important approaches to achieve social development (Kumar, 2014). CSR is described as running a business with a commitment to developing policies that integrate responsible actions into the operations of the business influencing the social and environmental needs of the society (Kumar, 2014; Šontaitė-Petkevičienė, 2015).

Since the 1970s, there has been pressure on business to go beyond the financial sustainability of the business and consider the social and environmental impacts of their operations. This has led to organisations designing policies that led to their engagement in CSR (Bhagwat, 2011; Center for Economic and Social Development, 2013; Hooge, 2012). Organisations are now taking responsibility for how their businesses affect the environment and society (Bhagwat, 2011). Through CSR, organisations contribute to a stable environment that leads to a predictable climate for investment and trade. In CSR, organisations display a human face that recognizes the social needs of the communities and strives to meet those needs. Organisations are now deviating from traditional CSR where it was believed that the only responsibility of an organisation is to meet its shareholder's needs. Organisations and society now believe that an organisation has many stakeholders that it has to satisfy for it to be viable (Center for Economic and Social Development, 2013; Hopkins, 2016).

In developed countries, CSR is involved with actions that are beneficial to all levels of society. As the government is a secondary beneficiary to CSR, socially responsible companies lessen the government's burden and their actions benefit all levels of the society (Muthuri and Gilbert, 2011). A socially responsible company responds quickly to the needs of society be it economic, environmental or social (Center for Economic and Social Development, 2013).

There has been a call for an Africanised CSR agenda based on the African context (Muthuri and Gilbert, 2011) since CSR activities being undertaken in developing countries do not address the root cause of poverty and they fail to improve relations with local communities (Crane et al., 2008; Kolk & Lenfant, 2010; Rayman-Bacchus &Okoye, 2012). For an effective African CSR agenda to be devised, it is important to understand the environment and the reasons that are pushing CSR in Africa (Muthuri& Gilbert, 2011).

As CSR is now a key business function (Hopkins, 2016), when they came up with the Sustainable Development Goals (SDGs), the United Nations made consultations and concluded that the private sector, and partly through CSR, is essential in achieving the SDGs (Chong, 2017; Hopkins, 2016;). However, results attached to sustainable development through CSR are still scarce in other African countries (Visser, Matten, Pohl & Tolhurst, 2007).

In South Africa, it is a requirement to publish sustainable reports in order to be listed on the Johannesburg Stock Exchange, studies, however, show that the importance of stakeholder inclusion in reports compilation is not upheld (Lingenfelder & Thomas, 2011). Their reports on CSR are focused on the projects being undertaken which may not have much value to the community and not on their primary activities where there is much impact (Hamann & Kapelus, 2004; Kolk & Lenfant, 2010). The focus of companies on CSR appears to be driven by the

need to have a good corporate image and a comparative advantage as companies that are perceived to be involved in community investment are often favoured when awarding permits (Arya & Zhang, 2009; Dziro, 2014; Jenkins & Obara, 2006). Most mining companies also seem to focus their CSR activities on their workforce, (Mandina et al., 2014) however companies do not address the root cause of underdevelopment in the local communities (Hamann & Kapelus, 2004; Idemudia, 2011).CSR activities that focus on socio-economic issues will result in community development and therefore improve the living standards of the people in the communities (Ramlall, 2012; Skinner & Mersham, 2008).

Mining is an important contributor to the world's economy, (Yakovleva, 2007) due to its linkages to various sectors such as construction, engineering, transportation, and energy among others (Gapare et al., 2014). Although CSR is important in all business areas it is considered more important in the mining sector because of the finiteness of the business in that it involves non-renewable resources, (Diale, 2012; Hamman& Kapelus, 2004), the impact that it has on the environment (Hamann & Kapelus, 2004; Yakovleva, 2007) and the negative public opinion on the sector (Diale; 2012). Where a mine has opened, there are many negatives social impacts that the communities may face and these may include among others human displacement and resettlement, soil and water degradation, environmental impacts on vegetation and wildlife.

Negative impacts caused by mines have an impact on the people especially in sub-Saharan Africa where subsistence farming is being practiced. Sometimes land meant for farming or other use is lost to mining which comes with pollution from different angles. It is therefore crucial for CSR to be considered more important in the mining industry than any other industry so that it may compensate for the impacts that it has on the community.

South Africa has been at the forefront among African countries on implementing CSR activities into legislation as the government tried to correct the apartheid era that excluded the black majority from the mainstream of the economy (Visser, 2010; Zhang, 2009). According to Hamann (2003), when apartheid ended in South Africa the focus of CSR shifted from philanthropic activities to socio-economic issues such as unemployment and affirmative action. This can be attributed to the legislation that had been introduced in South Africa. For example, companies that implement the Broad-Based Black Economic Empowerment (BB-BEE) mining charter received preference in participating in public tenders as a way of motivating this type of CSR (Hamann, 2003).

In South Africa, the Mining Charter has been linked to CSR which leads to community development (Hamman, 2003; Ramlall, 2012; Skinner & Mersham, 2008; Southall & Sanchez, 2007). The government of South Africa designed the Mining Charter as a tool to encourage sustainable growth and transformation of the mining industry. The objectives of the Charter include advancing the social and economic welfare of the mining communities; expand the skills base for the empowerment of black people and serving the mining communities among other objectives (SA Government Gazette, 2016). The Mining Charter states that a minimum of 26% per mining right should be distributed between the workers, black entrepreneurs, and the community. The Mining Charter also states that for each mining right there should be a BBBEE transaction. BBBEE (Broad-Based Black Economic Empowerment) is defined as "the viable economic empowerment of all black people, in particular women, workers, youth, people with disabilities and people living in rural areas, through diverse but integrated socio-economic strategies" (SA Government Gazette, 2016).

In Zimbabwe, mining is one of the critical sectors that anchor the economy (Muruviwa et al., 2018). Mining has been involved in the development of some towns in Zimbabwe, for example, Zvishavane, Shurugwi, Hwange Kadoma among others (Dziro, 2014). Although Zimbabwe has vast natural resources dominated by foreign companies in different sectors, it has lagged behind on CSR issues. The lagging behind can be attributed to the lack of legislation on CSR (Muruviwa et al., 2018). Mining companies were involved in CSR projects in areas where they had a comparative advantage. The idea behind the CSR activities undertaken by mining companies carrying our certain CSR projects in communities was to avoid being disturbed as they focus on their mining business (Dziro, 2014).The legislation on mining, the Mines and Minerals Act of 1961 is silent on what mining companies should provide to the local communities (Dziro, 2014).

The contribution of the mining sector to social development has been minimal in Zimbabwe. The communities complain about environmental degradation, pollution and slowed community developments (James, 2013). In some instances, those who stay in the mining areas have even been displaced without compensation. According to The Herald of 6 June 2019 (The Herald, 2019), in 2011, diamond mining in Chiadzwa displaced over 800 families to pave way for its mining activities. The families were resettled at the ARDA Transau farm in Odzi. Each displaced family was allocated a 3-bedroomed house, 11hectares of arable land including 1 hectare earmarked for irrigation and a once-off US$1,000 disturbance allowance. Each of the relocated families was supposed to receive an additional US$40 000 as compensation. However, up to now, the families have not received any compensation. To add, the government recently ceased operations of nine diamond companies following their failure to renew their licenses. It can be seen that both the mining companies and stakeholders such as the

government was very much concerned about receiving its revenues and less consideration was put on the communities which suffered relocation.

It has been estimated that between 1991 and 2011 about 145 papers on CSR in Africa were published, of these 73 focused on South Africa (Muthuri, 2012). Despite it being a developing country, South Africa has well developed multinational companies, which can get involved in CSR on a large scale. South Africa and Zimbabwe also share many similarities. Zimbabwe was a colony of the British while South Africa was a colony of the British and the Dutch .Zimbabwe gained its independence in 1980 while South Africa's apartheid system ended in 1994. The legal systems of the two countries also have some commonalities, which are based on its roots, which are from Roman-Dutch common law and have been developed by the courts and by legislation since the colonial era (Murombo, 2013). African customary law, which is part of the legal systems of the two countries, governs land ownership and natural resources in both countries. In customary law, communities do not own land but only have the rights to use the land (Delius, 2008; Murombo, 2013).

Zimbabwe's Great Dyke has the second-largest deposits of platinum in the world after the Bushveld Complex of South Africa (KPMG Zimbabwe, 2015). The two countries hold 75% of the world's platinum reserves. Mining companies in Zimbabwe are both locally owned and foreign-owned.

Thus, there is a need to have a comparative study of what is being undertaken in terms of CSR activities in South Africa by corporates listed in the Johannesburg Stock Exchange and in Zimbabwe by the subsidiaries of the same companies.

1.2. Purpose of the study

The purpose of this study was to analyse the effectiveness of CSR in the mining industry in achieving sustainable development for surrounding communities; A comparative study of South Africa and Zimbabwe. A case study of four companies, two in Zimbabwe and two in South Africa was used to analyse the effectiveness of CSR.

1.2.1 CSR

Corporate Social Responsibility has more than a 50-year history that has led to it becoming a global concern (Saiia, Carroll & Buchholtz, 2003) and a reality in companies' life (Du et al., 2011). Although in the history of CSR, there is generally no universally accepted definition. CSR and the Sustainable Development concept have similar focuses, which are: **Environmental and Social** –in operating in the environment corporations are part of the society and they should be good corporate citizens through good actions to the society.

Stakeholder approach – corporations should consider the interests of other stakeholders over and above their shareholders.

Ethical behaviour – over the legal part corporations need to respect the interests and values of these communities.

Volunteering – corporations should assume their responsibilities voluntarily (Behringer & Szegedi, 2016):

Currently, the main trend is corporate social responsibility (CSR) or sustainability. CSR is becoming an essential element of company strategies, given the recognized need to ensure long-term success in the future (Kolk, 2016). Utilities are pursuing social priorities that extend far beyond prior concerns for reputation. CSR provides an opportunity and a source to create competitive advantages (Stjepcevic & Siksnelyte, 2017). Moreover, consumers are becoming

more informed and engaged in what products and services to buy. Due to these trends, utilities and energy multinationals experienced an increase in the CSR practices during the last decades. The oil and gas undertakings have been among the companies that have championed CSR. This is related to the fact that their activities are linked with high negative environmental effects, such as oil spills, and have a negative influence on the local communities and their living environment (Spence, 2011).

Corporate Social Responsibility (CSR) has had many definitions, however, the focus of the definitions is primarily on stakeholder relations. (Gapare et al, 2014, Lantos, 2001; Mullerat, 2010) and what CSR activities should achieve (Dahlsrud, 2008; Simelani& Chiroro, 2013). The proponents of the stakeholder view define CSR as the giving back of a business to the society where it is benefitting from. CSR is also defined, as the transparent of a corporate's business practice that is based on ethical values, compliance with the legal laws and respect for the people, community and the environment (Moir, 2001). In addition to making profits, it is the responsibility of a business to have a total impact on people. Crother and Aras (2008) define CSR as a relationship that involves a corporate, the government and the citizens or the relationship between a corporate and the community in which it operates. EU defines CSR as a concept that involves the interaction of the corporate and stakeholders in order for the corporate to understand and implement stakeholder concerns in their day-to-day operations voluntarily (European Union, 2001).

Other CSR definitions provided which are in line with the contemporary view is that CSR is a business system a company adopts in order to increase the social, economic, and environmental value to stakeholders through sustainable management practice (Gapare et al, 2014; Porter & Kramer, 2006). The difference between definition and the definition provided by EU is that EU

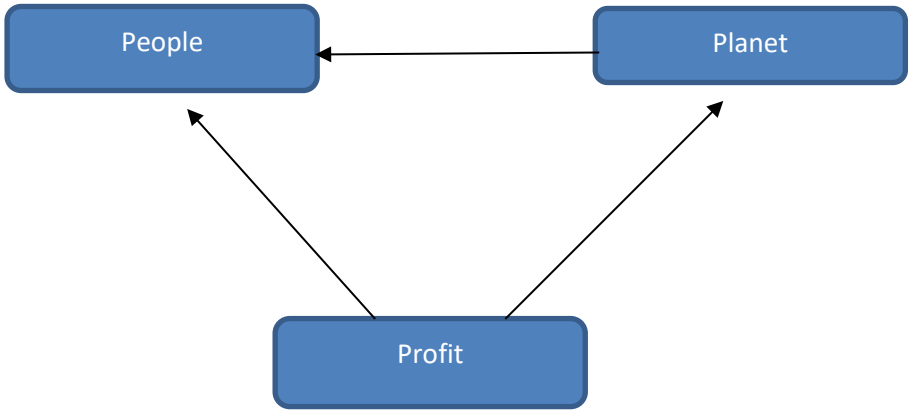
stresses the voluntary part in their definition whereas here it is silent. CSR is very important in the business world as it strengthens the relationship between the community and the corporation since it has the capacity to protect the environment and aids in poverty alleviation and business sustainability (Towers Perrin, 2009; Roja & Sherina, 2015).

On the other hand, the classical view of CSR authors disagrees with this. Drucker (1984) says when a business sees a social problem they turn it into an economic opportunity and benefits; turn it into productive capacity and well-paying jobs and wealth (Drucker, 1984). Milton Friedman made a statement in 1970, which is widely quoted where he said the only obligation of a company is to maximize its profits legally (Friedman 1970; Jensen, 2001; Levitt, 1958). Mandina et al. (2014) state that although different scholars understand CSR in different ways they agree on the issue that companies must be involved in the welfare of the society in which they operate.

1.2.2 Sustainable development

Sustainable development has been defined as balancing the fulfillment of human needs with the protection of the environment so that needs for both the current and future generations can be met (UNDP Human Development Report 2010). Based on the widely accepted definition of sustainable development provided above and other important considerations accepted, we can come up with the focus areas of sustainable development:

1. Meeting needs: sustainable development is based on fulfill the present and future needs
2. Social, economic and environmental needs: Sustainable development has three pillars, which are people welfare (social), planet (environmental) and profit (economical) (World Commission on Environment and Development, 1987).



Source: World Commission on Environment and Development (1987)

These pillars do not have the same rating, but people's welfare is at the center and they have to be achieved through economic growth. The main principle of sustainable development is therefore that companies should not only look at profit-making but also satisfying stakeholders and environmental performances (Ghiga and Ghiga, 2005).

3. Human rights: the centrality of sustainable development is on humans

The United Nations created a platform to encourage global engagement and voluntary commitments on the Sustainable Development Goals SDGs (2016). According to the World Business Council for Sustainable Development (2015), an international network of professionals was established with the aim of producing an implementation guide on sustainable development. All this is being done to encourage and support companies to be involved in sustainable development.

If we look at the definitions of CSR and sustainable development, we discover that they are closely linked. The pillars that are in sustainable development are the same as those that are considered on CSR.

This research will define sustainability in CSR activities as the capacity of the program or service to continuously meet the needs of the community both now and in the future. Understanding the context of the environment has a bearing on the sustainability of the CSR activities that are implemented.

1.2.3. Mining Industry and CSR

The mining process is one of the most socially and environmentally destructive processes to humankind (Okan et al., 2015; The Mining, Minerals and Sustainable Development Project, 2002). Most of the recorded environmental disasters are in the mining sector (Hamann, 2003; Jenkins &Yakovleva, 2006), this has led to a bad reputation for the sector (Kapelus, 2002). Because of the increased pressure and criticisms, mining companies are obliged to pay attention to the social and environmental impacts caused by their activities (Jenkins, 2004) and this through CSR (Hamann, 2003; Hamann & Kapelus, 2004).

CSR for mining corporate can thus be defined as balancing between the expectations of the various stakeholders and their objectives (Jenkins, 2004). In order for mining corporations to develop effective CSR policies, it is therefore important for them to effectively respond to the concerns and expectations of all its stakeholders (Jenkins, 2004; Vazquez-Brust, Yakovleva, & Mutti, 2013; Okan et al, 2015). CSR plays a special role in mining because of the characteristic of the resource, that is its finiteness and the environmental and social impacts that are associated with the business(Hamann, 2004; Jenkins & Obara, 2006).

The African Union head of states adopted the African Mining Vision in 2009 whose broad objective is to create a transparent and equitable way of exploitation of mineral resources that leads to sustainable growth and socio-economic development. The vision directs establishing

a partnership between the local communities and other stakeholders as well as the state, the private sector and the civil society that benefits everyone. The AMV influences the laws of the continent as it is a reference for mineral policy reforms in the continent. The AMV was endorsed at the highest level and many actors including the international organisations are feeling compelled to demonstrate a commitment to the tenets of the AMV. This is in agreement with Hamann and Kapelus who says the aim of CSR in mining is to ensure corporate status through matching their policies with sustainable development (Hamann & Kapelus, 2004).

CSR frameworks that are applied to mining firms are from a number of sources and includes legislated and charitable (United Nations Economic Commission for Africa, 2011). The effectiveness of voluntary as opposed to legislative codes is a debatable issue in CSR. However, even if it is voluntary it may still be legally binding as minimum acceptable standards (United Nations Economic Commission for Africa, 2011). Stakeholders should be able to assess the impact of CSR projects using indicators that are clearly spelled out in the framework. The stakeholder- consultative framework must allow for a review of responsibilities and commitments by the stakeholders (United Nations Economic Commission for Africa, 2011).

Mining corporations need to understand the expectations of the stakeholders through understanding the priorities of the stakeholders in the mining sector (Yakovleva, 2007). From the above discussion, it can be concluded that CSR in mining is more related to the stakeholder theory. In implementing the stakeholder theory, it is important to be able to effectively identify the stakeholders of a corporate (Freeman, 2004).

Yakovleva and Vazques-Brust interviewed four stakeholder groups in Argentina (government, civil society, international financial organisations, and mining industry) and concluded that

stakeholders give different importance to the types of responsibilities (Yakovleva et al, 2012). Okan et al (2015) in their study in Turkey also concluded that different stakeholder groups attach different importance to CSR responsibilities (Okan et al, 2015). Corporates should avoid alignment with one dominant stakeholder in the host country as this may cause problems when other stakeholders with genuine claims assume power and start influencing corporate operations but consider gathering all stakeholder's expectations (Vazquez-Brust et al., 2013). Although CSR has its roots in the west, for it to be effective in emerging economies, it is necessary to consider the cultural beliefs and assumptions of the community (Visser, 2010).

1.2.4. CSR and Sustainable Development

The relationship between CSR and Sustainable development has not been prioritized for a long time as the two theories developed independently from each other. However, if the definitions of the two theories are closely looked at, a conclusion can be arrived at is that CSR is a business model where organisations contribute to sustainable development. In other words, CSR allows a balance between environmental needs, economic needs, and social expectations by integrating it with Sustainable Development into the business strategy (Behringer& Szegedi, 2016; Mujtaba & Cavico, 2013). CSR and Sustainable development are considered to be greatly connected (World Business Council for Sustainable Development, 2000). CSR can then be said to be a voluntary managerial approach to sustainable development (Steurer et al., 2005). Organisations are important players in solving the unsustainable development challenges with their investment and innovation. Sustainable development can be achieved through a dynamic business sector that protects the environment, uphold health standards and support the social needs of the communities (United Nations General Assembly, 2015).

In most countries, organisations have a choice on the type of CSR activities to be involved in. However, stakeholders expect organisations to be aware of the needs of the local communities where they operate. It is therefore prudent for companies, especially those in developed countries to be attentive to the needs of the community that leads to sustainable development when coming up with CSR activities to undertake (Mulky, 2017). Whilst it is the responsibility of the government to ensure that they commit to the SDGs, the UN has indicated that the private sector also has to be fully involved for the SDGs to be met (Jones et al., 2016). The relationship between Sustainable Development and CSR is a practical initiative to indicate that companies have an increasing role in the achievement of sustainable development.

1.3 Research problem

There is concern over the sustainability of the CSR projects mining companies are doing in Zimbabwe and the motives behind these as it seems the CSR activities are internal aimed at benefitting the mining companies' workers and not the community where they operate. Their effort is to improve worker morale, lessen absenteeism and increase productivity not community development but (Dziro, 2014; Makore and Zano, 2012). According to Kabemba and Madzwamuse (2010), CSR projects in Zimbabwe are different from those in South Africa although the companies are subsidiaries. Mining companies seem to take advantage of differing laws and government attitudes towards CSR as in countries with weaker legislation like Zimbabwe they lower their CSR operating standards (Kabemba and Madzwamuse 2010).

According to Dziro (2014), the main reason why mining firms in Zimbabwe undertake CSR activities is to avoid being disturbed as they focus on their mining business. Despite the two nations sharing many similarities which include both countries being once colonies of the developed countries and having commonalities in legislation there is a wide difference in their

CSR activities. Moreover, although some companies operating in Zimbabwe have their headquarters or are operated from South Africa, the CSR activities of these companies largely differ. It makes sense that there are underlying beliefs in the different countries that make CSR activities differ.

Most studies on CSR and sustainable development have focused on one country (Makore and Zano, 2012; Okoye, 2012; Oginni et al, 2015) and very limited research exists that compares CSR in different countries. A comparative study by Nalband &Al Kelabi (2014) has compared CSR between developed and developing countries with entirely different legislative conditions and backgrounds. There is a limited study comparing CSR between countries that share the same background, same legislative conditions and have the same mining companies operating as subsidiaries in one country with its headquarters in another country. There is also a need to understand the type of CSR agenda appropriate for African developing countries.

The current research intends to fill this gap by comparing CSR activities undertaken in South Africa and Zimbabwe by mining companies with a view to determine if the activities are effective in achieving sustainable development in the surrounding communities.

1.3.1 Sub problems

i. To compare and contrast the CSR activities, that are undertaken in South Africa and Zimbabwe
ii. Examine how mining companies decide what CSR activities to undertake in South Africa and Zimbabwe
iii. Assess if the CSR activities are leading to sustainable development in the surrounding communities.

iv. Establish the appropriate African CSR agenda

1.4 Research Objectives

i. To compare and contrast the CSR activities that are undertaken in South Africa and Zimbabwe
ii. To examine how legislation in the two countries govern CSR activities in South Africa and Zimbabwe
iii. To appraise the effectiveness of CSR activities in achieving sustainable development in the two countries.

1.5 Research questions

1. What factors do mining companies consider before deciding on CSR activities to carry out in South Africa and Zimbabwe?
2. What role does legislation in the two countries play in governing CSR implementation?
3. To what extent are the CSR activities effective in achieving sustainable development in Zimbabwe compared to South Africa?

1.6 Significance of the Study

The study contributes to the study of CSR activities in developing nations at a time when mining firms in Africa are moving towards the achievement of sustainable development. The study has empirical, methodological and theoretical contribution.

Most empirical studies on CSR and sustainable development have focused on one country (Makore and Zano, 2012; Okoye, 2012; Oginni et al, 2015) and very limited research exists

that compares CSR in different countries. The research methodology used for this study has made an important contribution to CSR research as a case study comparative research was used in order to understand how companies perform in different African countries. Qualitative methodology was used where to collect the primary data of this study, the researcher used questionnaires and interviews so as to understand the perceptions of the respondents.

More so, previous comparative studies have compared CSR between developed and developing countries with entirely different legislative conditions and backgrounds. This study may contribute towards CSR studies as it compares CSR between countries that share the same background, same legislative conditions and have the same mining companies operating as subsidiaries in one country with its headquarters in another country.

This study makes use of qualitative research methods focusing on case study methodology. This may assist in understanding how inductive reasoning can be used in evaluating effectiveness of CSR. The qualitative methodology used in this study assists in gaining deep knowledge and understanding of CSR and sustainable development in South Africa and Zimbabwe. The case study methodology between the two countries will help in exploring processes and human activities giving a better understanding of CSR activities in developing countries.

The study uses stakeholder, institutional and legitimacy theories which consider stakeholders as opposed to the economic theories which only consider shareholders of companies. Since CSR is concerned with how companies can strike a balance between the expectations of the various stakeholders and their objectives, the social and political theories were deemed appropriate for this study.

Most studies on CSR and sustainable development have focused on the impact evaluation which determines the impact of the activities on the organisation. However, this study focuses on the reaction evaluation which involves feedback and feelings of stakeholders. Studying the effectiveness of CSR based on reaction evaluation is important since CSR is done largely for the benefit of stakeholders. Stakeholders, therefore, provide a fair evaluation of CSR effectiveness. Focusing on the Africanised CSR is useful in studying CSR and sustainable development in Africa since the study is carried out in African countries. Comparative studies of CSR in African countries are scarce and the study will add to the body of literature.

1.7 Limitations of Study

The number of respondents in the interviews was 22. These 22 consists of four different categories which are the company representatives, community representatives, government representatives and nongovernmental organisations representatives. Therefore, the issue of difference in perceptions between a limited numbers of participants may limit the generalisability of the results.

The scope of the study was limited to two companies listed on the Johannesburg Stock Exchange (JSE) out of the 23 companies listed. The two were chosen because they had operations in both Zimbabwe and South Africa. The study findings might have been different if a larger sample of listed companies had been included.

CHAPTER 2 - LITERATURE REVIEW

2.0 Introduction

This chapter reviews the literature on CSR and sustainable development. It traces the historical evolution of CSR. It also gives the different CSR definitions leading to the different theories of CSR that help in understanding the study phenomena. Empirical studies that were done in the area of CSR and sustainable development and the relationship between mining and sustainable development are also explored in this chapter. A review of CSR in Africa, South Africa and Zimbabwe is also described. The chapter also provides the conceptual framework of the research showing the study boundaries.

2.1 Historical evolution of CSR

CSR has improved from a contracted and insignificant concept to become comprehensive, significant and multifaceted (Cochran, 2007). This section provides an overview of CSR development and understanding with the objective of presenting how the concept started and the changes that has happened over time. CSR started as traditional CSR where a company only makes donations that may not be related to how a company operates. In this type of CSR, companies did not consider the views of the stakeholders beyond their shareholders (Crane et al., 2014). The drivers of this type of CSR included company image and public acceptance. CSR has evolved over time and it is contemporary whereby corporates view responsible behaviour as a means to generate profits while giving importance to the expectations of the society where they operate. The outline of how it evolved over time is provided below.

The 1960s saw scholars coming up with the definitions of CSR where the idea that over and above its economic decisions a business has to consider the society (Carroll, 2008). The 1960s

to the 1970s saw the introduction of the stakeholder approach which states that in addition to striving for larger profits to the shareholders a corporate should also consider the interests of employees, suppliers, dealers, local communities and the whole nation (Carroll, 2008). The Committee for Economic Development also made a huge contribution to the topic of CSR where they came up with three concentric circles notion of CSR:

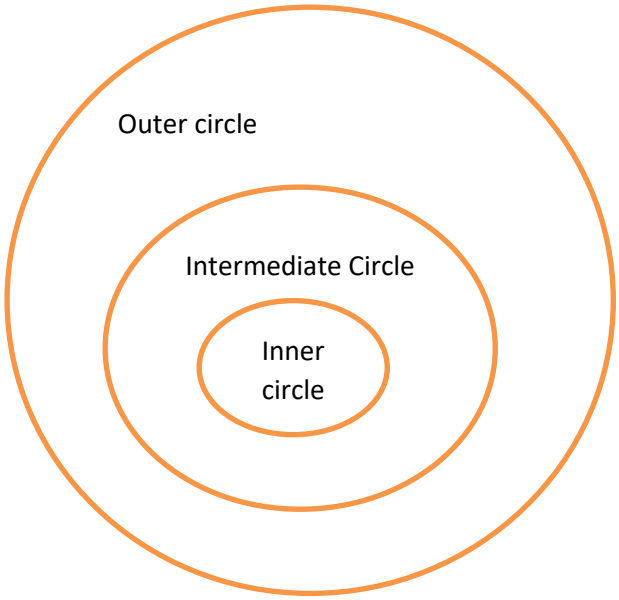


Figure 2.1 Source: Committee for Economic Development (1971)

The inner-circle includes responsibilities that directly affect the economic function of a business that is goods/services, jobs, and economic growth. The intermediate circle involves responsibilities that show the sensitivity of a business to the changing social values and priorities in executing inner circle responsibilities. The outer circle involves responsibilities that improve the social environment for example poverty alleviation (Asmah, 2009; Carroll, 2008). The UN conference on the environment in Stockholm (1972) also cemented this where it was concluded that it was necessary to have a goal of creating a sustainable environment. It was agreed that it was the role of the corporations and other stakeholders to work towards achieving a sustainable environment. This was in direct contrast with Milton Friedman's

published paper (1970), where he said the only social responsibility of business was to increase profits within the confines of the law. This indicates that the idea of CSR according to the United Nations was no longer about just giving but also sustainable development.

In 1975, S. Prakash Sethi came up with a CSR model that has three stages concentrating more on stakeholders. The stages from Sethi's model are:

a) Social Obligation: corporate behaviour in response to market forces or legal constraints. The managers in this category confine their response to social issues that are mandated by prevailing laws and the operation of the economic system.
b) Social Responsibility: Occurs when the organisation's approaches to social responsibility acknowledge the importance of ethical and socially responsible behaviours. Often seen as good corporate citizens, socially responsible organisations are willing to assume a broader responsibility than that prescribed by law and economic requirements.
c) Social responsiveness: corporates are not only concerned with how to respond to social pressures but what should be their long-run objective in a dynamic social system. The managers in this category are proactive in their dealing with social issues (Prakash Sethi, cited in Cavett-Goodwin: 2007).

In essence, Sethi is distinguishing among Corporate Performance, Social Responsibility, and Social Responsiveness. Social responsiveness is the highest level that any firm performing CSR can hope to reach.

In 1979 Carroll derived a CSR pyramid that consists of corporate responsibilities which are economic, legal ethical and philanthropic, social issues of business which include labour standards, human rights, and others and corporate actions, for example, reactive, defensive and accommodative (Carroll, 1991).

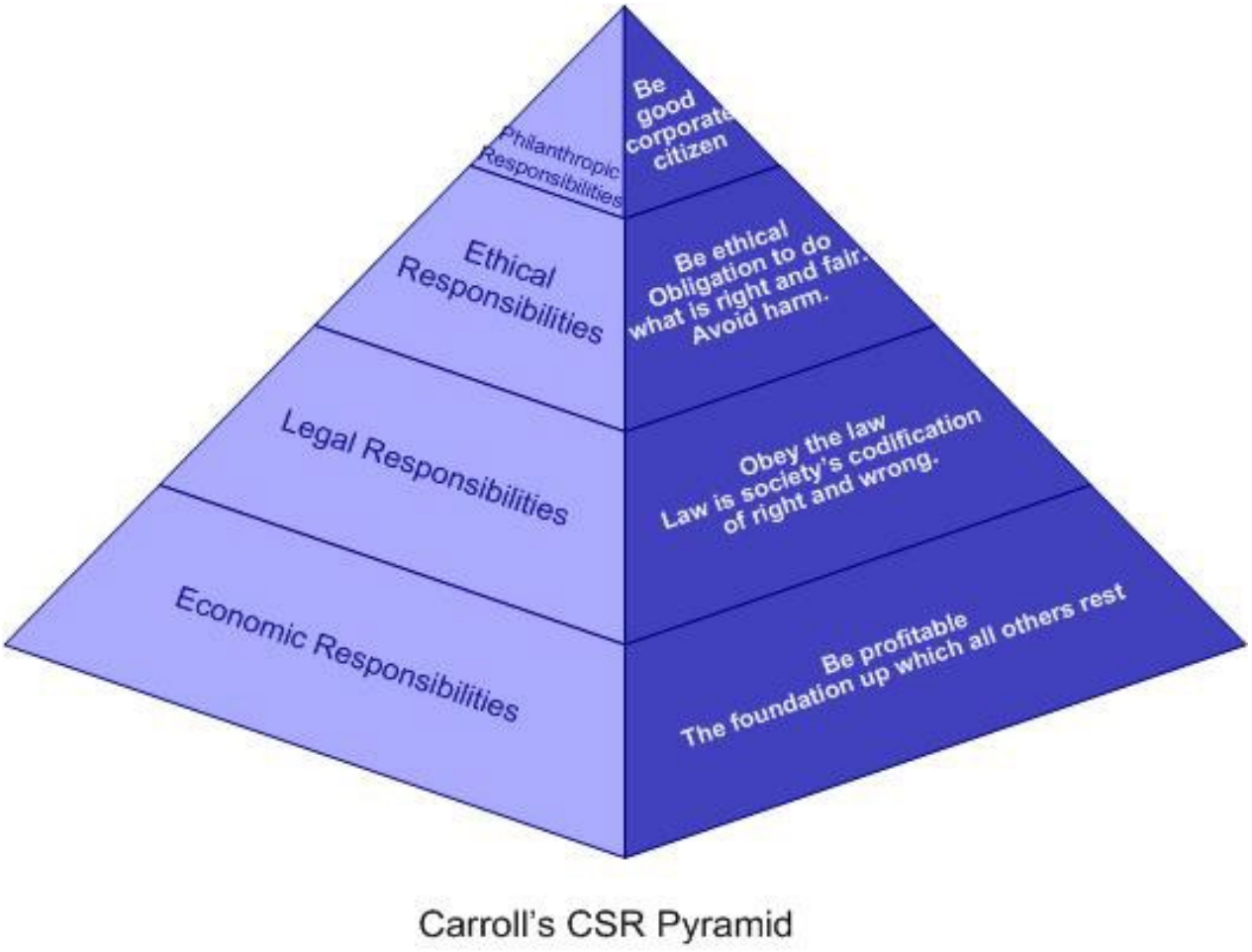


Figure 2.2: Carroll's CSR Pyramid

Source: (Carroll, 1991)

Economic responsibilities

It is a social responsibility for businesses to supply goods and services that are needed by society. For them to be able to supply these they have to do it at a profit. The profits will enable the business to continue operating and also to grow as they re-invest the profits back into the business (Carroll, 2016). If a business is not making a profit it will not survive and therefore economic is at the basis of the pyramid which means a profit maximization is a foundation upon which a business is built, however, there are other responsibilities for business after profit-making (Carroll, 2016; Crane & Matten, 2004).

Legal responsibilities

When a business is operating society expects it to operate observe the minimum ground rules which are the laws and regulations. For them to operate a business are expected to abide by these laws and regulations (Carroll, 2016; Crane & Matten, 2004; Kotler & Lee 2005). Legal responsibilities include performing any business activities in the manner that is expected by the government, comply with local and federal laws, and sell goods that meet the minimum requirements of the government and fulfilling their obligations to societal stakeholders among others (Carroll, 2016).

Ethical responsibilities

The ethical domain means that in addition to a business being economic and legal it has to seek to do what is right, just and fair even when it is not compelled by the law (Crane & Matten, 2004). Ethical responsibilities mean that business has to observe the norms, standards, beliefs, and practices that are expected by society although they are not prescribed by the law (Kotler & Lee, 2005; Carroll, 2016). This means a business "is responsible to the full range of norms, standards, values, principles, and expectations that reflect and honour what consumers, employees, owners and the community regard as consistent with respect to the protection of stakeholders' moral rights" (Carroll, 2016 pg. 3). Although the difference between the legal and ethical responsibilities is very thin it should be noted that legal responsibilities are required by society whereas ethical responsibilities are expected by society.

Philanthropic responsibilities

The philanthropic domain describes the resources contributed towards the social, recreational and cultural needs of the society. These responsibilities are just desired but not expected in an obligatory moral form (Nalband & Al Kelabi, 2014; Carroll, 2016). They are therefore the least

important (Crane & Matten, 2004; Kotler & Lee, 2005). In every country or culture, people accept CSR but the way that it is implemented varies from country to country. (Matten & Moon, 2008; Nalband &Al Kelabi, 2014).

According to Carroll's pyramid, at the bottom are the economic responsibilities, followed by legal, ethical and lastly philanthropic. A business has to achieve the responsibilities at the bottom first before moving to the next level. That means the economic responsibilities is the foundation upon which all other responsibilities are built (Nalband & Al Kelabi, 2014; Carroll, 1991).

Sethi's model is made up of 3 stages whereas Carroll's model is made up of 4 stages. In Sethi's model, at the bottom, there are both legal and economic criteria whereas Carroll's model has economic responsibilities only at the bottom. Sethi argues that legal and economic responsibilities are all satisfied at once whilst Carroll indicates that an organisational should first satisfy economic responsibilities before it goes on to satisfy legal responsibilities.

From the 1980s, the focus of CSR shifted and focused on the fact that present needs being fulfilled should not minimize or extinguish the ability for future generations to meet the same wealth, therefore, the need to consider sustainability (World Commission on Environment and Development Report, 1987). Accordingly, CSR focus in the 80s had shifted from the pyramid approach to where the approach was to ensure that achieving other responsibilities do not have to compromise achieving others both now and in the future. Sustainable development became the link to CSR, advancing what had been introduced by the United Nations in 1972. The period between the 1980s and 1990s also saw the coming up of the three-dimensional model of principles, policies, and processes. The thrust here was to integrate the principles of corporate

responsibility, the policies of social issue management and the processes of action into developing systems (Wartick & Cochran, 1985). The 1980s also saw the coming in of the stakeholder theory through Freeman's book in 1984 and business ethics as the public became aware of big corporate scandals that were happening in the corporate world (Nalband & Al Kelabi, 2014; Carroll, 2008).

The 21st century has been characterized by a development of various themes and theoretical contributions to the CSR concept. Other topics that took interest are Corporate Social Performance (CSP), sustainability and corporate citizenship among others (Carroll, 2008). In 2003, Carroll and Schwartz reduced Carroll (1979)'s four categories of CSR into three and came up with the three-domain approach. They present the categories in a Venn diagram and the three are economic, legal and ethical (Schwartz & Carroll, 2003).

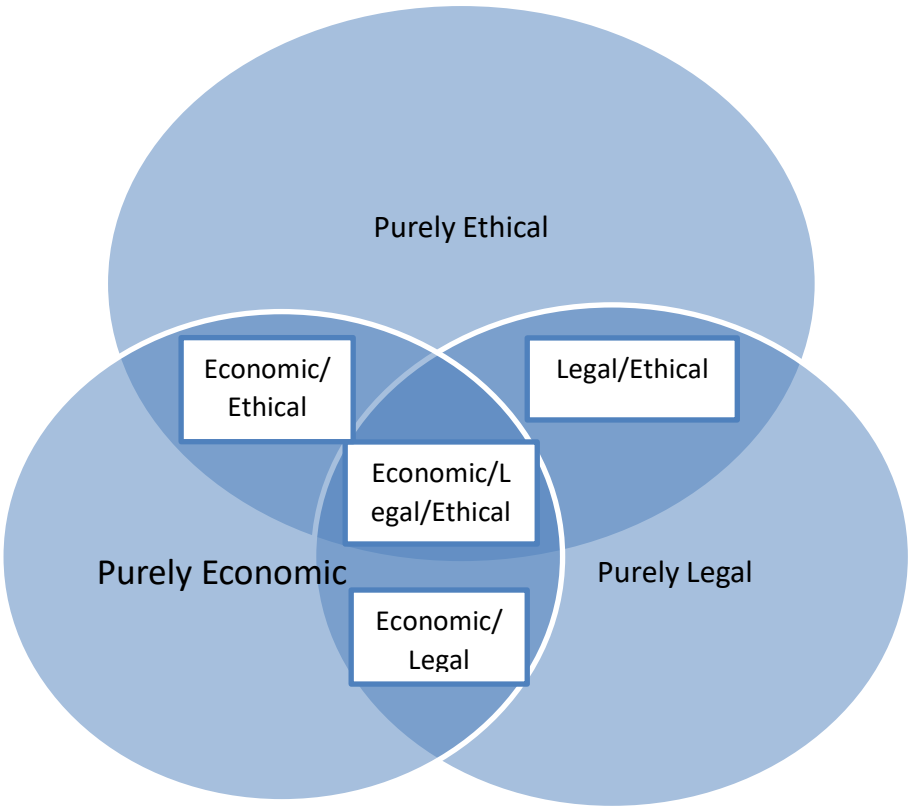


Figure 2.3: Three domain model of CSR

Source: Schwartz & Carroll (2003 pg 509)

The Economic Domain

In this domain, there are activities that have a direct or indirect economic impact on the organisation. The economic aspect is explained in two dimensions that is profit maximization and share value maximization (Diale, 2012;Schwartz &Carroll, 2003). Activities that increase sales are placed under direct economic activities whereas activities that improve employee morale or the company's public image are placed under indirect economic activities (Schwartz & Carroll, 2003).

The Legal Domain

In this category falls activities involves the expectations of the society in response to local laws. This can be divided into three categories which are: compliance, avoidance of civil litigation and anticipation of the law.

a) Compliance

This category involves three further divisions which are: passive, opportunistic and restrictive. In passive compliance, the company will just be operating and happens to be following the legal laws passively. In other words, passive compliance means that even if the laws did not exist the company would just be operating the same way. In restrictive compliance the company would do activities because they are legally compelled to do them, failing of which will result in an organisation failing to operate. In the opportunistic category, either a company operates in a certain jurisdiction because it has weaker regulation or there is weaker monitoring (Schwartz &Carroll, 2003).

b) Avoidance of litigation

In this category, a company will be involved in activities to avoid current or future litigation for their conduct.

c) Anticipation of law

In this category, companies consider that if changes are made in other countries or places where it is not operating, those similar changes may also be enacted in their place as the legal process is sometimes slow. The company, therefore, will be involved in voluntary compliance in anticipation that when there are changes in the laws it will result in them having immediate compliance (Diale, 2012;Schwartz &Carroll, 2003).

The Ethical domain

In this domain, the organisation looks at the ethical expectations of its stakeholders. There are three standards involved in this domain which are: conventional, consequentialist and deontological. In the conventional standard, an organisation looks at "those standards or norms which have been accepted by the organisation, the industry, the profession, or society as necessary for the proper functioning of a business." (Schwartz &Carroll, 2003: 512). In consequentialist, an organisation will consider the ethical view of the end result of their conduct. This means according to consequentialism an organisation that promotes the good of the society in which it operates is considered to be ethical. In deontological, focus is on the person's duties or obligations and not the end result. That is the standards considered here are the honesty, trustworthiness of a person in carrying out his responsibilities (Diale, 2012; Schwartz &Carroll, 2003).

The three-domain approach does not include the philanthropic as it was covered under the ethical responsibilities. The overlapping of the responsibilities is also effectively explained using the Venn diagram unlike a pyramid (Schwartz & Carroll, 2003). CSR has continued to

gain attention and practiced by businesses (Diale, 2012; Matten & Moon, 2008). Despite it being popular, CSR has continued to be ambiguous as new definitions continue to be included depending on the context of CSR (Carroll, 1999; Diale, 2012; Yakovleva, 2007).

2.2 CSR Definitions

Many Corporate Social Responsibility (CSR) definitions have evolved however the focus of the definitions is primarily on stakeholder relations. (Branco, 2007; Gapare et al., 2014, Lantos, 2001; Mullerat, 2010) and what CSR activities should achieve (Dahlsrud, 2008; Simelani& Chiroro, 2013). The proponents of the stakeholder view, which is in most play today define CSR as the giving back of a business to the society that it is benefitting from. CSR is also defined as an obligation by a corporate to make contributions that improve the lives of their workforce, their families and the local community at large (Ford, 2007).

In agreement with this is the AUSAID definition which states that CSR refers to the translucent of a corporate's business practice that is based on ethical values, compliance with the legal laws and respect for the people, community and the environment (Moir, 2001). In addition to making profits, it is the responsibility of a business to have a total impact on the communities. Crowther and Aras (2008) define CSR as a relationship that involves a corporate, the government and the citizens or the relationship between a corporate and the community in which it operates from. The EU defines CSR as a concept that involves the interaction of a business organisation and stakeholders in order for the organisation to understand and implement stakeholder concerns in their day-to-day operations voluntarily (European Union, 2001).

There are many other CSR definitions; for example, it is a business system a company adopts in order to increase the economic, social and environmental value to all its stakeholders through sustainable management practice (Gapare et al., 2014; Porter & Kramer, 2006). The difference between this and other definitions stresses the voluntary part in their definition whereas here it is silent. CSR is significant in the business world as it strengthens the relationship between the community and the corporation since it may help to protect the environment and aids in poverty alleviation and business sustainability (Mainunah, 2009; Towers Perrin, 2009; Roja & Sherina, 2015). Another interesting definition of CSR was provided by Kotler and Lee where they said CSR is a commitment to use corporate resources to achieve the betterment of the community (Kotler & Lee, 2005). In June 2006 at the Brussels European Council, the EU adopted a new strategy on CSR and sustainable development (European Commission, 2011).

On the other hand, other authors disagree with this. Drucker (1984) says when a business sees a social problem they turn it into an economic opportunity and benefits; turn it into productive capacity and well-paying jobs and wealth (Drucker, 1984). Milton Friedman made a statement in 1970 which is widely quoted where he said the only responsibility of a business is to maximize its profits legally (Friedman 1970; Jensen, 2001; Levitt, 1958). Mandina et al. (2014) state that although different scholars understand CSR in different ways they agree on the issue that companies must be involved in the welfare of the society in which they operate.

Another CSR definition was provided by the Center for Economic Development where they described CSR as corporate activities that are meant to improve the social, economic and environment of the communities through strategic ventures that ensure sustainable benefits for the community and stakeholders (Center for Economic and Social Development, 2013). International Labour Organisation (ILO) in its 2010 report explained that CSR and Sustainable

Development are closely linked. Sustainable Development deals with economic, social and environmental. Aspects common to people and their objective is to achieve sustainability for society. The objective of a corporate's CSR strategy should be to contribute to sustainable development. The ILO definition is also in agreement with Watts (2004) which focuses on the betterment of the welfare of the workforce and the society at large whilst behaving ethically. A company adopts a CSR definition depending on what is driving its CSR strategy.

Drivers of Corporate Social Responsibility

According to Chapple &Moon (2007), CSR can have an answer to sustainable development as it can direct corporations to behave dutifully within a social setting that contributes to sustainable development. If the correct CSR drivers are merged and there is corporate motivation, this can lead to the achievement of sustainable development (Chapple & Moon, 2007). However, each corporation has its needs which may not align with the needs of the community and the government and there is a challenge in aligning these different needs to address mutual concerns (Chapple& Moon, 2007). CSR can be described in terms of four drivers which are market, social, governmental and global (Chapple & Moon, 2007).

The market as the driver to CSR

Companies take CSR as a competitive advantage, thereby causing organisations to strive to surpass or equal the CSR investments of their competitors (Porter & Kramer, 2006). Some consumers are prepared to part with extra income in return of services produced by socially responsible companies (Bhattacharya & Sen; 2004). Consumers may punish unethical behaviour through boycotting unethical goods and services. Good examples include boycotting of Nestle for their advert of powder milk instead of mothers' milk (Boyd, 2012). Since CSR is still developing and is more based on voluntary, governments may not have the power to

enforce it, the actions of the consumers may force companies to practice CSR as customer shunning their products may be more costly than CSR practices (de Regil; 2005)

Social drivers to CSR

The main factors of the social drivers to CSR include media attention, social expectations, consumers, employees, investors, business associations and pressure by non-governmental organisations (NGOs). Improved social responsibility in business practices is often a result of partnerships between NGOs and organisations (Doh & Guay; 2006). The media also plays an important role in driving CSR as they report activities of companies that are socially irresponsible (Moon; 2007). Employees play an important role as they urge companies, from within to contribute positively to the community in which they operate (Muthuri, 2012).

Governmental drivers to CSR

In the year 2000, the UK government appointed a CSR Minister whose duties include encouraging businesses to adopt and implement socially responsible business practices and this has been cited as the leading example of governmental drivers for CSR (Chapple &Moon; 2007). The government could introduce lenient CSR regulations to encourage good CSR practices (Chapple &Moon; 2007).

Global drivers to CSR

Organisations are now becoming members of international standards. Some companies are even reporting their CSR through Global Reporting Initiatives. All this is a result of globalization where transnational companies are now exploiting markets in the developing countries leading the companies to draw up CSR codes as part of their ethical businesses globally (Chapple& Moon, 2007).

The influence of the drivers mentioned above varies according to the context of implementation which includes the national, cultural, religious, and governance. CSR practice in certain areas is heavily influenced by cultural and religious beliefs (Visser, 2010). In assessing and implementing CSR in different areas, it is important to understand the drivers for the particular area and also the weight they are given.

The role of the government in promoting CSR

Governments' have also become another driver for CSR. Governments can support CSR agendas through various ways that include regulating, aiding, brokering and warranting (Fox et al., 2002). In regulating the government can introduce laws and regulations to control certain business practices. In aiding, the government could introduce tax reliefs and punishments to encourage accountable business practices and encouraging companies to be involved in CSR practices. The government can also act as a broker through initiating dialogue and collaborating with different stakeholders in order to solve social and environmental challenges. Warranting includes being part and committing to implement international principles and also specific CSR related award schemes and guidelines (Fox et al., 2002). The government can also promote CSR through the formation of public-private partnerships linked to CSR in order to address social challenges like health access, education and food security (Bodruzic, 2015).

Another role of the government in promoting CSR can be through the soft policy approach where the government collaborates with the private sector (Bodruzic, 2015). Soft policies refer to a change of approach by the government from that of regulating to creating an enabling environment, raising awareness, formally recognizing CSR initiatives, developing CSR guidance documents and developing tools for CSR management (Singhal, 2014).

Soft law is less definitive and does not create enforceable rights and duties. It includes a variety of processes that attempt to set rules, guidelines, or codes of conduct that share the common trait of having non-legally binding normative content that may have regulative, practical effects similar to hard law. As soft law cannot be enforced by legal means, it does not have the same deterrent effect as hard law. As such, it cannot be relied upon as a basis for enforcement action and punitive sanctions. However, soft law is flexible and has discursive power through its facilitative effort to set normative standards and enable social learning. This is particularly useful in situations of flux where persuasion and reflexive adjustment, rather than rigid adherence or enforcement, are needed. Soft law also has the benefit of being facilitative of efforts to internalize the norms embedded in hard law (Trubek et al., 2006).

Soft law's strategic potential thus lies in its "soft power". Rather than resorting to threats (in essence, the use of hard law) or payments (incentives or bribes), soft power is the ability of an entity or an idea to obtain what it wants by virtue of being an attractive model and acquire traction and acceptance respectively (Nye, 2004). It is this attribute of soft law: facilitating the socialization, formation of consensual knowledge and a shared understanding of CSR. This can encourage and engender a CSR mind-set which hard law may find challenging to do so (Nye, 2004). Hence, soft law can also possess the regulative and constraining effect of hard law.

There are a number of voluntary codes initiatives that the government and business can be involved in. One such example is the Organisation for Economic Cooperation and Development (OECD) which are recommendations by the government to multinational companies operating in their countries. These recommendations provide guidelines of how for responsible businesses should operate in line with regulations locally and internationally

(Organisation for Economic Co-operation and Development, 2014). Another example of such codes is the UN Global Compact that is an internationally recognised program for companies and stakeholders creating an improved world. According to this initiative, companies are encouraged to do business dutifully in line with an agreed set of principles (UN Global Compact, 2010; UN Global Compact, 2018). This initiative supports the business to advance societal goals such as the Sustainable Development Goals (SDGs).

As the main interface between the United Nations and business, the UN Global Compact is uniquely positioned to strengthen business engagement in the implementation of the 2030 Agenda for Sustainable Development. During the past 15 years, the UN Global Compact has developed deep insights and experience with respect to maximizing business contributions for sustainable development. With over 8000 business participants spanning more than 160 countries, combined with an array of SDG-relevant issue work and partnership capabilities, the UN Global Compact is capable of unlocking the full potential of responsible (and accountable) business towards a better world.

Most of the definitions of CSR given above are derived from the different theories of CSR. It is important to understand these theories.

2.3 Theories of Corporate Social Responsibility (CSR)

In its simplest form, a theory is a formation of the relationship between things. Theories in CSR assist to understand why an organisation is involved or not involved in CSR. There are many CSR theories and has been grouped into Economic Theories which are mostly involved with the financial stakeholders where the focus is on their shareholders and the Social and Political

Theories which involve other stakeholders (Fernando & Lawrence, 2011).CSR practices in place now are more related to the social and political theories which are: stakeholder, institutional and legitimacy theories (Deegan, 2009; Gray et al., 1995). These theories are further explained below.

2.3.1 Institutional Theory

This theory links organisational practices to values and norms of the society in which it operates (Greenwood et al., 2008, Deegan, 2009). This link drives the necessity for an organisation to maintain its legitimacy to its stakeholders (Fernando et al., 2014. Disclosing information and voluntary engagement in CSR activities are part of institutional practice. Institutional theory suggests that various forces influence organisations to adopt CSR activities and considers the wider network of variables that influence decision making (Tschopp et al., 2012). These variables include the organisational subsystem, organisational field, society, nature of the firm and organisational population (Matten & Moon, 2008). An organisation is guided by institutional forces that shape and channels the institutional environment (Jamali& Neville, 2011), where its actions are structured by the network of relationships in which it is embedded (Wooten & Hoffman, 2008).

The organisational field is the centrality of institutional theory (Wooten & Hoffman, 2008) with various forces that influence a business to adopt CSR practices (Matten & Moon, 2008). In South Africa, CSR laws were crafted based on the social and economic expectations of society (Arya &Bassi, 2009). In abiding by these CSR laws organisations will be practicing CSR through the institutional theory. In Zimbabwe, Statutory Instrument 21 of 2010 provides for the establishment of Community Share Ownership Schemes/Trusts where all mining companies in Zimbabwe are required to cede 10% to the community as part of their CSR

activities. The institutional theory leads to an understanding of how and why CSR undertakes different forms in different countries (Brammer et al., 2012). Through institutional theory, we are led to understand why CSR is now a vital part of the business (Visser and Tolhurst, 2017.It can also be concluded that socially responsible behaviour being shown by organisations is a result of institutions that can be explained as the external factors of business (Campbell 2007). If there was no pressure and existence of such institutions organisations would behave irresponsibly.

According to DiMaggio and Powell (1983), the institutional theory is also described into two dimensions which are isomorphism and decoupling:

1. Isomorphism: a process where one unit in a population is forced to resemble other units in the same environment. It can further be divided into competitive isomorphism and institutional isomorphism. In competitive isomorphism, competitive forces drive organisations to adopt structures that efficient and not costly. Institutional isomorphism is broken down into three processes, which are coercive, mimetic, and normative (DiMaggio & Powell, 1983). In coercive isomorphism powerful stakeholders in which the organisation depends on the act as external forces that influence the organisation to change their CSR practice. This process is related to the stakeholder theory where an organisation is influenced by its stakeholders. In most cases, these stakeholders will also influence other organisations and this will lead to uniformity in different organisations (Deegan, 2009). Mimetic isomorphism is where an organisation tries to follow what others are doing so as to gain a competitive advantage. Those that fail to emulate the innovative strategies of other organisations will lose their legitimacy (DiMaggio & Powell, 1983). In normative is omorphism, the organisation is forced to conform to the common values in practice. In all these three processes organisations

are influenced to implement structures that are similar to others regardless of whether they are useful to them or not. We can, therefore, conclude that in institutional theory organisations accept theories that are socially accepted to be proper (DiMaggio & Powell, 1983).

2. Decoupling institutional theory separates an organisation and its external forces. It states that an organisation need not necessarily comply with the expectations of the external forces. In this theory, social and environmental disclosures are used to build an organisational image that may not be similar to the actual organisation performance which is similar to the legitimacy theory. That means to say in CSR reports an organisation can be portrayed as one that upholds social and environmental responsibilities when in actual fact it is a shareholder profit maximization organisation (Deegan 2009).

2.3.2Legitimacy Theory

This theory implies that society has accepted norms and beliefs which corporate has to operate within (Deegan, 2009; Fernando et al., 2014;Moir, 2001), guided by a perceived social contract between the society's expectations and the corporate's conduct (Guthrie, 2006). The societal norms and beliefs are dynamic and when they change corporates need to be responsive to the changes (Deegan, 2002). Legitimacy theory is concerned with the relationship between a corporate and the society in which it operates, (Fernando et al., 2014) where society is considered as a unit and not as individuals (Deegan, 2009). The notion of legitimacy theory rests on the need to report on their activities as per perceived expectations from society (Deegan, 2002; Fernando et al, 2014). Where there is a mismatch between societal expectations and corporate conduct, a legitimate gap will occur (van der Laan, 2009). In South Africa,

corporates use CSR disclosure to legitimize their actions through reporting positive CSR actions leaving out the negative news (Deegan, 2002; Fernando et al, 2014; Gray et al, 2009).

Although legitimacy theory has a limitation that it is not clear on why corporates might not disclose or may be selective in what they disclose (Gray et. al, 2009), this has not limited its use in CSR studies as it is still the most used theory in CSR disclosure (Fernando et al, 2014). Legitimacy theory largely relies on the social contract which has a challenge that may be explicit or implicit and also changes over time (Deegan, 2002). Organisations need to disclose their CSR to show that they are changing in line with the changes in the expectations of society (Guthrie, 2006). This theory is mainly based on the notions of the legitimacy gap and legitimacy strategies. Now on CSR disclosure companies may choose to disclose positive CSR and not disclose negative. Therefore, it will be difficult to see the legitimacy gap (Fiedler and Deegan 2002).Chu, Chatterjee, and Brown (2013, tested the legitimacy theory using an investigation on Chinese companies and they found out that most companies only report neutral and good news leaving out relevant negative news. Organisations are motivated to engage in CSR activities and disclosures in order to legitimize their operations and maintain their legitimacy. Deegan 2002).

2.3.3 Stakeholder theory

Stakeholder theory was popularized by Edward Freeman in the 1980s where he describes a corporate as a 'series of connections of stakeholders that the managers of the firm attempt to manage' (Freeman, 1984: 46). The theory is concerned with the belief that besides shareholders a corporate should consider the interests of other groups that benefit or are harmed by their actions (Freeman, 2004, Guthrie et al, 2006). These groups include the community, suppliers, employees, and customers. In stakeholder, theory corporates are supposed to involve

their stakeholders in various initiatives and activities. The interests of the stakeholders meet and interact together with the interests of the organisation and the management is accountable to its stakeholders, this will then be used to develop CSR policies (Lai Cheng& Jamilah, 2010). The accountability to stakeholders will then push corporates to disclose information (Deegan, 2009; Gray et al., 1995)

Freeman (1984) divided stakeholders into primary and secondary where primary stakeholders are stakeholders that the firm cannot survive without examples of those in this group include shareholders, employees, customers, and suppliers. Secondary stakeholders are those who affect or are impacted by the organisation (Clarkson, 1995). Secondary stakeholders are not involved in the running of the organisation and examples of this are the communities and environmental activists. According to Van Beurden and Gossling (2008), the success of a corporate rest on the extent to which the organisation is able to manage its relationships with the primary and secondary stakeholders. This means that the central idea of the stakeholder theory is about how a corporation is able to manage its relationship with its stakeholders. For an organisation to manage its stakeholders they need to understand who those stakeholders are and this can be done through stakeholder mapping (Looser &Wehrmeyer, 2015).

Stakeholder mapping can be described as an analysis of an organisation's stakeholders to determine where they come from and their expectations from your business. There are four phases in mapping which are: identifying, analyzing, mapping, and prioritizing. The better an organisation does in mapping and understanding its stakeholders the better it performs in stakeholder management. In identifying the stakeholders, the organisation will be brainstorming the stakeholders who have an interest in the objectives of the organisation either now or in the future. After identifying the stakeholders, the organisation will then analyse its

stakeholders so as to understand their importance and their relationship to each other (Looser &Wehrmeyer, 2015). The stakeholders will then be mapped to rank them according to their importance and influence on the business. After mapping the stakeholders will then be prioritized in order of their importance.

As alluded to above, an organisation is surrounded by its stakeholders. At the core of the organisation are primary stakeholders for example employees, customers, distributors, shareholders, financiers, and suppliers. An organisation cannot survive without primary stakeholders.

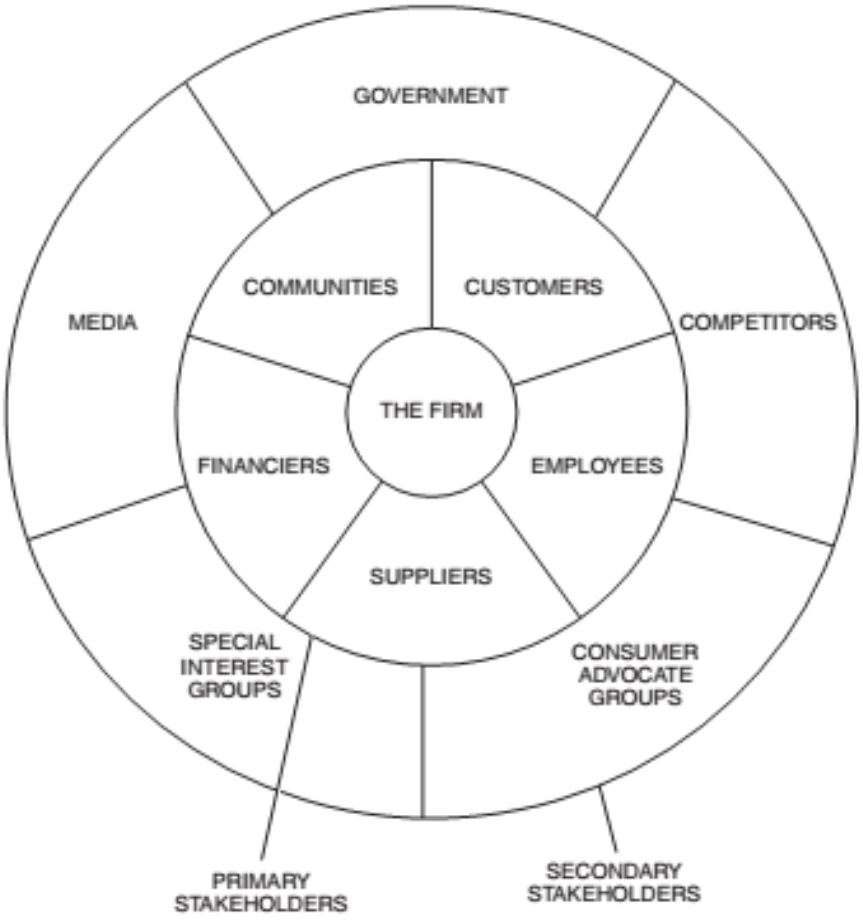


Figure 2.4

Adapted from: Freeman and McVea, 2001

That is to say internal stakeholders are those who engage in the economic conditions of the organisation (Subramanian, 2009). Secondary stakeholders include government, media, activist groups, communities, the general public, and business groups. These are external stakeholders who are not involved in direct economic conditions of the business but indirectly affect the organisation by taking actions that make it difficult for a business to succeed (Subramanian, 2009). There are many interpretations and explanations of the stakeholder theory but there are two main explanations that are provided in this theory, these are the ethical perspective and the managerial perspective (Gray et al., 2009; Guthrie et al., 2006).

a) Ethical perspective

   According to Deegan (2009) under this perspective, all stakeholders deserve to be treated fairly regardless of their power. So in treating its stakeholders an organisation should not consider their power but should treat them all equally and fairly. A business is not run to maximize profit for its shareholders only but should equally benefit all stakeholders. An organisation is accountable to all its stakeholders not only its shareholders. In this regard, the profit maximization can be compromised in order to consider other stakeholders (Gray etal., 2010). The limitation in this perspective is that it is difficult for an organisation to treat its stakeholders fairly especially when the stakeholders have different or contradictory interests (Fernando etal., 2014).

b) The managerial perspective

   From the managerial perspective, an organisation strives to meet the interests of the powerful stakeholders normally those that make the organisation run (Deegan, 2009). An organisation is accountable to its powerful stakeholders who are normally its shareholders. Thus from a managerial perspective, an organisation focuses on its powerful stakeholders unlike in the ethical perspective where all stakeholders are considered regardless of their power (Deegan, 2009).

According to Bittner and Leimeister (2011), for an organisation to derive benefits from the corporate social responsibilities, there has to be effective communication between the organisation and its internal and external stakeholders. Kaplan and Haenlein (2010) encourage the use of new technologies in communicating with the stakeholders as these enable two-way communication in a cheaper way.

The degree at which the needs of the stakeholders of a company are satisfied determines the sustainability of that company (Pirsch et al., 2007). Metal (2009) describes corporate social responsibility as a stakeholder focused approach where an organisation does not only look at itself but also the effects of its activities on the community and the environment. Depending on the attitudes of an organisation's corporate social responsibility the stakeholders of an organisation forms their perceptions of an organisation (Pomering &Dolnicar, 2009). It can, therefore, be concluded that corporate social responsibility is the relationship between an organisation, its society and its stakeholders (Castello Branco et al., 2014).

Summary of CSR theories

According to Fernando et al. (2014), stakeholder theory extends the legitimacy theory by considering the various stakeholders of the societal expectations and institutional theory deals with the accepted norms which are influenced by the organisational stakeholders (Fernando et al., 2014). Stakeholder theory is more concerned about the relationship between an organisation and its stakeholders. Legitimacy theorists believe that an organisation uses CSR performance and CSR disclosure for it to gain legitimacy to its survival. Legitimacy theory extends stakeholder theory in that it involves making sure that the organisation is performing according to the norms and expectations of the society from the viewpoint of the stakeholders. The

institutional theory focuses on the practices that are influenced by the stakeholders either directly or indirectly.

2.4. Theoretical Framework

The correlation linking legitimacy theory, stakeholder theory, and institutional theory forms the basis upon which theoretical framework is constructed. Generally, there are two key similarities that is exists within the three underlying theories. Firstly, all the three theories are a result of a wider political economy theory (Gray et al, 1996). According to Gray, et al 1996, "political economy" is defined as "the social, political and economic framework within which human life takes place" (Gray et al, 1996. p. 47). The theory presupposes that society, politics, and economics are undividable. This assumption is centred on the basis that economic actions cannot significantly be investigated, without taking into cognisance the social and political aspects (Deegan 2009). Guthrie and Parker (1990), in relation to the theory of political economy, they viewed corporate disclosures as political, social, and economic documents.

Nevertheless, the political economy point of view does not regard business information as unbiased or fair papers, but as "a product of the interchange between the corporation and its environment and attempt to mediate and accommodate a variety of sectional interests" (Guthrie & Parker 1990, p. 166). In this particular political economy viewpoint, legitimacy theory, stakeholder theory, and institutional theory are modelled with slim disparities.

Secondly, all three theories are regarded as "system-oriented theories" (Gray et al, 1996). Gray and the others indicated that a system-oriented perception "allows one to focus on the role of information and disclosure in the relationship(s) between organisations, the state, individuals and groups" (p. 45). In general, business disclosure choices are essential in establishing an

approach to improve the connection between an organisation and its stakeholders whom it functions with in accordance to the aforementioned three propositions.

Furthering the assumptions underpinning these theories, organisations or businesses are believed to be an essential element of the broader societal structure. The stakeholder theory presumes stakeholders of an organisation as an independent entity and assumes a high stakeholder decision outlook. Legitimacy theory trusts in a holistic view and takes a low stakeholder resolution, while institutional theory considers generally accepted social norms and/or institutional practice which are indirectly influenced by the organisation's stakeholders. Both the stakeholder and legitimacy theories describe why directors of an organisation adopts a certain strategy for example the voluntary CSR disclosure, while institutional theory be likely to hold the broad macro view to explain why an organisation adopts a particular structure or particular reporting practice.

Furthermore, the first two theories explain how managers try to legitimise and/or account to a particular set of stakeholders or to all the stakeholders, whereas the latter theory "typically embraces a view that managers are expected to conform with norms that are largely imposed on them" (Deegan 2009, p. 365). All three theories concern the relationship between an organisation and the society within which it operates. Thus, these theories are directly or indirectly related to each other and should be considered be complementary rather than competing with each other.

Based on these features, a comprehensive theoretical framework is constructed, by integrating legitimacy theory, stakeholder theory, and institutional theory. This theoretical framework shows the convergent organisational behaviour or motivations, convergent motivations of CSR practices, and CSR behaviour or outcomes. In line with these three theories, the following broad convergent predictions of organisational behaviour or motivations are derived:

1. An organisation seeks survivability and stability of its business.

2. An organisation seeks legitimacy of its business or social worthiness of its existence.

3. An organisation tries to be accountable to its stakeholders.

4. An organisation tries to conform to procedures and structures of other organisations which are within a particular organisational field that share common values and beliefs of society in which they operate.

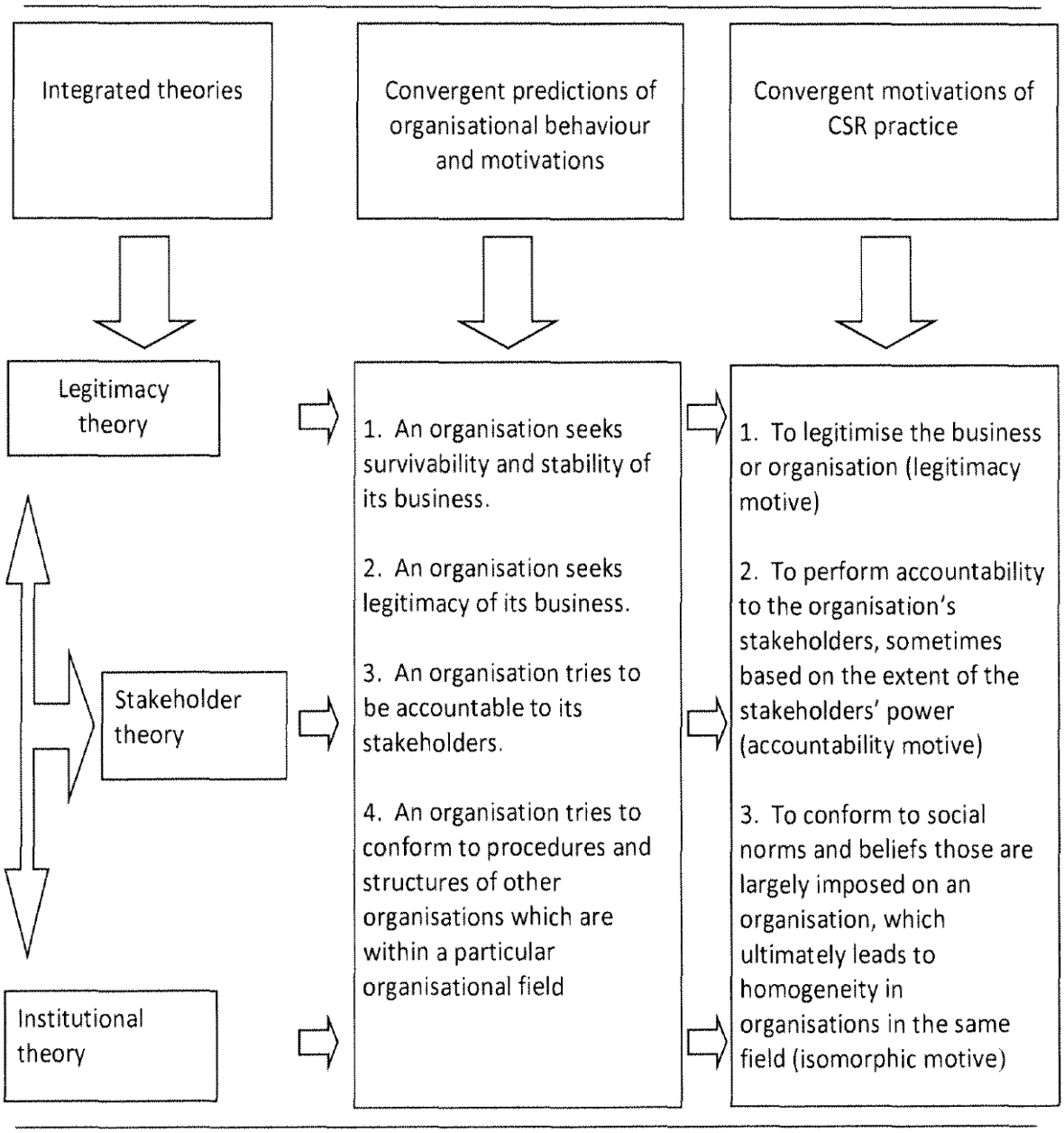
Fernando & Lawrence (2014) highlighted that within these extensive institutional behavioural forecasts, an organisation may be motivated to engage in CSR practices such as involvement in CSR activities, publishing CSR disclosures, maintaining a stakeholder dialogue, and/or strategising the organisational behaviour by integrating CSR activities with the organisation's business strategy. Drawing on these convergent predictions or assumptions of organisational behaviour and organisational CSR behaviour, legitimacy theory, stakeholder theory, and institutional theory predict the possible reasons for an organisation's engaging in CSR activities:

1. Need to legitimise the business or organisation

2. Need to perform accountability to the organisation's stakeholders, sometimes based on the extent of the stakeholders' power.

3. Need to conform to legitimate norms and beliefs those are largely imposed on an organisation, which ultimately leads to homogeneity in organisations in the same field.

Figure I: The theoretical framework



Theoretical framework: Extracted from (Fernando & Lawrence, 2014)

2.5 CSR in Africa

CSR has been receiving attention the world over. There has been a call for a sustainability approach to CSR globally where multinational companies in developed countries need to invest

in community development projects that improves the standard of living for the local population (Million, 2011; Mujtaba & Cavico, 2013). The United Nations have a business initiative on CSR which encourages companies to join voluntarily as they agree to make improvements in the environment, comparting corruption and human rights (Mujtaba & Cavico, 2013). The World Bank trains corporates through their Internet course called the CSR and Sustainable Competitiveness which gives an outline for improving the business environment that supports social responsibility activities (United Nations, 2016). According to the World Bank, the term Corporate Citizenship is the idea of a corporate as a citizen. In the European, Community CSR is being promoted as companies are encouraged to become more socially responsible by taking into consideration sustainable development (Mickels, 2009). In China, executives believe that a corporate can be socially responsible through "complying with the law, providing customers with safe and reliable products, improving the quality of the education system in China, and protecting the environment" (Hai-yan et al., 2012, pp. 61-62). In India, the government directed that oil companies should spend 2% of their profits on CSR while private companies spend 2 – 5%. The Indian government also requires companies to disclose their CSR activities and or reasons for failure annual reports (Afsharipour, 2011).

There are many international standards that guide CSR globally. Some of them include ISO 26000: 2010, Organisation for Economic Development (OECD) Guidelines for Multinational Enterprises, European Union, United Nations Global Compact and International Labour Organisation (ILO). These organisations and others help to regulate CSR globally by giving guidelines to companies to either self-regulate themselves or assist in giving mandatory regulations to corporates. Carroll's pyramid model has been the most widely accepted and referred to in CSR (Schwartz &Carroll, 2003, Visser, 2005; Wartick & Cochran, 1985). The pyramid has four domains which are economic, legal, ethical and philanthropic. According to

Carroll's pyramid, at the bottom are the economic responsibilities, followed by legal, ethical and lastly philanthropic. A business has to achieve the responsibilities at the bottom first before moving to the next level. That means the economic responsibilities is the foundation upon which all other responsibilities are built (Carroll, 1991).

CSR activities in Africa are described as a replica of developed countries (Arya & Zhang, 2009). The conduct of companies in Africa, which is a result of a weakness of governing legislation in Africa, has shown the need for CSR policies (Ford, 2007). Scholars agree that the specific context matters since CSR is locally rooted and is a creation from historical and cultural factors (Idemudia, 2011; Okoye, 2009; Visser 2006). Caroll's model widely referred to as the CSR Pyramid model was developed in America and may not be relevant in the African context (Visser et al, 2011), as CSR can be effectively defined in context (Muthuri & Gilbert, 2010; Okoye, 2009; Visser, 2006).

In Carroll's pyramid where layers represent different emphasis assigned to various responsibilities, the African context shows a different weighting on the layers (Visser, 2005), where economic responsibilities uptakes priority but in Africa the focus is more on "economic multipliers" such as creating jobs, staff development, transfer of technology and product value addition. The second most important in developing countries will be philanthropic responsibilities because of the socio-economic needs of these countries. Companies also realize that they cannot prosper in communities that fail (Crane & Matten, 2007; Organisation for Economic Co-operation and Development, 2014). The third important is the legal responsibilities because in developing countries legal have a lower priority since developing countries are behind in terms of incorporating CSR and human rights into legislation and also the governments have limitations in enforcing legislation (Mwaura, 2004;

Visser, 2005). The ethical responsibilities are the least prioritized in the developing countries because of the dominance of corruption in the business landscape thereby undermining the call for ethical conduct (Visser, 2006).

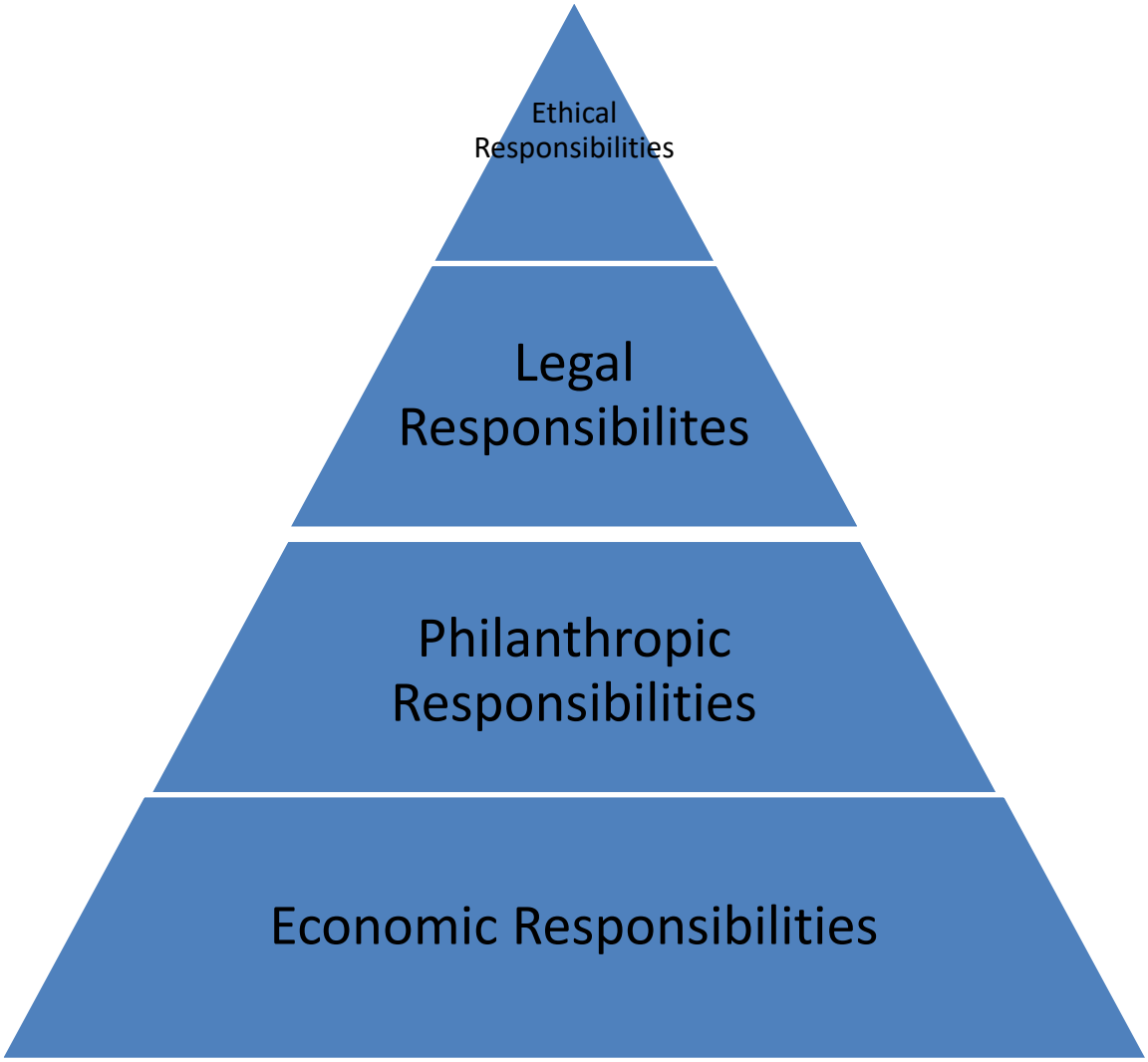


Figure 2.6

Source: Visser, 2006

Although Visser (2006) devised a CSR pyramid where he prioritized philanthropy as second, this does not fully address the African needs as the pyramid fails to recognize the power of the modern consumer to bring about change and social responsibility in businesses Crane and Matten (2004). After the results of survey testing of the pyramid developed by Visser (2006) and the conclusions that in different countries the importance of the hierarchy has not been

found to be the same Zabin (2013), also came up with another model explaining corporate social responsibility in developing countries. In this model, Zabin included the environmental responsibilities and removed the ethical responsibilities as ethical and philanthropic responsibilities are treated as the same. Also, ethical responsibilities are covered by legal responsibilities (Zabin, 2013). The modified pyramid is as per below diagram:

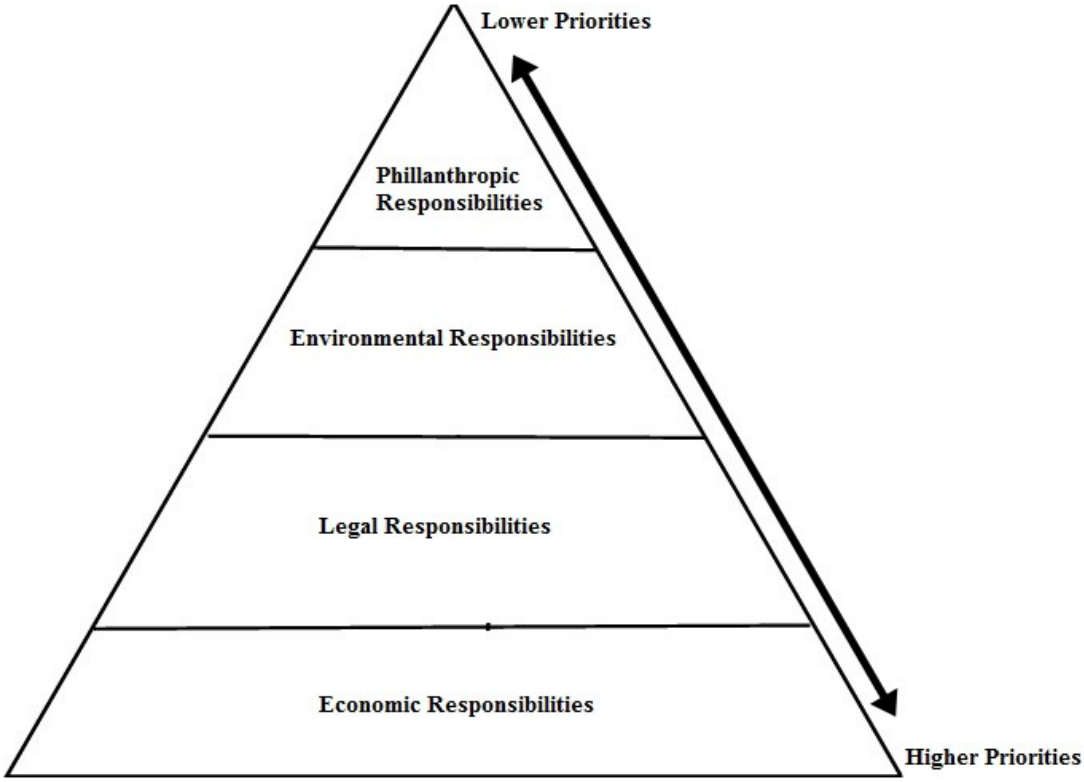


Figure 2.7

Zabin 2013 pg. 78

However, the use of a pyramid in representing CSR domains has been explained as confusing and does not explain the overlapping nature of CSR domains (Carroll, 1993; Schartz& Carroll, 2003).

There has been a call for an Africanised CSR agenda based on the African context (Muthuri & Gilbert, 2011) since CSR activities carried out in developing countries do not address the root

cause of poverty and they fail to improve relations with local communities (Crane et al., 2008; Kolk & Lenfant, 2010; Okoye, 2012). For an effective African CSR agenda to be devised, it is important to understand the African environment and also the reasons that are pushing CSR in Africa (Muthuri & Gilbert, 2011).

Effectiveness of CSR activities in Africa should not be measured by what is acceptable in developed countries as the contexts are different (Arya & Zhang, 2009) but should be leading to sustainable development (Kivuiti et al., 2005; Okoye, 2012). Effective CSR policies should, therefore, target poverty alleviation, sustainable development, sustainable growth, human development and expands environmental resources (Kivuiti et al., 2005; Oginni&Omojowo, 2016; Van der Walt, 2007). There is also an unevenness between the African governments of poor countries and huge multinational companies when there is a comparison between the tax contribution of the company and the total budget of that company (Kolk & Lenfant, 2010; Okoye, 2012).

The legislation is also important in constructing social expectations around which corporates frame their behaviour and CSR activities (Muthuri & Gilbert, 2011). Corporates have been paying more attention to communities in developed countries more than those in developed countries (Kapelus, 2002) as many African governments are not comfortable in enforcing too much regulation for fear of deterring investors (Ford, 2007). Corporates just learn CSR activities other corporates and this reduces the effectiveness of CSR (Muthuri & Gilbert, 2011). For effective CSR that leads to development, the law is a necessary tool (Corrigan, 2014; Moon, 2004). Muthuri (2012) concluded that the lack of and weak legislation is among the factors that hinder CSR in Africa (Muthuri, 2012).

Whilst CSR is increasingly regulated in Western and developed countries in general, this is not so for most developing countries (Buhmann, 2006), particularly in Africa.CSR in Africa has also recently gained heightened interest generally due to high levels of poverty and inequalities, particularly among those countries in which sustainable development challenges appear most intractable (Cheruiyot & Maru, 2014). In such countries, CSR has gained resonance among local communities and the general public. More knowledge on CSR is critical, and urgent owing to Africa's unique situations.

Sustainability in CSR is explained as consisting of three pillars that are: economic, social and environmental (Ford, 2007; Oginni & Omojowo, 2016). The Johannesburg Stock Exchange (JSE) launched a Socially Responsible Investment Index with indicators that cover environmental impact, social and economic sustainability and governance issues (UN, 2016. Organisations involve themselves in economic activities to meet societal needs in order to make profits while abiding by the prevailing norms and beliefs of social performance in the society which they operate and this through an environmentally friendly way (Joyner et al, 2002; Oginni & Omojowo, 2016; Windsor, 2001). CSR practices are therefore part of the business and not the outcome of a business as the interests of environmental and societal stakeholders are taken into consideration (Oginni et al, 2015). Currently, there is nothing about the Zimbabwe Stock Exchange's listed companies' requirements on CSR.

There are many methods that are used to evaluate CSR, the methods can be grouped into direct and indirect. Direct methods are meant to evaluate CSR of the particular organisation doing the evaluation for example the CSR self-assessment Handbook and the ISO 26000 standard. Indirect methods measure and monitor the performance of the organisation as well as CSR and examples are Sustainability Balanced Scorecard, GRI - Sustainability Reporting Guidelines,

Handbook for Validation of Sustainable (Kósi and Harazin, 2011). Although there are many methods of evaluating the CSR activities Lulewicz-Sas mentions that there is no universally agreed method of measuring/evaluating the effectiveness of CSR activities as companies tends to use different methods in order to present their companies as socially responsible. Since there is no agreed methodology it makes it difficult to compare results between organisations (Lulewicz-Sas, 2014). CSR should be evaluated three main areas which is: the state of CSR implementation in relation to existing plans of the organisation, impact of CSR to the organisation and effects of CSR from the perspective of the stakeholders (Lulewicz-Sas, 2014). It is important to measure CSR from the perspective of the stakeholders as sustainability of the CSR projects is determined from the stakeholder's perspective (Tafti SF, Hosseini SF, Emami SA, 2012; Lulewicz-Sas, 2014). However, very few companies are interested in the reaction evaluation from the stakeholder's perspective (Lulewicz-Sas, 2014). Since the purpose of this study is to analyse the effectiveness of CSR activities in the mining industry, it is important to approach the analysis from the stakeholders' point view.

2.6 Mining and Sustainable Development

CSR programs treat the company as a participant in a community of stakeholders to whom the company is accountable. Everyone who may be impacted by the company's activities either now or in the future, directly or indirectly is considered as a stakeholder. Therefore, in sustainable development future generations who may be affected by the company's current activities are treated as stakeholders, so CSR practice would be following the principles of sustainable development. For example, a mining company extracting minerals from a certain place would not be economically sustainable as any short term assistance to the current generation would not benefit future generations, who would have benefitted from the minerals.

Therefore, in CSR and sustainable development, the company would have to come up with a way of mitigating the losses done to future generations.

In the current globalization era, local communities are now acting as governance actors. Mining companies have to make promises to develop communities in order for them to get mining contracts (Vazquez-Brust, Yakovleva, & Mutti, (2013). Through these activities and promises mining companies are now having a road to earning the Social Licence to Operate (SLO) which is an approval involving the local community's authorization to operate in their communities. According to Hilson (2012), there is a need for mining companies to go beyond the SLOs and work towards long term benefits to the communities which in other words is Sustainable Development.

The corporate view of sustainable development in the mining industry has been that negative effects of mining activities can be acceptable if they are adequately corrected and the outcome leads to the increased sustainable development of the local communities (Kumah, 2006). The negative effects of mining are being continuously raised as a critical issue in the mining industry. This has led to big mining firms situate themselves in positions where they act as drivers of sustainable development within the communities they work (Himley, 2010). This has been pushed by the view that a company's good corporate image leads to better competitive advantage (Buxton, 2012). Mining companies have been operationalizing sustainable development through Corporate Social Responsibility activities such as implementing community based social development programs (Himley, 2010).

As alluded to above, CSR has been accepted as an approach that leads to improved socio-economic issues. Mining companies are a profit-making organisation who would want to spent

very little in CSR as it is a cost to them (Buxton, 2012). However, in order for CSR activities to attain sustainable development, there is a need for a partnership between the company and the society where CSR is being implemented. Also, the CSR projects being done need to be able to sustain themselves for a longer period. Companies implement different CSR programs depending on their mission, vision, values and also the culture of the communities where the CSR activities are being implemented. Legislation of the host communities also plays an important part in shaping the CSR activities that a mining company can implement. It is, therefore, apparent to study if the mining companies are doing their CSR just as a road to get to SLO or to achieve sustainable development.

2.7 CSR in South African Mining Companies

The mining industry is an important contributor to the South African economy as its minerals account for more than 50% of the country's exported goods and contribute to 18.7% of the country's GDP and employ around 13.5 million (Mail & Guardian, 2012). Although many emerging economies governments have enacted CSR laws, the South African government has gone further than most by introducing laws that encourage corporations to empower the previously socially marginalized groups and correct apartheid-era systems (Arya &Bassi, 2009; Muthuri, 2012). The South African government has made progress in firming the implementation of human rights and CSR as part of its legislation (Visser, 2006). These laws were meant to correct the unfair practices of the apartheid era by providing the black majority with an opportunity to be participants in their economy (Visser, 2005). The South African government went through a consultative process in coming up with this CSR legislation so as to have a buy-in from different stakeholders. For example, in the Mining Charter draft, the

South African government had said 51% was to be transferred to black ownership by 2012, however, after consultation; this was reduced to 26% (Arya &Bassi, 2009). The legislation focused on shifting CSR from the philanthropic activities to socio-economic issues such as unemployment and affirmative action (Hamman, 2003).

Background to the legislation of CSR in Mining in South Africa

When a democratic government came into power in 1994, the Department of Minerals and Energy started a review process of the policies that led to the drafting of the Kwaga Report, a green paper on Minerals and Mining. The input to this report came from the members of the tripartite committee which is the government, the business, and the labour, this against a background of a country policy change and institutional environment. No inputs were considered from the communities that are affected by the mining activities. As the South African Constitution required that the government involve the public in policy and legislation, various stakeholders' views were brought in at the final editing of the Kwaga Report. Six main themes emerged in this final report later referred to as the White Paper whose main objective was to change ownership of the mining rights. The six themes are Business Climate and Mineral Development, Participation in Ownership and Management, Governance, Environment Management, People Issues, and Regional Cooperation.

The MPRDA was later released in 2002 whose main objectives are among others:

- Understanding that mineral resources belong and are a heritage to all the people of South Africa
- Mining companies should implement a proactive social plan
- Attract foreign direct investment

- Contribute to rural development and support of communities surrounding mining operations.
- Compensate the results of racial discrimination and ensure disadvantaged people participate in the mining industry.
- Ensure security of tenure to existing mining operations (Mbendi,2006).

Another main objective of the Act was for all mining companies to contribute towards the sustainable socio-economic development of the surrounding communities where they operate. From this Act, the Mining Charter was mandated, wherein it states the particular areas where there was supposed to change and this includes: ownership, procurement and community, and rural development among other things. According to Section 4.4 of the Mining Charter, it is the responsibility of all stakeholders, the government included, to ensure the formulation of development plans for the surrounding communities of the mining companies. From the Charter flows the Social and Labour Plans which the government is using to ensure that mining companies contribute to the sustainable socio-economic development in the areas around the mining areas. The SLO plan which the mine must commit financial resources to implement must be in line with the Integrated Development Plans (IDPs) of the municipalities and districts where they are operating.

The South African mining companies are required to comply with the BEE scorecard for the broad-based socio-economic empowerment for the South African Mining Industry in order for their licenses to be renewed from 2002 (Hamann, 2003). The Broad-Based Socio-Economic Empowerment Charter for the South Africa Mining Industry (The Mining Charter)'s objective is to effect sustainable growth and transformation of the mining industry. The Mining Charter is important to the South African mining industry as it recognizes the economic injustice and

breaks the barriers to entry in the industry. The proportion of mergers and acquisitions which are BEE related increased from 10 – 15% to 24 – 32% after the introduction of the Mining Charter (Mabuza etal., 2010). Although significant progress has been recorded through the Mining Charter, it is also criticized for creating a group of black South Africans who are benefitting at the expense of ordinary South Africans (Arya & Bassi, 2009; Horne, 2017).

The South African Government also enacted the Minerals and Petroleum Resource Development Act (MPRD) which also seeks to correct the effects of the apartheid era through contributing towards the socio-economic development of the areas in which the corporates operate (Kloppers & du Plessis, 2008). The weakness of the act is that it does not specify how this objective is to be met. It, therefore, leaves it to the corporate and the extent to which it acts in line with the act is voluntary and used to measure their CSR. Performance on CSR issues is a requirement for companies to obtain licenses, South African companies have improved significantly in the way they manage CSR (Hamann& Kapelus, 2004). The question that however remains is if the companies are doing CSR just as a bribe to get their licenses to operate or they are doing it for the benefit of the recipients.

2.8 CSR in Zimbabwe Mining Companies

The literature on CSR in Zimbabwe is scarce with the available literature on Zimbabwe CSR mostly in newspaper articles, reports by local research organisations and company reports and companies mostly involved in voluntary CSR activities (Muruviwa et al., 2018). Research on CSR in Africa mainly focused on South Africa and Nigeria (Oginni & Omojowo, 2016; Okoye, 2012). As in South Africa, mining plays an important role in the economy of Zimbabwe. In

2011, mining contributed to half of the exports (Makore& Zano, 2011). Mining contributed 16% of the country's GDP in 2012 (Government of Zimbabwe National Budget Report, 2013).

In his report in 2013, the then Minister of Industry and Commerce of Zimbabwe, Mr. Welshman Ncube reported that because of a lack of legislation, Zimbabwe has been lagging behind as CSR activities are not monitored nor quantified therefore do not appear informal reports. In Zimbabwe, CSR in mining is governed by the following legislation: Environmental Impact Assessment Policy (EIAP) of 1994, Mines and Minerals Act, Indigenisation and Economic Empowerment Act (IEEA) and the Companies Act. EIAP is however not mandatory. The IEEA and the EIAP was late repealed.

The Mines and Minerals Act administer the resource extraction so that it's done in a way that is not detrimental to the environment and the surrounding communities. The act regulates the CSR activities by mining companies so as to mitigate the negative effects of mining in the communities (Government of Zimbabwe, 1961). According to this Act, compensation is done to the Rural District Councils who act as landowners in the communal lands. However, there is no evidence that the compensation is used to develop the communities which may be an indication that the Act does not cover the rights of the communities. According to Kabemba (2013), the Mines and Minerals Act is out-of-date and is not comprehensive to capture the necessary details.

The IEEA was enacted to empower indigenous Zimbabweans by transferring 51% ownership of all companies to indigenous Zimbabweans (Government of Zimbabwe, 2008). Through this Act, the Community Share Ownership Trusts (CSOTs) were established through ceding of 10% shareholding to local communities (Kabemba, 2012). CSOTs do not have legal existence as

the act does not compel companies should donate money to the CSOTs except on s16 where it says, "*All businesses should contribute socially to the communities they serve"* (IEEA, 2007: pg 30). However, there is no transparency in the way the CSOTs are being handled; some companies are refusing to pay while some are claiming that they paid to the ministers instead of the communities (Mambo, 2014). Following the legislation of the IEEA, the risk of doing business in Zimbabwe is now high making investors reluctant which in turn make corporate social responsibility difficult. Investors view the IEEA as a nationalization process since it requires that Zimbabweans should have 51% equity in all companies(Dziro, 2014).

History of Zimbabwe shows that mining has been an instrument of the development of communities in rural areas as noted by many towns that were developed around mining in Zimbabwe (Dziro, 2014; Makore & Zano, 2011). Mining companies seem to deliver CSR where they have a comparative advantage and their CSR activities seem to benefit their employees and not the communities in the places in which they mine (Makore & Zano, 2011). In agreement with this, Dziro also noted that their assistance is given to the community in constructing schools, buying books and constructing and electrifying clinics around the mining area maybe because they did not want to be disturbed when they concentrate on their mining activities not because they want to improve the standard of living of the communities (Dziro, 2014). In support of this Kabemba and Madzwamuse (2010) in their research on Zimplats and Mimosa concluded that the companies do not have a clear CSR strategy. Their projects do not take into account input from the major target groups of the communities i.e. women, children, and youth. According to their research, CSR projects by Implats in South Africa are distinctly different from CSR projects by its subsidiaries in Zimbabwe as it appears they take advantage of differing CSR legislation and government attitude (Kabemba & Madzwamuse, 2010). Most mining companies are doing CSR for public relations and since CSR is mostly voluntary there

is nothing legally binding (Kabemba, 2013). The IEEA does not empower communities since the 51% equity to Zimbabweans is not specified to whom it should be ceded (Dziro, 2014). Since South Africa and Zimbabwe share more than just a border it is important to have a comparison of the CSR activities being undertaken in South Africa and Zimbabwe.

The challenges that are being met in CSR because of the legislation is that the rich are benefitting instead of the poor communities as in the case of Share Ownership Trust claim according to Mambo (2014). Where there is legislation, it is silent on how the communities affected should be developed and CSR activities end up being done for public relations (Kabemba, 2014). However, the lack of legislation is also a problem as companies end up doing CSR activities for their marketing programs at the expense of the communities. In light of the poor corporate governance, some form of regulation on CSR would help (Hopkins, 2010). It is important therefore to check the extent to which lack of legislation is affecting CSR in Zimbabwe.

2.9 Relationship between CSR and Sustainable Development

Corporate Social Responsibility and Sustainable Development progressed independently. Businesses played a bigger role in sustainable development and it has been agreed that CSR contributes to the sustainable development of a business and without CSR sustainable development cannot be attained (Behringer &Szegedi, 2016; United Nations, 2016). For us to understand the relationship between CSR and Sustainable Development it is important to provide a summary of how the theory of Sustainable Development gained momentum.

Initially, only large companies were being mentioned in relation to sustainable development until the 1990s when the crucial role of all enterprises came into play. When sustainable

development appeared in the 2000s, it was presented as a duty for the business community and as a CSR and accountability requirement. During this period the focus on sustainable development was no longer the state's responsibility but it was for all stakeholders such as companies.

The first milestone on sustainable development was the Earth Summit which was organized by the United Nations Conference on Environment and Development (UNCED) in 1992 in Rio de Janeiro. From this summit came Agenda 21 which describes the role of business in sustainable development (United Nations,2016). In 1994 there was a reaffirmation of Agenda 21 at a conference in Barbados where specific actions were expected at national, regional and international levels (Sustainable Development Knowledge Platform) (United Nations, 2016). This was reviewed at a General Assembly to Review and Appraise the Implementation of Agenda 21 was held in New York in 1997. When the World Summit on Sustainable Development was later held in 2002 in Johannesburg, South Africa, there was a shift from the initial environmental focus to human and economic development due to the MDGs (Drexhage& Murphy, 2010).

The United Nations Conference on Sustainable Development, Rio+20 agreed on further mainstreaming of sustainable development at all levels. They agreed on identifying and integrating the linkages between economic, social and environmental aspects in order to achieve sustainable development. Accelerating the achievement of internationally agreed developmental goals was agreed upon. It was also agreed that for the achievement sustainable development all stakeholders were supposed to take part, thereby raising the importance of Corporate Social Responsibility (United Nations, 2016).

In 2015, in New York, the United Nations Sustainable Summit came up with a document popularly known as Transforming our World: the 2030 Agenda for Sustainable Development. 17 Sustainable Development Goals and 169 targets were set and all countries and stakeholders are supposed to work in partnership in order to achieve these in 15 years to 2030. According to the framework for Global Partnership for Sustainable Development, all the business sector players despite the size should focus on sustainable development in all its ways (UnitedNations, 2016).

The Partnership for SDGs platform was formed to encourage multi-stakeholder partnerships and voluntary support of the Sustainable Development Goals. According to Carroll (2015), the commencement of the sustainable development goals has gained support among the business players mainly because business tends to accept long term goals compared to immediate action. The goals run from 2015 when they were established to 2030 where CSR is expected to have assisted in the achievement of the SDGs. The United Nations (2016) requires organisations to run their businesses responsibly in order to solve societal challenges through innovation initiatives which then contribute positively to the SDGs.

Developing countries tend to focus more on economic and philanthropy dimensions of CSR leaving out the environmental dimension because of the undeveloped concept of CSR which is guided by high unemployment rates and poverty prevalence (Centre for Economic and Social Development, 2013). This focus tends to leave out the environmental and social inclusiveness in CSR implementation. However, if a country needs to achieve sustainable development there is a need for policy change and focus on a business model that promotes sustainable development. According to Oginni and Omojowo (2016), it is important for a business to have a CSR strategy that promotes economic, social and environmental dimensions as well as

implementing policies in line with national legislation and internationally accepted best practices (Oginni and Omojowo, 2016). This will lead to sustainable development as presented in the diagram

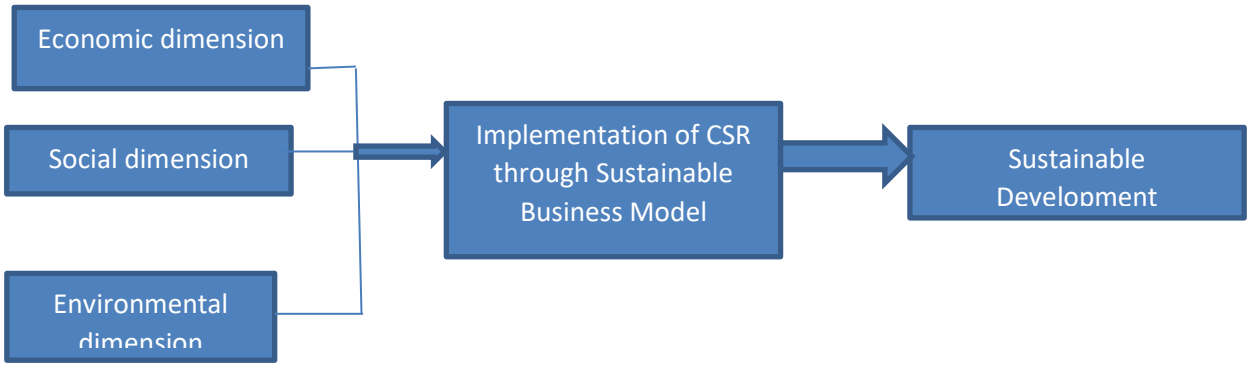


Figure 2.5

Source: Oginni&Omojowo, 2016 pg. 6

In agreement with Oginni and Omojowo (2016), Giovannucci et. Al. (2012) and PWC after their SDG Engagement Survey in 2015, there are certain aspects of activities that support and are recommended for Sustainable Development to be achieved. Some of the aspects are:

- Conservation of resources and promoting of renewable energies
- Empowering people
- Education and health facilities
- Recommendations for food security (Giovannucci et. al, 2012)

2.10 Conceptual Framework for the Study

From the literature reviewed the diagram below explains the conceptual framework that will guide the study. In evaluating the effectiveness of CSR activities and their sustainability and linkage to SDG achievement, the activities will be evaluated based on the aspects as guided by Lulewicz-Sas (2014). In his paper on Evaluation of Socially Responsible activities, he indicated that there are three ways that can be used to evaluate the activities. These are state evaluations where the evaluation is done in relation to existing plans, impact evaluation which determines the impact of the activities to the organisation and the reaction evaluation which determines stakeholder feedback on the activities (Lulewicz-Sas, 2014). On the importance of evaluating CSR Carroll (2000) stated that since CSR is an important subject it would be ideal to come up with the measuring tools so as to tell the impact it have.

In this research, the researcher will focus on the reaction evaluation (which focuses on feedback and feelings of the stakeholders in response to a company's action) to determine the effectiveness of the CSR activities. In the same paper, Lulewicz-Sas continues to indicate aspects that can be used to evaluate the effectiveness of CSR. On these the researcher will use the following aspects in relation to stakeholders to evaluate the effectiveness of CSR activities:

- Preparation and implementation of CSR
- Involvement of stakeholders before, during and after implementation
- Effectiveness of the CSR activities in achieving the expected goals

From the literature reviewed it is clear that the mining companies are involved in CSR. The question, however, is on the sustainability of these projects or activities. The researcher, therefore, will mainly use the reaction or effect evaluation with the aim of analyzing the stakeholder perception and feedback on the CSR activities.

As shown in Figure 2.7 below, the effectiveness of the Africanised CSR in this study is influenced by the legislative environment, stakeholder involvement and beliefs on what guides CSR. South Africa and Zimbabwe have different legislation regarding CSR, hence it is expected that significant differences exist in types of CSR activities. More so, stakeholder involvement and beliefs on what guides CSR may differ between the two countries.

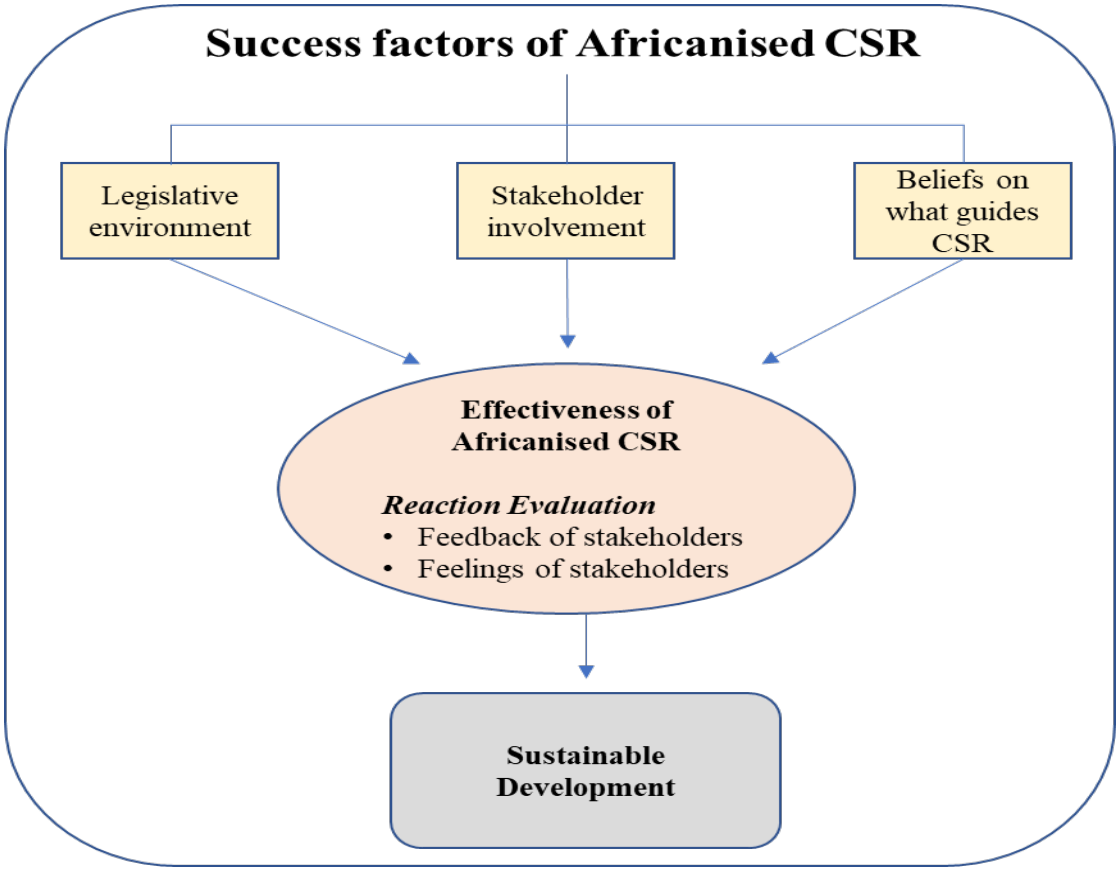


Figure 2.7: The conceptual framework

Source: Author's constructions

The reaction evaluation consisting of feedback and feelings of stakeholders has been chosen as a lead to understand the effectiveness of the CSR activities. Effective CSR is expected to result in sustainable development as shown in the conceptual framework by the direction of the arrow between the effectiveness of CSR and sustainable development.

In this research, the researcher seeks to understand if the CSR activities undertaken by mining companies are effective in the communities from the viewpoint of the beneficiaries. Therefore, it is important to understand the feelings of the communities where these activities are being implemented. Other theorists, for example, Vargas-Hernandez J G & Montano Cruz C G (2016); Bosch-Badia MT, Montllor-Serrats J and Tarrazon-Rodon M (2017); Levy, S.E., & Park, S.-Y., (2011) explains the effectiveness of CSR from the perspective of the implementing company. Although Calabrese A, Costa R & Rosati F's, 2015 theory analysis is feedback from the customers, it is mainly based on receiving feedback from the customers and not necessarily the recipients of the CSR activities. The researcher, therefore, preferred to use the theory by Lulewicz-Sas who analyses CSR from the perspective of the beneficiaries since the research seeks to understand effectiveness from the perspective of the beneficiaries.

2.11 Conclusion

From the discussion of the literature above, we have understood how the concept of CSR progressed until it was connected to the concept of sustainable development. We also discussed the various CSR definitions, the CSR theories and what drives CSR. CSR implementation in Africa, Zimbabwe, and South Africa were discussed. From the discussion above, it can be concluded that an Africanised CSR agenda should be focused on sustainable development. African countries lack legislation that compels companies to be involved in CSR activities however companies are still involved in CSR activities. However, the question that remains is if the companies are doing CSR just as a bribe to get their licenses to operate or they are doing it for the benefit of the recipients. Also are the companies using the same CSR agenda in different countries, in this case, South Africa and Zimbabwe. The Africanised agenda should

be contextualized and improve the welfare of the people in the communities in which a corporation operates.

CHAPTER 3

CHAPTER 3 - RESEARCH METHODOLOGY

3.1 Introduction and Paradigm

3.1.1 Introduction

This chapter examines the research methodology that was used in this thesis. It first explains the paradigm that supports the approach, deliberating on the interpretivist design and the qualitative approach. The next section discusses the justification for the design, the unit of analysis and the population and samples. The chapter then provides an outline of the reasons why a case study approach was selected. An overview of the data collection and analysis methods is provided and concludes with the limitations of the research, the validity, and reliability of the thesis. The chapter concludes with a summary of the data analysis procedures.

3.1.2 Paradigm

The research paradigm facilitates the linking of contextual factors and the research design (Corbin & Strauss, 2008). A paradigm can be explained as a set of questions applied to the data so as to help the analyst understand the link between the context and the process (Corbin & Strauss, 2008; Easterby-Smith et. al, 2012).

The aim of the study was to gather data surrounding the CSR activities undertaken by mining companies in South Africa and Zimbabwe. The data was gathered from the companies doing CSR, the communities in which the CSR activities are being undertaken and the government and other stakeholders in those areas. Therefore, it was important to use an approach to capture the meaning of all the stakeholders involved. Since these are different participants their perspectives and expectations on CSR activities were expected to be different. There was need

for the data collected to reflect different views of participants. Therefore, the study used an interpretivism approach as the sample included participants who understood and interpreted CSR differently since they are from different backgrounds. This approach allows interpretation of data with an understanding that participants have different views thereby allowing capturing a wide range of perspectives on the same question.

Interpretivism is described as a conviction that individuals generate significance as they interact with the world around them and that sense is dependent on the individuals' feelings about it (Orlikowski and Baroudi, 1991). Researchers believe that the interpretivist paradigm uses qualitative methods (Willis, 2007) since it enables them to understand the relationship between human beings, their environment and the part they play in creating the environment (McQueen, 2002). In qualitative methodology, the emphasis is given to words rather than figures when collecting and analysing data (Bryman& Bell, 2012). In other words, as much as interpretivism is a way to find meanings, it is also dependent on the individual's (Collins, 2010).

From the ontology perspective Blaikie (2000), described reality as a societal idea, where opinions and realities change as situations change. There are two assumptions to the ontology that is nominalism and realism. Realism assumption states that the world has a pre-determined nature and structure that exists and is not dependent on human consciousness. In nominalism, the reality is a product of our minds where different people have different views (Blaikie, 2000; Saunders et al., 2009). In this research, we are analysing the effectiveness of CSR activities being undertaken by mining companies. The effectiveness of CSR activities does not have a pre-determined nature and reality can be varied upon time and place and depending on the observers. Therefore, the nominalism ontology assumption is best suited for this research.

Research paradigms are normally differentiated between positivism and interpretivism (Bryman& Bell, 2007; Saunders et al, 2007).

Table 3.1: Research Paradigms

	Positivism	Interpretivism
Epistemology	The researcher doesn't have a relationship with what is being researched i.e. researcher and the researched are independent	Researcher interacts with what is being researched i.e. researcher and the researched are dependent and inseparable
Ontology	Knowledge is objective and unique and social facts produce objective reality	Knowledge is subjective as social facts are interpreted differently by individuals, therefore, bringing multiple realities.
Methodology	Theory testing/ Deductive approach.	Theory generation/ Inductive approach.
Purpose	Causal explanations, predictable and generalizable	Interpretation, contextualization, understanding social actors' perspectives

Adapted from (Bryman, 2012 and Collis & Hussey, 2008)

The central principle of positivism is that the researcher takes a scientific perspective when observing social behaviour (Saunders et al, 2007; Travers, 2001), whilst trying to find facts or causes of that behaviour (Hussey & Hussey, 1997). In positivism research, a number of propositions are generated for testing with experimental verification being used therefore is mostly based on the deductive approach (Babbie, 2005). Positivist study is normally used where considerable data has to be analysed using quantitative methods (Travers, 2001).

In interpretivism on the other hand, the researcher views the world through perceptions and experiences of the participants and uses those experiences to construct and interpret his understanding from gathered data (Thanh&Thanh, 2015). According to interpretivists, an understanding of the context where research is conducted is critical in the interpretation of the data gathered. The belief of interpretivism is that reality is socially constructed and therefore the context is important (Willis, 2007).

In this research, the researcher analysed the effectiveness of the CSR activities being undertaken by mining companies in achieving sustainable development. The researcher collected data interacting with what is being researched. The effectiveness of CSR activities in achieving sustainable development can be explained differently by different observers. For example, what the companies may explain as effective may be explained differently by the communities involved. Data was collected and then from the results of the analysed data a theory was developed. Therefore, the research took the interpretivist paradigm. Interpretivism allowed the researcher to put the value not on the numbers but on what has been said by the respondents. The effectiveness of the CSR activities can be best explained by those to whom it is intended to benefit and interpretivism allowed examination of what the participants said about their experiences (Willis, 2007). In this research, it was important to understand the

context of what was being researched therefore interpretivism allowed an understanding of the context of the CSR activities. Interpretivism has various strengths and weaknesses. Table below shows the strengths and weaknesses of interpretivism compared to positivism.

Table 3.2: Strengths and Weaknesses of Positivism and Interpretivism

	Positivism	Interpretivism
Strengths	It provides validity and objectivity to a research	Provides for different points of view and options which is healthy for society (Denzin&Lincolin,2008; Willis,2007)
	It is based on specific methods and supports research with statistical and objective data	It provides access to different aspects of reality
		The individual is an active agent and therefore can understand unexplained behaviour (Wotherspoon, 1998)
Weaknesses	It does not give an understanding of the context	Difficult to identify right or wrong (Feveraband, 1975)
	Does not capture the richness of individuals and the environment (Gay et al., 2005)	It claims anything without validation of data and scientific approach

3.2 Research Design

Researchers believe that the interpretivist paradigm uses qualitative methods (Willis, 2007) since it enables them to understand the relationship between human beings, their environment and the part they play in creating the environment (McQueen, 2002). In qualitative methodology, in-depth information is obtained not necessarily considering the numbers (Bryman& Bell, 2012) for this reason qualitative research was used in this research.

A qualitative design was used to have an understanding by reflecting on the cases of four different mining companies and by analysing the CSR activities of South Africa and Zimbabwe. This research analysed the effectiveness of CSR activities in achieving sustainable development. The research understood the difference between the activities being undertaken in South Africa and Zimbabwe. Qualitative research led to a generation of a theory and not theory testing. In this research, we did not test a theory but generated a theory for effective CSR activities making qualitative more appropriate. In order to answer the questions in this research, it is important to give emphasis to what has been said and not the quantities of the data, this is the emphasis of qualitative research (Bryman & Bell, 2003).

Qualitative theory normally has five strategies of inquiry which are: ethnography, phenomenological research, narrative research, grounded theory, and case study research (Creswell, 2003). To understand why a case study method was used,a summary of the five strategies of qualitative research is provided below:

Ethnography

This is where the researcher studies a group in an environment over a long period of time by observation or participation in what the group will be involved in (Whitehead, 2005). The method is about understanding the social world and requires the researcher to be involved in what the group will be doing in order to understand what is being investigated (Collis and Hussey, 2009). In this research, the researcher cannot be part of the community where the CSR activities are being undertaken and therefore cannot observe and participate so the method is not appropriate in this research.

Phenomenological research

The method focuses on understanding human experiences and the lives of individuals as provided by the participants (Saunders et al., 2009). This research seeks to analyse the effectiveness of CSR activities in achieving sustainable development, therefore, it focuses on activities and not human experiences so the method is not appropriate.

Narrative research

In this method, the lives of the individuals are studied and their stories retold in a narrative way. The focus is on the human experiences and lives of individuals therefore in this research it could not be used.

Grounded theory

In this method, the researcher attempts to come up with the main concern of the population in a study (Hussein et al., 2014). Researchers use it to predict and explain the behavior of participants in order to come up with a theory (Saunders et al., 2009).

Case studies

The researcher investigates an event or a process of one or more individuals within its real-life context. The method is used where the boundary between the phenomenon and the context cannot be separated easily and multiple sources of evidence are used (Yin, 2009). Both grounded theory and case study methods could be used in this research, however, the case study method was chosen over grounded theory as it enables the researcher to understand the context of the research and the processes. This research seeks to analyse the effectiveness of CSR activities in achieving sustainable development. It is important to understand the context where the activities are being undertaken and where sustainable development is expected. Therefore, the case study became more appropriate than grounded theory.

Yin (2014) came up with four case study strategies which are single case holistic designs which focuses on a single unit of analysis, single case embedded case designs which focuses on multiple unit of analysis in the same context, holistic multiple case designs which has a single unit of analysis in different contexts and embedded multiple-case designs which has multiple unit of analysis in more than one context. One rationale for using a single case is where it can represent a significant contribution to knowledge by confirming, extending or rejecting a theory (Yin, 2014). An embedded single case can be used where units of analysis are at more than one level (Yin, 2014). In this research, two mining companies in South Africa and Zimbabwe were used. Therefore, a holistic multiple case study was appropriate as there is no strong justification to use a single case and only one unit of analysis was used.

Multiple case study is whereby one study uses more than a single case. Yin (2009), provides the second dimension of holistic versus embedded case as the unit of analysis. In this research, a community where CSR activities are undertakenwas the case and the research analysed the

effectiveness of CSR activities being undertaken by mining companies in order to achieve sustainable development. The research took a holistic case approach where four holistic case studies were chosen by selecting two communities in each country and the activities of each community analysed. In this research, we had two different contexts where we seek to understand the behaviour of the mining companies in relation to CSR activities. The case study method allowed the researcher to have a deeper study of the activities being undertaken by the mining companies and why there are similarities and differences between the activities in the two countries.

3.2.1 Unit of Analysis

A unit of analysis is an occurrence in a bounded context (Miles & Huberman, 1994). This research analysed the effectiveness of CSR in the mining industry in achieving sustainable development for surrounding communities. The unit of analysis defines the case or relates to the research questions (Yin, 2014). The aim of the research was to analyse the effectiveness of CSR activities being undertaken by mining companies. The unit of analysis for this research was the CSR activities being undertaken by mining companies. The case boundary helps to determine the scope of data collection (Yin, 2014). The case boundary for this study was the communities where CSR activities are being undertaken or a district. This case included company representatives, community representatives, and government representatives. Four case studies were conducted that are two in South Africa for the selected companies and two were done in Zimbabwe for the same companies' subsidiaries.

3.3 Population and Sample

3.3.1 Population description

The population description for this study was the mining companies that are listed on the Johannesburg Stock Exchange and has subsidiaries in both South Africa and Zimbabwe. The Johannesburg Stock Exchange (JSE) has 23 companies listed in the mining category and out of these two companies have subsidiaries in both South Africa and Zimbabwe. Four mines that are subsidiaries of these companies were chosen two in Zimbabwe and two in South Africa.

3.3.2 Sample

As described by Dawson (2009) target population refers to a sample of people or anytype of units believed to be able to represent the total population. A sample refers to a subset of the target population that the investigator chooses to use for the research (Bryman, 2012). Thus, there is a need to select participants from the target population and their results would apply to the total population. Wotela (2017) indicates two types of sampling, which are probability and non-probability sampling that can be defragmented into simple, systematic, convenience and purposive sampling. This study employs non-probability purposive sampling. In probability sampling,the elements of the population have an equal chance of being selected whereas in non-probability it is not known which subjects will be chosen (Oppong, 2013). However, this does not necessarily mean that non-probability sampling does not represent the population but it means non-probability sampling does not depend on the same rationale with the rationale of probability theory. There may be circumstances where it is not possible, practical or hypothetically sensible to do random sampling and non-probabilistic can be considered.

The sampling strategy that was used in this research is purposive sampling which is non-probabilistic. Purposive sampling is whereby subjects are selectedbecause of the qualities that they have (Etikan et al, 2016; Teddlie& Yu, 2007). The subjects for this study were chosen because they are listed in the JSE and have operations in South Africa and Zimbabwe. Of the

23 companies listed in the JSE, only two have operations in both South Africa and Zimbabwe. These companies were therefore chosen as the subjects for this study. By being listed in the stock exchange companies are required to publicize their data and therefore easier to analyse than non-listed companies.

The case study was done in the Midlands Province of Zimbabwe and the North West Province of South Africa. South Africa was chosen as a comparison because it is a country for which CSR studies have been carried out more (Dawkins &Ngunjiri, 2008; Hamann & Kapelus, 2004) and CSR has received more attention because of the ongoing black empowerment (Ford, 2007). The sample, therefore, needs to well represent the two countries in order for the comparative to be effective. The sample for this study was four mines that are owned by two companies listed on the Johannesburg Stock Exchange. A total of 28 respondents were chosen consisting of community representatives, mining company representatives, non-governmental stakeholders, and governmental stakeholders. The respondents purposively chosen because of their proximity to information on the CSR activities undertaken. The mining companies that have been chosen are as follows:

Table 3.3: Mining Companies for the case studies

Mining Company	**Location**	**Owned By**
Marula Platinum Mine	South Africa	Implats
Mimosa Mine	Zimbabwe	Implats
Mogalakwena	South Africa	Anglo America
Unki Mine	Zimbabwe	Anglo America

3.4 Research Instrument

The method of data collection used was in-depth semi-structured interviews and open-ended questionnaires. Qualitative research interviews allow the researcher to understand the research topic from the perspective of the participants of the interview (King, 2014). There are no rules on the ideal number of interviews. The interviews and questionnaires were undertaken with some of the stakeholders of the mining companies, which are company leaders, community leaders, NGOs, and government representatives.

3.5 Procedure for data collection

Primary data was collected through interviews and questionnaires. In some instances, the questionnaires were distributed first, followed by in-depth interviews as a way of getting more information from the respondents where necessary. The questionnaires were distributed to the mining companies' management representatives while the interviews were done with the communities, non-governmental organisations, and the government representatives. The table below provides a summary of the people from whom the data was collected:

Table 3.3: Summary of people interviewed

Organisation	Targeted number of people for the interviews	Number of People interviewd	Identification Code
Zimbabwean mining company representative	2	2	CoRAR

South African mining company representative	2	2	CoRAR
Marula Platinum Mine Community Representatives	4	2	CRAR
Mimosa Mine Community Representatives	4	4	CRAR
Mogalakwena Mine Community Representatives	4	2	CRAR
Unki Mine Community Representatives	4	4	CRAR
Non-governmental organisations in South Africa and Zimbabwe	4	2	SRAR
Zimbabwean government representatives	2	2	SRAR
South African government representatives	2	2	SRAR
Total	**28**	**22**	

Purposive sampling was used in choosing the actual respondents. The researcher had targeted to interview four non-governmental organisations (two in South Africa and two in Zimbabwe). However, on data collection the other two did not respond to the request for interviews. Although four representatives had been targeted for the community representatives in South Africa, (two in each mining community), the other two did not respond to the request for interviews even after several follow-ups. The researcher conducted the interviews with the

respondents from South Africa telephonically and Zimbabwean respondents face-to-face. Each interview took an average of 45 minutes.

Secondary data for this study was collected from the company reports, non-governmental organisations' reports, government reports and any other publications that relate to the company and its activities, which will be readily available (Collis & Hussey, 2014).

3.6 Data analysis method

According to Creswell (2002), data analysis is a process of collecting, modelling, and convertingdata with the goal of emphasizing useful information in order to suggest conclusions and support decision making. The process comprisesof reorganising data and attaching labels to it in categories that make the data sensible (Easterby-Smith et. al, 2012; Patton, 2002). Qualitative data analysis can involve three steps which are: data reduction, data display and conclusion, and verification (Collis & Hussey 2014). These steps in the process are not lined but overlap each other.

Guided by the steps provided by Braun and Clarke (2006) after the interviews the researcher started the data analysis through transcription of all interviews. The interviews were transcribed soon after the interviews so that the researcher could remember particular observations and impressions for each participant. The researcher then re-read the transcribed notes of the interviews to enable the researcher to understand the data and get a sense of the experience of the participants. This allowed the researcher to search through the data to look for similarities and connection of ideas.

Guided by the steps described by Braun and Clarke (2006), the researcher initially started analysis of data through reading and re-reading the data in order to derive data codes. Specific ideas, thoughts and participants' words were highlighted using a manual coding system. The coding allowed the researcher to analyse data and identify themes through highlighting concepts and careful consideration of the participants' responses. The process allowed the researcher to develop own themes from the interview transcripts and emerging codes guided by the research questions.

3.7 Interpretation of the data and interpretive lens

Qualitative data interpretation is subjective in nature and can be influenced by the researcher's bias. Bias should be eliminated at data collection by using more than one kind of data and get different kinds of perspectives as well as look for contradicting information (Leedy & Ormrod, 2001). Interpreting data involves a consideration of what the results mean and the implication of the data. The interpretation process involves making value judgments at the same time making useful recommendations. It is also important to also consider the factors that could have affected the results and this was done through:

- The practical value of data should also be considered and not only statistical significance. This can be achieved through finding out alternate explanations for lack of significance
- Watch and resolve inconsistencies byconsidering the validity of all the sources of information. Stakeholders may have varying viewpoints that differ based on their different perspectives and experiences and these should be reflected in the findings

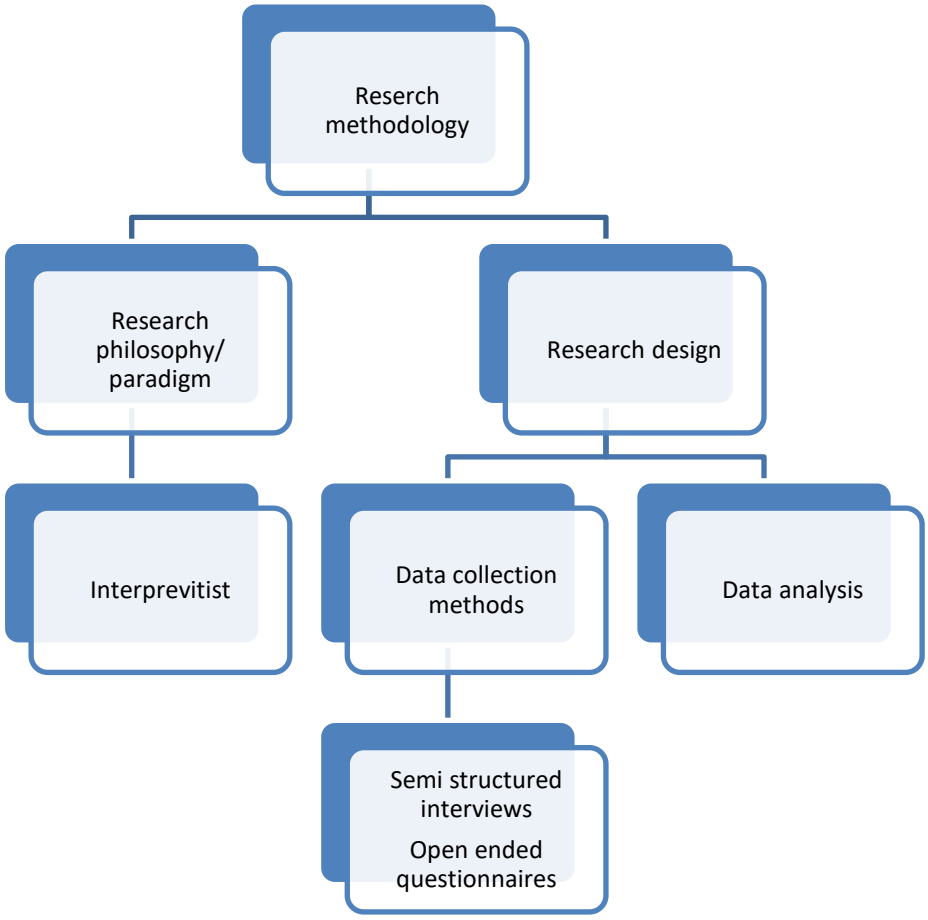
3.8 Limitations of the Study (methodological)

The data to be used was collected using non-probabilistic sampling. This type of sampling may not be representative of the population. The purpose of the study was to analyse the effectiveness of CSR activities by mining companies. The different stakeholders were located in different places and it was difficult to locate for the purposes of conducting the interviews with them. This resulted in fewer respondents from the South African mining communities.

3.9 Validity and reliability

Qualitative data are best understood in the context in which they are collected and results in a high degree of validity that is captured in different contexts (Collis & Hussey, 2014). The thesis was conducted independently and therefore the data was free from external forces that may influence the result, therefore, increasing the reliability. Datawas collected from direct sources such as company representatives, government representatives, communities and employee representatives. The reliability and replicability of the data can be proved when similar research is repeated in the future and similar results obtained. The researcher also uses triangulation on data collection that is having two different researchers conduct the same interview or analyse the same data as a way of testing its validity (Creswell, 2005; Creswell,2009). The researcher used triangulation in that the data was collected from different categories of people that is the company representatives, community representatives, government representatives and nongovernmental organisations. This was done to improve on the validity and reliability of

the data. A summary of the research methodology can beprovided as per the diagram below:



Source: author's own creation

3.10 Summary of the data analysis

The data was collected from three different groups, which are:

- Community leaders
- Company representatives
- Non-Governmental Organisations

The research findings will now be presented according to the research objectives in the following chapters as per the table below:

Chapter	**Research Objective**

4	CSR activities that are undertaken in South Africa and Zimbabwe
5	How does legislation in the two countries govern how CSR is implemented
6	How effective in achieving sustainable development are the CSR activities in Zimbabwe compared to South Africa

CHAPTER 4 – Data Analysis, Interpretation and Discussion

4.0. Introduction

This chapter is the first of the three chapters to discuss the data in relation to the research questions. The chapter will start by giving an overview of the mining companies under study and the communities where they are mining. In this chapter, the researcher will analyse data in relation to one of the research questions, which is; what CSR activities are undertaken in South Africa and Zimbabwe? Secondary data will be analysed to answer this research question.

4.1. Overview of the case studies

The case studies for the research involved four mining companies, which are Mogalakwena Mine (South Africa), Marula Mine (South Africa), Unki Mine (Zimbabwe) and Mimosa Mine (Zimbabwe).

4.1.1. Mogalakwena Mine

The Mogalakwena Mine is located near the town of Mokopane within the Mogalakwena Local Municipality, north-west part of South Africa. The current mine opened between 1991 and 1993. The majority shareholder is Anglo American. It consists of five open pits, which are Sandsloot, Zwartfontein, Mogalakwena South, Mogalakwena Central and Mogalakwena North pits. The mining right for Mogalakwena covers 137km2. The mine is expected to operate beyond 2060.

According to the Anglo American 2019 yearly report, Mogalakwena had a sales revenue of 25,845 million rands.

4.1.2. Mogalakwena Community

The Mogalakwena municipality is under Mokopane town in Limpopo province, sustained through mining and agriculture. Limpopo province has about 97% indigenous black Africans and about 2% are Afrikaners. Whites hold 65% of agricultural land in the province while 90% of the population stays in rural areas. The poorest of South Africans reside in the municipalities where about 65% live below the poverty datum line (McFalls, 2007).

The Mogalakwena Municipality is made up of 32 wards with an estimated population of 300 000 people with an unemployment rate of 48%. The mining rights is owned by Mogalakwena mine but the surface right is owned by the communities under a trust.
The Mogalakwena community settlement is comprised of a mixture of huts and modern brick houses. The settlement is properly planned with the provision of basic infrastructure. The residential area is demarcated with the ploughing fields (Rankoana & Mothiba 2016)

4.1.3. Marula Mine

Marula Platinum situated on the Bushveld Complex, near the town of Burgersfort in the province of Limpopo, South Africa. The staff complement at Marula is around 1,800. Marula is owned by Impala Platinum Holdings (73%) and 27% owned by Marula Community Trust, Tubatse Platinum, and Mmakau Mining (9% each). Marula mine owns two mining rights covering 5,494hectares. The mine also has a royalty agreement, which allows limited mining adjacent to Driekop shaft. In the financial year ended June 2020, the mine had a net profit of 1,673 million rands

4.1.4. Marula Community

The community is comprised of Greater Tubatse Local Municipality. It has a population of about 335,676, comprised of 31 wards and 166 villages. The majority of the population live in poverty, as there is significant poor infrastructure in the municipality with very poor road network, inadequate electricity and telecommunication. The people in the area mostly practice subsistence farming although there are several mines in the area.

Land ownership is traditional with 175 farms. Of the 175, 61 are under the control of tribal leadership. Of the 83,199 households, 25,347 are agricultural families. According to the Greater Tubatse Housing Market Report, of 2015, the unemployment rate is 50.3% with the youth unemployment rate at 59.6%. 83.2% live in formal households of which 53.9% of the households have full ownership of the houses.

There are three main mines in the municipality, which are Marula Modikwa mine, Twickeham and mine mine. Marula mine has an agreement with Tubatse Patinum mine, Marula Community Trust and Mmakau Mining. Tubatse platinum is a broad based empowerment from over 20 local business groups, the majority of which owned by women. Marula community trust gained the stake in Marula mine in 2006 following a special BEE agreement.

4.1.5. Unki mine

Unki is an underground mine located in the center part of Zimbabwe in Gweru, Midlands Province. Unki represents one of the largest platinum reserves in Zimbabwe with estimated reserves of 34 million oz of platinum and generates $155.71 million in sales (USD). The

mine has about 1,200 employees. Although there is no mention of the unemployment rate of the Unki mine community Zimbabwe's unemployment rate now rests at above 95%.

4.1.6. Unki Mine Community

Unki Mine is situated in the Tongogara/Nhema Community area. Like many other rural communities in Zimbabwe, poor people mainly because of the poor agricultural soils inhabit the area. However, the area is very rich in mineral resources. The Tongogara is hardly accessible due to poor road infrastructure. The town for the area is Shurugwi which is divided into two: rural and urban. The rural is the bigger part covering about 98% with a population of almost 70,000. The Tongogara rural district council administers the rural part. There are 24 wards in Tongogara each with a councillor. The urban part has a population of around 17,000 administered by the Shurugwi town (Marongwe & Muguti, 2016).

4.1.7. Mimosa Platinum

The Mimosa mine is a large underground mine located in the southern part of Zimbabwe in the Midlands Province. It has estimated reserves of 7.9 million oz of platinum. Implats and Aquarius Platinum Limited jointly own mimosa.

4.1.8. Mimosa Community (Zvishavane)

Zvishavane Community consists of five traditional chiefs (Mazvihwa, Masunda, Mafala, Mapanzure and Wedza). It has 19 wards and an estimated population slightly above 100,000. The main economic activities in the Zvishavane community are farming and mining.

Although Zvishavane has vast mine resources, it is categorized among the poorest in Zimbabwe with its roads among the worst.

Like any other rural community in Zimbabwe, land belongs to traditional chiefs although the state takes over commercial use land allocation. This means the state makes decisions on who and where to mine as mining is commercial land use. According to the 2011, Zimbabwe Parliament report the poverty in the area is mainly because of the poor rainfalls that are received in the area.

4.2. CSR activities that undertaken in the area

The research has four case studies. The activities undertaken in the communities are presented according to each case:

4.2.1 Unki

The following table depicts the activities that were undertaken by Anglo America in the communities around the mine:

Year	Project	Cost	Sector
2015	Shungudzevhu Irrigation Scheme Project		Community Food Security and Livelihoods
	Donated Inputs to Shungudzevhu Irrigation Scheme		Community Food Security and Livelihoods
	Capacity Building Training of Shungudzevhu irrigation		Community Capacity Building
	Payment of ZESA charges for Shungudzevhu Irrigation		Community Food Security and Livelihoods

	Phase 1 Impali Primary School		Community Education
	Impali Primary School Architect		Community Education
	Gweru General Hospital Casualty Department Completion		Community Health
	Gweru General Hospital equipment for Casualty ward		Community Health
	Tokwe-Mukosi flood victims donations		Community Donation
	Total for 2015	**99,736.08**	
2014	Shungudzevhu Irrigation Scheme Project	26,066.15	Community Food Security and Livelihoods
	Donated Inputs to Shungudzevhu Irrigation Scheme	8,294.95	Community Food Security and Livelihoods
	Capacity Building Training of Shungudzevhu irrigation	1,350.00	Community Capacity Building
	Payment of ZESA charges for Shungudzevhu Irrigation	8,276.37	Community Food Security and Livelihoods
	Phase 1 Impali Primary School	2,342,317.87	Community Education
	Impali Primary School Architect	93,022.35	Community Education
	Gweru General Hospital Casualty Department Completion	382,989.77	Community Health
	Gweru General Hospital equipment for Casualty ward	138,932.00	Community Health

	Tokwe-Mukosi flood victims donations	97,977.00	Community Donation
	Total for 2014	**3,099,226.46**	
2013	Shungudzevhu Irrigation Scheme Project	289,048.74	Community Food Security and Livelihoods
	Donated Inputs to Shungudzevhu Irrigation Scheme	22,226.00	Community Food Security and Livelihoods
	Capacity Building Training of Shungudzevhu irrigation	1,125.00	Community Capacity Building
	Phase 1 Impali Primary School	470,365.94	Community Education
	Impali Primary School Architect	14,270.35	Community Education
	Gweru General Hospital Casualty Department	585,222.23	Community Health
	Gweru General Hospital laundry room	26,924.57	Community Health
	Fenced Jairos Jiri Narancenter	43,896.26	Community Education
	Fenced Rutendo Heart for Children	32,968.01	Community Infrastructure
	Donated to Msipa Scholarship Fund	10,000	Community Education
	Other Community Donations	50,189.00	Community Donation
	Total for 2014	**1,546,236.10**	

2013	Implemented 17 Village Housing Project	334,034.79	Community Housing
	Upgraded Rietfontein access road	388,760.70	Community Infrastructure
	Phased implementation of Shungudzevhu Irrigation	140,240.00	Community Food Security and Livelihoods
	Refurbished isolation hospital	37,401.42	Community Health
	Refurbished Mkoba 1 clinic	47,312.35	Community Health
	Refurbished Mkoba Polyclinic	19,813.77	Community Health
	Clinics Branding plates	430.00	Community Health
	Shungudzevhu Irrigation fencing	30,000.00	Community Food Security and Livelihoods
	Other community donations	22,996.76	Community Donation
	Total for 2012	**990,989.79**	
2011	Launched and donated as seed capital to Tongogara Community Trust	10,000,000.00	Community Trust
	Constructed and equipped Ruchanyu Secondary School	214,525.00	Community Education
	Upgraded and built a bridge at Ruchanyu access road	139,366.10	Community Infrastructure
	Refurbished Pakame school block	18,686.00	Community Education
	Refurbished Lundi School	49,587.50	Community Education
	Refurbished Dambudzo school	40,908.50	Community Education

	Upgrading and surfacing 17km access road	4,554,898.00	Community Infrastructure
	Donated Materials for construction of a library at Midlands State University	57,000.00	Community Donation
	Total for 2011	**15,074, 971.10**	

Table 4.1 Activities undertaken by AngloAmerica for Unki communities

4.2.2. Mogalakwena

The table below depicts the activities undertaken by Anglo America in the communities around Mogalakwena mine:

Year	**Project**	**Sector**	**Cost**
2015	The Anglo American group released a total figure of USD40.1million		
2014		Health	890,000.00
		Education and Youth Projects	16,000,000.00
		Environment	
		General Community Development	192,100,000.00
		Arts, Culture & Heritage	5,000,000.00
		Housing	
		Other	15,000,000.00
		Chairman's Fund Contribution	7,000,000.00
			236,100,000.00
2013		Health	

		Education and Youth Projects	15,600,000.00
		Environment	100,000.00
		General Community Development	107,200,000.00
		Arts, Culture & Heritage	
		Housing	
		Other	71,000,000.00
		Chairman's Fund Contribution	10,000,000.00
			203,900,000.00
2012		Health	2,900,000.00
		Education and Youth Projects	27,000,000.00
		Environment	1,000,000.00
		General Community Development	138,000,000.00
		Arts, Culture & Heritage	
		Housing	
		Other	30,400,000.00
		Chairman's Fund Contribution	15,000,000.00
		Total	**214,500,000.00**
2011		Health	2,500,000.00
		Education and Youth Projects	37,500,000.00
		Environment	

		General Community Development	99,100,000.00
		Arts, Culture & Heritage	1,000,000.00
		Housing	
		Other	22,600,000.00
		Chairman's Fund Contribution	23,800,000.00
		Total	**ZAR186,500,000.00**

Table 4.2 – Activities undertaken by Anglo America in Mogalakwena community (source: company reports)

The company records for Mogalakwena only specify the sector and not the actual activities that were undertaken. It was therefore difficult for the researcher to compare the actual activities. However, the table below shows that the sectors where the activities were undertaken are more or less the same.

Sectors for CSR activities:

Zimbabwe	**South Africa**
Health	Health
Capacity Building	Education and Youth Projects
Education	Environment
Food security and livelihoods	General Community Development
Donation	Arts, Culture & Heritage
	Housing
	Other

Table 4.3 Sectors where CSR activities were undertaken

The tables above show that for Unki (Zimbabwe) a total of USD20.8 million was used for CSR activities for the period 2011 to 2015 (for 2015 only it was 99,736.08). Anglo America used over 740 million rands for the period 2011 to 2014 and over USD40million for 2015 in South Africa. The figures shown above shows that the amount used for Zimbabwe in five years is half of the amount used in South Africa in one year. The amount spent on CSR in Zimbabwe for 2015 was 0.25% of the amount used in South Africa.

According to the company records Unki, produced about 15,000oz for the first quarter of 2014 while Mogalakwena produced 8900oz for the same period. Production in Zimbabwe was around 17% of production in South Africa. The difference in amount spent in the two countries cannot therefore be attributed to the difference in quantum of production of the mines. We can therefore conclude that amount spent on CSR activities in the two countries by Anglo America is not related to what they are getting from the mine.

4.2.3. **Impala Platinum mines (Mimosa and Marula)**

The researcher failed to get the actual activities that were undertaken by Impala in both Zimbabwe and South Africa. The table below shows the amounts that were spent on community development in the two countries:

Year	Amount spent in Zimbabwe	Amount spent in South Africa
2019	USD3.8million	USD86.2 million (77% was used on SLP projects)
2018	USD4,918	ZAR137 million
2017	USD5274	ZAR106 million
2016	USD4743	ZAR105 million

Table 4.4: Amounts used for Community Development by Implats in Zimbabwe and South Africa.

The figures above are not per mine but per country. In 2019, the amount used for community development in Zimbabwe was approximately 4% of the amount used in South Africa according to data in the table above. In 2019, Mimosa produced about 122,000oz while Marula mine produces about 83,000oz. In terms of production, Mimosa produces more than Marula mine. The same cannot be said about the amounts spent on community development (CSR).

4.3. Discussion

From the findings of this research, most of the CSR activities in Zimbabwe are guided by voluntary CSR. As discussed in Chapter II, voluntary CSR is that which is not legislative although it is voluntary it may still be legally binding as minimum acceptable standards (Economic Commission for Africa, 2011). Voluntary CSR is part of the institutional theory and is used to interpret CSR as a contribution to social and environmental assistance. In Visser's pyramid philanthropic is prioritized as the second one from the economic responsibilities of a company. In his explanation of why philanthropic is second in developing countries, he says because of the socio-economic needs of the developing countries. It is clear that researchers agree that the philanthropic responsibilities should have an impact on the socio-economic needs of the communities.

From the data provided voluntary activities that are being undertaken by the companies in Zimbabwe include the following: borehole drilling, irrigation scheme, schools and clinics

painting, bee farming, sports stadium building, and small scale mining support. However, in Zimbabwe, a larger percentage (75%) of the community representatives' respondents indicate that they are not considered on decisions of what CSR activities should be done.

Since communities are not involved in decision making on CSR, the voluntary activities that are undertaken by the companies may not have an impact on the socio-economic needs of the communities as companies may end up giving what the communities already have or what may not be a priority at a particular time and place. In addition to the issue of not involving the communities company representatives that were interviewed indicated that voluntary CSR is mainly done from the operational budget and is done depending on the availability of the budget. The stakeholder representatives feel that most voluntary activities that are undertaken are of poor quality and do not have an impact on the lives of the communities.

In South Africa, it seems that the legislation pushes the mining firms to carry out CSR activities. Although there are voluntary projects by the mining firms in South Africa, they do not represent the needs and priorities of the communities. A good example provided is that of a stadium that was built in a community that does not use it regularly when the community has other needs, which they think, are a priority. CSR practices are likely to vary depending on the economic developmental stage of a country and voluntary CSR has often not been able to play a positive role in poverty reduction in South Africa.

4.4. Conclusion

In Zimbabwe, CSR is mostly voluntary as there is poor legislation that guides and controls CSR. In South Africa, while CSR is voluntary it is mainly guided by the SLOs, which are agreements between the companies and the stakeholders who include the communities. It can be argued that voluntarily committing to social actions and programs may forestall legislation and ensure greater corporate independence from the government. More so, it has been established that the CSR activities in Zimbabwe are carried out for reasons of self-interest; the activities are merely for profit-maximization under the cloak of social responsibility. They may well be true and to a larger extent depends on the primary motivation of the decision-maker. On the other side, CSR activities carried out by companies in South Africa are more genuine since the companies are compelled to carry out the CSR activities.

Companies in both countries claim that they come up with CSR projects from engaging the communities who will present their needs and the companies will prioritize. However, communities in Zimbabwe claim that they were not asked to contribute to what projects can be undertaken and they do not know the criteria that are used to come up with these projects. It can, however, be concluded that the CSR activities that are undertaken in both countries are more or less the same as they mainly focus on health, education and income-generating activities. It can just be different from the way that it is done from community to community.

In the case of Zimbabwe, it is difficult to comprehend the role that has been played by corporates in society especially in rural areas. Zimbabwe like many other developing countries still lags behind when it comes to social responsibility whereas, in the case of South Africa, the government ensures that mining firms bring back to the community. Governments remain active in promoting CSR beyond the promise of a tax cut, the onus of applying for which lies

within companies themselves. Thus, the difference in CSR emanates from the government's actions in each country.

The findings of this research are in line with what the other authors said that CSR projects in Zimbabwe are different from those in South Africa although the companies are subsidiaries. Mining companies take advantage of differing laws and government attitudes towards CSR as in countries with weaker legislation like Zimbabwe they lower their CSR operating standards (Kabemba and Madzwamuse 2010).

CHAPTER 5 – Data Analysis, Interpretation and Discussion

Legislation and implementation of CSR in the two countries

5.0 Introduction

This chapter is the second chapter on data interpretation. In this chapter, the researcher is going to analyse data in relation to one of the research questions, which is Does legislation in the two countries govern how CSR activities are chosen in South Africa and Zimbabwe. The chapter will first present the legislative instruments in the respective countries then present the responses that were given by the respondents.

5.1. Mineral Legislation in South Africa

5.1.1. Mineral and Petroleum Resources Development Act (MPRDA) 28 of 2002

The MPRDA is the main act that govern the mining industry in South Africa. It transferred all mining rights from private to state ownership so that the historically disadvantaged may benefit. The act makes unlawful starting of any mining activities without any environmental plan. It also empowers the minister to prescribe incentives to promote minerals processing in South Africa.

5.1.2. Broad-Based Socio-Economic Empowerment Charter for the Mining Industry (BBSEEC) 2018

The BBSEEC also known as the Mining Charter comprises six elements, which are:

- Ownership – All new prospecting rights and mining rights holders must have 50%+1 black person shareholding

- Mine Community Development – Mining must contribute meaningfully to mine community development through enterprise development projects, infrastructure projects and income generating projects. Contribution towards mine community development must be proportionate to the investment.
- Employment Equity – companies should include originally disadvantaged South Africans in their workforce
- Human Resources Development – Companies should be involved in skills development activities.
- Inclusive Procurement – 70% should be procured from South African manufactured goods. 21% from black owned companies, 44% from BEE compliant companies and 50+1 from black women/youth owned companies.
- Housing and living conditions – companies should ensure that their workforce has reasonably comfortable housing where social amenities are accessible.

5.1.3. Precious Metals Act 37 of 2005

This act places all mining activities under the custodianship of the state through the Department of Mineral Resources (DMR). It also limits the exportation of unprocessed minerals except after authorization by the minister

5.1.4. Skills Development Act 97 of 1998

The act aims to improve the skills of workers through promoting education and training in the workplace. This leads to improvement of the quality of life of the workers as the mobility and employability increases.

5.1.5. Mine, Health and Safety Act (MHSA) 29 of 1996

The purpose of this act include:

- Protect the health and safety of mine workers
- Ensure employers and employees identify, eliminate and control all hazards in the mining.

The act mainly guides the health and safety of mineworkers.

5.1.6. National Environmental Management Act (NEMA) 107 of 1998

This act outlines and guides the handling of environmental management issues in the mining sector

5.1.7. Mineral and Petroleum Resources Royalty Act (MPRRA) 28 of 2008

This act recognizes that minerals are the heritage of all South Africans and aims for equitable access and sustainable development of the nation and its minerals. According to the act, any person who is involved in mining should pay royalties so that all South Africans may benefit from the mining activity

5.2. Mineral Legislation in Zimbabwe

The following legislation governs mining activities in Zimbabwe:

5.2.1. Mines and Minerals Act (CAP21:05) of 1996

This act is the principal act that regulates the mining industry. It gives the president authority to give or cancel mining rights. It also entails that all mining should start after the issuance of the environmental impact assessments certificate by the Environmental Management Authority.

5.2.2. Environmental Management Agency Act (20:27) of 2002

This act guarantee that all mining activities be done in an environmentally friendly manner

5.2.3. The Explosives Act (CAP20:27)

The act controls the importation and usage of all explosives used in the mining sector.

5.2.4. The Indigenization and Economic Empowerment Act (CAP 14:33)

The objective of the act was to empower Zimbabweans through benefitting a percentage from the mining companies. This act was repealed.

There are also other mining regulations related to these legislations.

5.3. Comparison of legislation in Zimbabwe and South Africa

A closer look at the legislation that regulates mining in the two countries show that, although both countries have legislation, South African legislation distributes power to control mineral resources to general South Africans. For example, the Mining Charter and the BBEEA. The communities have a way of controlling the conduct of the mining companies through the SLP. In South Africa, there is a case of Xolobeni community who fought against the issuance of the mining right and won the case (Amnesty International report, 2018). Unlike in Zimbabwe where the power is centralized to the president and ministers. This leaves room for corruption at the expense of the general populace. The only legislation, which would directly benefitted the communities in Zimbabwe, was the IEEA, which was repealed. So in Zimbabwe there is practically no legislation that governs CSR in mining. The legislation in use is on mining and does not mention anything on CSR or benefitting the ordinary citizens. The situation in Zimbabwe was echoed at the African mining Vision 2019 where it was said in many African countries, Zimbabwe included, a few individuals without transparency do the awarding of mining rights and competition that promotes corruption.

To have a deeper understanding and answers to this research question various questions were asked to the three different groups of participants in the research. Since legislation affect country by country and not necessarily case by case the data will be discussed according to the countries.

5.4. Legislative environment

5.4.1. Community representatives

5.4.1.1. Zimbabwe

The community representatives that interviewed in Zimbabwe indicated that they are not aware of any legislation that guides CSR in Zimbabwe. They are not aware of what to do if they feel that the mining companies have not done enough in terms of CSR. They are left on the mercies of the voluntary activities undertaken by the mining companies.

According to a respondent from Unki community, on how the mining company came up with the projects the respondent said, "*They consulted us on the projects we wanted and we chose bee farming. They then helped us to start the project. We don't have anything that compels them to do the projects to a certain extent they just do what they feel is right" (CRAR 2).* The respondent indicated that he was not aware of any legislation that enforces or guide CSR in Zimbabwe and everything is being done according to the mining company.

One of the community representatives from Mimosa Mine in Zimbabwe indicated, "*the biggest challenge in CSR is that the communities do not have legal structures that may assist them in maintaining the projects", (CRAR 4)*. This impact badly on their involvement in coming up

with the projects as mining companies end up considering individuals who do not represent the needs of the majority.

At a regional conference held in Harare, the participants indicated that Zimbabwe has deliberate poor legislation and regulatory frameworks that aid looting of natural resources as indicated by four ministers who failed to finalise the amendment of the Mines and Minerals Act (Maanda, 2019). At the same conference, the director for Southern Africa Resource Watch, Claude Kabemba indicated that African constitutions states that the minerals belong to the state, however, because of corruption and poor negotiation the private companies end up benefitting a lot. The mining communities' developmental needs are not linked to the minerals.

5.4.1.2 South Africa

A respondent from South Africa indicated that the mining company does voluntary activities through meeting and discussing with the chief in his personal capacity. From there they come up with the projects to do. The communities are not directly involved in coming up with the projects being undertaken. The respondent indicated that the legislation that guides CSR is, "*the Mining Charter where the mining company submits the Social and Labour Plan to the Department of Mineral Resources and the Municipality will endorse the plan. This plan is now an agreement of the projects that need to be done in a duration of five years. This plan will then be reviewed at the end of the period to see whether the company should be given the Social Licence to operate" (CRAR 5).* According to the respondent, the legislation overrides the criteria which are profitability, community concern, and environmental concern. The legislation, however, can support the environmental concern, community concerns and also profitability concern when it is well-balanced.

Another respondent from South Africa indicated that the projects being undertaken by the mining company include: dam building, donations to schools, training on income-generating projects. On legislation guiding CSR, the respondent said, *"The mining companies are guided by the Social and Labour Plan and the Social Licence to Operate. The problem, however, is that there is corruption in the signing of these agreements and in most cases we as the communities do not benefit as the company will just bribe those at the top to sign"* The respondent continued to say, "*They built a stadium which is not being used regularly. It was last used effectively in 2016. If only they had considered us in coming up with the projects, we would have preferred something that benefits us on a day to day basis. On some of the projects they do like road construction, they act as if they do it for the communities but they do it for themselves. Their machinery damage roads and in most cases the roads are only up to their mines" (CRAR 6).* It can be seen that it is not always the case that the legislation can benefit the community nor cater to environmental concerns. Corruption whereby mining companies are accused of bribing those at the top results in the profitability criteria being used in undertaking the CSR activities.

Another community representative from Marula community in South Africa said, "*..lack of legal structure also impacts on the maintenance of the projects. This may be the reason why the essential tree project failed*", (CRAR 7) According to the South African Traditional Leadership & Governance Framework Act 41 of 2003, there should be a local committee whose duties shall include supporting municipalities in the identification of community needs and facilitating the involvement of the traditional community in coming up with the IDPs. Unfortunately, these committees are not in existence in some of the communities making it difficult for the needs of the communities to be represented well.

According another respondent from South Africa under Marula Mine, the projects carried out by the mining company are as per the Social and Labour Plan that was signed by the company and the municipality representatives. The current SLP covers the period from 2014 up to 2018 and was mainly developed in close consultation with the Integrated Development Plans and Traditional plans so that when the mine finishes their part we as the community will continue to run the project.

Another representative from Marula Platinum Mine in South Africa indicated the following: "*However, there are plans to come up with these committees which will then be responsible for the endorsing of the SLP*", (CRAR 11)

The community representatives in South Africa are well aware of the legislation that guides CSR in their country. They indicated that the Social Labour Plan guides CSR, which is an agreement signed between the Department of Mineral Resources (DMR) and the mining company. The local Municipality will also endorse the document before the approval by the DMR. However, the problem is that some politicians will override the process of engagement with the community and assist the mining companies to get the SLP signed without the municipality's agreement.

It is evident from the responses that the challenge of poor or lack of proper legal structures coupled with poor community representation in planning for the CSR projects is a common challenge to both South Africa and Zimbabwe. It is noteworthy that in South Africa, plans are underway to improve on legal structures as well as community representation and in the near future, there will be proper legal structures. However, in Zimbabwe, the establishment of proper legal structures may take very long.

5.4.2. Company representatives

5.4.2.1. Zimbabwe

In Zimbabwe, the legislation does not have any influence on the CSR activities that the companies do. The representatives who were interviewed indicated that there is a law on Community Share Ownership Trust although they are not guided by it in coming up with CSR projects. One responded have this to say "…..*I think there is one on Community Share Ownership Trust but that is a different aspect when assessing our CSR activities", (CoRAR 1).*

The driving force for CSR is seems to be for their good name as one respondent said: *"We do CSR because we don't want the community to feel that we are exploiting their resources*", (CoRAR 2).

On the issue of which legislation guides their CSR another respondent said that their CSR is not particularly guided by any legislation, *".....there is the issue of Community Share Ownership Trust but that is a different aspect altogether when assessing our CSR activities", (CoRAR 3).* This response shows that this company is very much concerned about the community needs in determining the CSR projects to undertake. However, the respondent mentioned nothing about environmental concerns.

In Zimbabwe, it was mentioned that the indigenization Act in the mining sector in Zimbabwe, which has paved way for Corporate Social Responsibility in form of the Community Share Ownership Programmes (CSOP) is now legal regulation. The proceeds according this law must go towards the provision, operation and maintenance of schools and other educational

institutions and facilities and amenities connected educational scholarships, hospitals, clinics and dispensaries. One of the respondents said the following:

> *"in rural areas the support must be channelled on the provision and maintenance of dipping tanks, development and maintenance of roads, development and maintenance of water works and water sanitation works, gully reclamation and other works related to soil conservation and prevention of soil erosion, and the conservation and prevention of environmental degradation...",(CoRAR 4)*

It was indicated by mining company representatives in Zimbabwe that the policies in the country are not given ample implementation time. The respondent, therefore, recommended that there is a need for coming up with policies which should include specific projects and programs to be undertaken, preparation of a list of CSR programs which mining companies should undertake during the implementation year, specifying modalities of execution in the areas or sectors chosen and implementation schedules for the same.

5.4.2.2. South Africa

A respondent from South Africa indicated that their CSR activities are in two ways that are legislative and voluntary. Voluntary CSR is implemented through Corporate Social Investment using the operational budget as and when it allows. The Department of Minerals Resources (DMR) through the Social Labour Plans guides legislative CSR and this has its own budget. *"The legislative CSR is implemented through the Social Labour Plan which is an agreement between the government and the company through the Mining Charter. Currently, we have an SLP that runs between 2016 and 2020. Under this plan, we are covering issues to do with Infrastructure, Health and Enterprise Development among other things. The outcome of the*

plan will then lead us to be given another Social Licence to Operate beyond 2020" (CoRAR 5).

According to a respondent from South Africa, their CSR is governed by the MPRD of 2004. This leads to the Social and Labour Plan which is an agreement between the community and the company. "*We don't just do donations, we sit down to discuss and agree with the community on what they expect us to do and how it should be done." (CoRAR 6).* The legislation that governs their CSR is the Mining Charter. The community concern largely determines which CSR activities to undertake as shown by the response.

In South Africa, the laws that govern the MPRD guide CSR activities for mining companies. This is done through the Social License to Operate (SLO) which is an agreement that is signed between the company and the government through the ministry. According to the respondents, this agreement is signed prior to being given the license to operate and renewal to this license depends on how the company abides by the contents of the SLO.

Respondents in South Africa show that they are guided by their legislation in coming up with the activities. They clearly articulate that their activities are guided by the SLO which runs for five years and then another one is signed. The SLO, which is a set of demands and expectations between the company and its stakeholders, determines the expectations under which a company operating in a particular society. Failure to abide by the SLO may mean that the company fails to operate. Another legislation that guides South African mining companies in CSR is the Mining Charter. One respondent indicated that they are currently in the process of reviewing the Mining Charter and they believe the outcome of this review will go a long way as far as CSR is concerned.

The driving forces for CSR in South Africa are mainly legislation through the SLO. The voluntary part only contributes a small quantity through the operational budgets.

The mining companies are compelled by the legislation to involve the communities in the implementation of the projects. However, the legislation is not very clear therefore, the way that the involvement is done leaves a lot to be desired. This will lead to the companies doing the projects which do not respond to the needs of the people. The legislation is much more at play in South Africa compared to Zimbabwe as indicated by the stakeholders.

The mining company representatives in the two countries argued that legal structures are irrelevant in CSR activities undertaken by their companies. The respondents indicated that mining firms should not be obligated by law to embark on social responsibility, but all the same, companies are admonished to voluntarily implement it. Hence, according to the representatives of the mining firms, poor legal structures do not come as a significant challenge to their CSR activities.

5.4.3. Stakeholder representatives

5.4.3.1. Zimbabwe

In Zimbabwe, there is nothing concrete. The Indigenous Economic Empowerment Act, which was considered more of a political gimmick than a law, was the one, which had an incline to CSR. Companies in Zimbabwe engage in CSR activities more for a good name than anything else.

Another respondent had this to say, "*There is too much legislation in different countries and very limited oversight from parliamentary boards. Parliamentarians do not have the capacity nor do they fully understand at the company level in order to provide a critique of the CSR initiatives. There is a need to have harmonization of legislation on CSR and begin to make it simpler to monitor*", (SRAR 1). The legislation on mining, the Mines and Minerals Act is silent on what mining companies should provide to the local communities in Zimbabwe (Dziro, 2014).

A respondent from one of the non-governmental organisations in Zimbabwe said, *"In Zimbabwe, the legislature, through its Committee on Mines and Energy, had to fight hard to be allowed to carry out its oversight function. They even had to go as far as to threaten government officials and mining companies with contempt of parliamentary proceedings after the committee's efforts to summon key individuals to testify about the problems in the Marange diamond fields were initially resisted and its attempts to visit Marange were denied twice" (SRAR 2)*

5.4.3.2. South Africa

A non-governmental organisation representative in South Africa said, "*Although we have legislation it is not very clear, therefore the companies take advantage and take the easy way out… we should craft and improve our legislation in such a way that it encourages guided CSR where the communities initiate what they want*" *(SRAR 3).*

In South Africa, there is the Mining Charter, which then leads to mining contracts, and SLO. It was indicated that the statutory provision stipulates that corporations may where necessary,

collaborate or pool resources with other companies to carry out CSR activities and any spending incurred on such partnership efforts would qualify for computing the corporate social responsibility spending. However, only activities, which are not exclusively for the benefit of employees of the company or their family members, shall be considered as CSR activity meaning that the country requires companies to adopt the concept on a broader spectrum.

Another stakeholder representative from Mogalakwena Mining community in South Africa said, "*lack of legal structure also impacts on the maintenance of the projects. This may be the reason why the essential tree project failed*", (SRAR 4). According to the South African Traditional Leadership & Governance Framework Act 41 of 2003, there should be a local committee whose duties shall include supporting municipalities in the identification of community needs and facilitating the involvement of the traditional community in coming up with the IDPs. Unfortunately, these committees are not in existence in some of the communities making it difficult for the needs of the communities to be represented well.

Another respondent from the nongovernmental organisations in South Africa had this to say in relation to the regulation in implementing CSR. "*CSR projects depend on two broad principle. The first principle is the nature of the state and how it has located natural resources as the route of their development and really ruthlessly seek to see the role of the private sector in that strategy. The problem is that we lack macroeconomic development strategies that are consistent and coherent over a long period of time across Southern Africa. There will be an adoption of a developmental policy, for example, the National Development Plan in SA but the implementation of those plans range from uninspiring to non-existent" (SHR 5).*

The respondent added that lack of consistent macro-economic development policies, therefore, undermines any long term consistency policy direction and guidance for CSR from companies because nobody is actually following it up. An example is Lonmin in the northwest region of South Africa where upon checking on the implementation of the SLP it was discovered that there are only three people overseeing over 300 SLP that are being implemented by mining companies. Asked how many they can monitor in a year they said only 20 which means the ability to effectively monitor CSR SLP is very limited therefore, companies do not rely on the government for guidance but on themselves to disburse whatever CSR programs they have. In other words, the state does not commit to monitor CSR implementation.

In agreement with the company representatives, the stakeholders' representatives indicated that although mining firms have full support from the government and other city departments the challenge comes when engaging the communities as there are no recognized structures. This may also lead to corrupt activities as the companies end up opting for the easier groups or individuals when engaging the communities. A nongovernmental representative who indicated, "*even though there is great support from the government and other government authorities, there are some judicial problems whereby current society structures need to be updated in the law text, indicated this. In other words, the law text is not modern and is not written taking into consideration today's society demands and structures*", (SRAR 2).

It was further discovered that respondents were of the opinion that the government was not doing enough to formulate and pass into law a comprehensive Corporate Social Responsibility policy or law that will mandate the implementation of Corporate Social Responsibility as a requirement for undertaking mining operations mostly in Zimbabwe. This was because of their assertion that mining firms embark on Corporate Social Responsibility with the sole aim of

enhancing their corporate image rather than with the aim of truly addressing community needs. In South Africa, it was realized that the government has comprehensive laws in support of CSR although sometimes they face implementation challenges as shown by the responses outlined above.

5.5 Discussion

In agreement with the responses provided by both the company and community representatives, in their 2017 Sustainable Development report, the Implats' acting group CEO Gerhard Potgieter states that, "We *have delivered effectively on our commitments in terms of our SLPs at our South African operations, and our targeted corporate social investments in Zimbabwe" Page 12.* That means in Zimbabwe the company has its own targets whereas in South Africa their target is the SLP. This may help to support the view that CSR in South Africa is legally guided whereas in Zimbabwe the company uses its own criteria and targets.

In addition to the above point, the Anglo American Sustainability report for 2016 states that *"Beyond legal compliance requirements, maintaining and growing our socio-political license to operate is core to how we work with our host communities, governments, and partners. This strong commitment to the communities where we operate drives our approach to sustainability in areas that include socio-economic development, responsible business and transparency, health and infrastructure provision*", Anglo 2016 Sustainability Report pg. 21. This statement also agrees that mining companies focus on the legal aspect first before the voluntary aspect. Therefore, in areas where there is weak legislation like Zimbabwe, CSR may lag behind.

In South Africa, CSR activities for mining companies are guided by the laws that govern the MPRD. This is done through the Social Licence to Operate (SLO) which is an agreement that is signed between the company and the government through the ministry. According to the respondents, this agreement is signed prior to being given the license to operate and renewal to this license depends on how the company abidesby the contents of the SLO.

In Zimbabwe, the legislation does not have any influence on the CSR activities that the companies do. The representatives who were interviewed indicated that there is a law on Community Share Ownership Trust although they are not guided by it in coming up with CSR projects. However, respondents in South Africa show that they are guided by their legislation in coming up with the activities. They clearly articulate that their activities are guided by the SLO which runs for five years and then another one is signed. The SLO which is a set of demands and expectations between the company and its stakeholders determines the expectations under which a company operating in a particular society.

Failure to abide by the SLO may mean that the company fails to operate. Another legislation that guides South African mining companies in CSR is the Mining Charter. One respondent indicated that they are currently in the process of reviewing the Mining Charter and they believe the outcome of this review will go a long way as far as CSR is concerned. In support of this, in their 2016 sustainability report, Anglo America states that, *"...As an international mining company, Anglo American is subject to extensive regulation at the local, state, national and international levels and many of our business activities require approval from several levels of government in each of our operating countries. This includes national governments, elected leaders, departmental experts, regional and local officials, and multilateral institutions. Furthermore, as a company listed on the London Stock Exchange and Johannesburg Stock*

Exchange, we comply with the respective UK and South African legislation and regulation required by our listings". Anglo 2016 Sustainability report pg 21.

The driving forces for CSR in South Africa are mainly legislation through the SLO. The voluntary part only contributes a small quantity through the operational budgets. In Zimbabwe, the driving forces are mainly for their good name as one respondent said: *"We do CSR because we don't want the community to feel that we are exploiting their resources*".

In agreement with the data collected from the respondents, Nico Muller the CEO of Implats had this to say, *"Addressing legislative and policy uncertainty is also a significant priority, both in South Africa and Zimbabwe. We appreciate the intent behind suggested policy changes in both countries and acknowledge it is partly informed by the government's belief that the benefits of mining are not always equitably shared.*

The CEO continued to say that the board and management team has a deep understanding of the operating context in each country and we are fully supportive of and aligned to, the underlying objectives relating to transformation and indigenization. More so according to the Implats 2017 Sustainability Report pg 14 it was indicated that delivering effectively on these objectives, we work through existing structures, such as the Chamber of Mines in South Africa, while driving our commitments internally to delivering broad-based transformation, and building on the company's industry-leading successes in areas such as housing and living conditions.

The mining companies are being pushed by the legislation to involve the communities in the implementation of the projects. However, the legislation is not very clear on how the

involvement should be done therefore the way that the involvement is done leaves a lot to be desired. This will lead to the companies doing the projects which do not respond to the needs of the people.

In Zimbabwe, there is no legislation to guide CSR in communities. Although the IEEA was once promulgated in 2008, it was later repealed in 2019 through which time it had not been incorporated into the Mines and Minerals Act and therefore not law. That means effectively at law there was never anything that effectively guides CSR in Zimbabwe. The community representatives in Zimbabwe are not aware of any laws that guide CSR the same applies to the company representatives who do not consider any laws in coming up with the CSR activities.

There is a major policy gap in Zimbabwe as the Mining policy is outdated. For many companies, CSR is just a public relations exercise and projects are done largely for public relations since they are voluntary and not guided by any laws. According to Kabemba (2013), on paper companies have progressive legislation but enforcement is lagging especially in Zimbabwe where everything is being politicized. Companies in Zimbabwe engage in CSR more for a good name than anything else.

In South Africa, the Mineral and Petroleum Resources Development Act (MPRDA) of 2004 stipulates a number of requirements that mining companies should comply with in order to be given or have renewed licenses. The requirements include the Environmental Impact Assessment and the Social Labour Plan (SLP). The SLP's main objective is for the mining companies to take part in the development of the surrounding community areas. The Broad-Based Socio-Economic Empowerment Charter of 2010 also has a special mention of community development. Because of this, CSR for communities in South Africa is no longer

voluntary as companies are now forced by the law to have a relationship and develop the communities in which they work. This has led to many companies implementing and respecting the Social Licence to operate which is mainly what is guiding CSR for communities in South African mining companies. Where companies fail to honor these their legal obligations like the case of Lonmin where it failed to attend to the workers' living conditions the regulations guides on what action to take. If the communities feel that the companies did not do enough, it may lead to the license not being renewed. Therefore, companies take CSR activities for communities seriously, as the communities have a say in whether the license should be renewed or not.

Where there is legislation around CSR like in South Africa, it enforces companies to implement some minimum acceptable standards for them to abide by the legislation. This legislative environment shapes the CSR policies which are likely to lead into Community Involvement.

5.6. Conclusion

In Zimbabwe, there is no legislation that guides CSR since the repealing of the IEEA of 2008 which had led to the creation of CSOT. According to the Act, companies should cede 10% of their profits to the communities. However, CSOT themselves do not have any supporting legislation as they are not yet incorporated in the Mines and Minerals.

In South Africa, the Department of Mineral Resources (DMR) on behalf of the government administers the Mineral and Petroleum Resources Development Act (MPRDA) of 2004 which stipulates a number of requirements that mining companies should comply with in order to be given or have renewed licenses. The requirements include the Environmental Impact

Assessment and the Social Labour Plan (SLP). The SLP's main objective is for the mining companies to take part in the development of the surrounding community areas. The Broad-Based Socio-Economic Empowerment Charter of 2010 also has a special mention of community development.

Comparing the two countries then shows that South Africa has legislation that guides CSR more than Zimbabwe. This is in agreement with Muthuri & Gilbert who mentioned that legislation is important in constructing social expectations around which corporates frame their behaviour and CSR activities (Muthuri & Gilbert, 2011). The implementation of the legislation may be having challenges as shown from the data in this research. For example, one respondent indicated cases where Anglo America is involving politicians instead of the local municipality in the signing of the SLP. At least the municipality can then refuse to sign the SLP making the mining company not to repeat the same mistake in the future. This is in line with Muthuri (2012) who concluded that lack of and weak legislation is among the factors that hinder CSR in Africa.

Unlike the Zimbabwe case where there is no legislation to assist CSR, the local community cannot do anything even if they feel the mining companies are not doing enough unlike in South Africa where the community through their municipality can refuse to endorse the SLP leading to the mining company losing the license. In Zimbabwe, everything is handled at the head office level. This is in agreement with what the Zimbabwe Minister of Industry and Commerce, Mr. Welshman Ncube reported in his 2013 report that because of lack of legislation, Zimbabwe has been lagging behind as CSR activities are not monitored nor quantified therefore do not appear informal reports. The issuing of operating licenses to mining

companies is not in any way linked to the performance of the companies in the communities, as is the case in South Africa.

From the data that was collected and the discussion above, it is clear that the where CSR is guided by legislation, it is most likely going to lead to sustainable development as the legislation plays a significant role in the involvement of stakeholders in CSR. We can conclude that in South Africa there is more stakeholder involvement mainly because the legislation in that country pushes for the involvement. Where clear legislation is being implemented effectively, this then leads to stakeholder involvement. When the stakeholders are involved they have a sense of ownership for the projects being implemented. The projects will then be sustainable leading to sustainable development in the communities.

The reason why there seems to be better CSR in implementation in South Africa compared to Zimbabwe is because in South Africa there is clear legislation which enforces stakeholder involvement in coming up with the CSR projects. The results from the data show that it is important for CSR evaluation to be done from the perspective of the communities as the stakeholders as echoed by Lulewicz-Sas (2014). The company representatives showed that they are doing the same thing between the two countries. In the absence of stakeholder perspective evaluation, we would erroneously conclude that the CSR activities undertaken in the two countries are the same.

The results collected indicate that Kabemba and Madzwamuse (2010)'s conclusions on their research on Zimplats and Mimosa that the companies do not have a clear CSR strategy. Their projects do not take into account input from the major target groups of the communities i.e.

women, children, and youth are correct as 75% of the respondents reported that they were not consulted on the CSR projects.

In this chapter, the data that was collected from mining companies' representatives using semi-structured questionnaires and from other respondents (including mining communities' representatives, government representatives and representatives from non-governmental organisations) using open-ended interviews was analysed. Results on how legislation in the two countries governs CSR implementation showed that South Africa have laws that govern the CSR activities. However, there is no regulation in Zimbabwe than in South Africa.The next chapter will discuss data in relation to the last research question, which is how effective CSR activities are in achieving sustainable development.

CHAPTER 6 - Data Analysis, Interpretation and Discussion

6.0. Role of CSR in achieving Sustainable development

In this last chapter of data analysis, the researcher will be interpreting data that answers the research question: How effective in achieving sustainable development are the CSR activities done in Zimbabwe compared to South Africa. To answer this research question various questions were asked to the three different groups of participants in the research.

The researcher came up with two themes from the data that was collected in answering this research question which are:

i) Involvement and Partnerships in CSR projects

ii) CSR Projects sustainability

The collected data will be explained below in relation to the above themes and different groups of participants under each case.

6.1. Involvement and Partnerships

6.1.1. Community representatives

6.1.1.1. Unki

One respondent indicated that the community leadership is involved in the CSR projects from the inception of the project. "*As soon as the mine decides on what to do the community is involved in the implementation of the project and the community takes full ownership of the project after implementation", (CRAR 1).* The respondent, however, felt that it is important for the mining company to involve the community when deciding on what projects to do as the community knows what they want.

According to another Zimbabwean respondent, the mining firms only ask about what the community needs to be done. The respondent had this to say, *"we don't know how they decide*

what projects to do. They just ask for a list of projects that we may want to be done but the prioritization is done according to their budget and policies which we are not aware of" (CRAR 2). The respondent indicated that he was unaware of any legislation that governs or directs CSR of mining companies in Zimbabwe. The fact that the companies ask the community what projects they want to be done proves that the companies showed concern for community needs. However, it has also been brought up that the companies do prioritization of the projects on their own indicating that they also put significant consideration of their profitability as they decide.

Similarly, according to another respondent from Unki Mine Community in Zimbabwe, "*the community only gets involved after the mining company has decided on what they need to do*", (CRAR 6). The respondent indicated that the company is engaged from project setup, implementation and thereafter the project is handed over to the community.

6.1.1.2. Mimosa

According to respondent 4 from Mimosa Mine Community in Zimbabwe, *"the community got to know about the projects to be carried out when they were informed that the company wanted to do an irrigation project for them*.", (CRAR 4). The respondent was not sure of who was involved in the coming up of the projects. The community was also involved during the implementation of the project as the respondent said, "…*we provided manual labour during the fencing of the irrigation area".* When the project was finished it was handed over for ownership to the community.

Another community representative from Zimbabwe, respondent 5 indicated that he was not aware of any community involvement in coming up with the CSR projects. The respondent was also not aware of the stakeholders who are involved in the process. The company just come to them and indicates the projects that they want to do, and the community gets involved from the initial stage of the project.

Another respondent indicated that the beneficiaries of the project only get involved after the completion of the project. The respondent said, "*When the mining company renovated Mandava stadium the community was not involved and were just handed over the project after renovation*. *It seems the mining company was in consultation with the city council who focus on their income-generating projects and not necessarily the interests of the community*", (CRAR 7) as added by the respondent.

Mining firms in South Africa have a habit of to consult the community and other stakeholders more than the mining firms in Zimbabwe. In Zimbabwe, the stakeholders such as the community are involved in the implementation stage whereas in South Africa the stakeholders are involved from initial stages of deciding what projects to undertake.

6.1.1.3. Mogalakwena

According to respondent 2 from South Africa, "*the councillors do the community needs assessment which they will then present to the mining company who will then prioritize on what to do according to their policies and budgets*", (CRAR 9). On how involved in these projects the community is the respondent said, "*We are involved in the projects as soon as the mine decides on what to do. Sometimes as community members we are given roles to play in the*

implementation of the project. Sometimes we provide labour and the mining company will pay us." After implementation, the project is owned and run by the community although they sometimes refer back to the mining company for assistance in cases of challenges. This shows greater involvement of the community in South African mines as compared to those in Zimbabwe.

According to another respondent from South Africa, "*the involvement of the community and stakeholder participation is in the sense that the company implements projects that are on the SLP. These plans are agreed upon by municipalities although sometimes they would involve them at a later stage the SLPs forces the mining companies to have an endorsement from the community representatives*", (CRAR 10). Hence, in South Africa, the mining firms are compelled to involve the community and other stakeholders.

6.1.1.4. Marula

Another respondent from South Africa indicated that the mining companies consult the community leaders on what projects they want. After the submission, the company will inform the community of the projects to be carried out and the community will be involved from the initial stage of the project implementation.

In South Africa, another respondent indicated that "*the mining company involves the community in coming up with major projects. This is done through the SLPs and the community leadership is involved in coming up with these projects*", (CRAR 11). The respondent further indicated "*for the voluntary projects the mining company does approach the community however because of lack of legal structures those approached may be representing the interests of only a few individuals*".

According to another respondent from South Africa, the mining companies are forced to involve the community and stakeholder participation by the Mining Charter through the SLPs. Coming up with the SLPs and the need to have a SLOs involve stakeholder involvement.

According to another respondent, the Mining Charter forces the mining company to have direct involvement and stakeholder participation in CSR projects. The respondent continued to say, *"If we are not involved in coming up with the projects done we will not approve the SLP and the SLO at the end of the 5 years. We had a problem with Anglo American, they involve politicians who are not local leaders in coming up with the projects. Now they want to force us to endorse their SLP, we will not budge…" (CRAR 12).*

Among the respondents in Zimbabwe, only two indicated that they participated in choosing projects that they would want the company to do for them. One of these respondents actually indicated that they are the ones who came up with their project of small-scale mining. They did their business plan, which they then submitted, to the mining company and they were sponsored with equipment.

The other respondents indicated that as a group they came up with the bee farming project after they were approached by the mining company to come up with a project that they would want to do. In cases where the company decides on what project to carry out, after deciding, they then approach the communities who are involved in the projects from inception. Where there is a need for the labour the communities are employed and paid. An example is where the company decided to construct an irrigation scheme for the community in Chironde – Shurugwi Zimbabwe. The communities provided labour where it was required and then after completion,

the communities were handed over the project so that they start operating. Although some mining firms involve the communities in which they are located, there is very limited involvement of stakeholders by most firms in Zimbabwe.

In South Africa, the problem in Community Involvement is that there is no legal structure for communities, therefore, the mining companies end up receiving information from individuals in communities who act as if they represent the needs of the communities. In most cases, these people will be representing just a few people and the mining companies end up considering the contributions from these people. The case with South Africa is different from that of Zimbabwe as there is greater community participation in the CSR projects although there may be casualties whereby representatives may fail to truly represent the community.

The community representatives feel that to enable improvement in the CSR projects undertaken by mining companies, it is important that the companies consult other stakeholders like councillors and local leadership before they decide on what to do. This will enable them to carry out projects, which have an impact on the communities. The local leadership will have done the needs assessment and will continue to monitor the projects on behalf of the community giving advice and assistance where necessary.

According to the SLP that is mostly at play in South African mining companies and communities, the mining companies are supposed to involve the community leadership, which is the Municipality. The Municipality will then agree with the mining companies on what projects the mining companies will carry out prior to them starting to operate. The community representatives in South Africa indicated that their involvement is important since they will guide the mining companies to do projects in line with their Integrated Development Plans

(IDP). This will make it easy for the municipality to maintain and manage the projects on behalf of the communities since it will be in their budgets.

6.1.2. The company representatives

6.1.2.1. Unki

The company representatives' respondents in Zimbabwe agree that although their activities are voluntary when engaging in CSR, mining companies engage with the community heads who are in the communities that are affected by the operations of the mine. These community heads then supply the mine with their list of projects, which they need to be done. The companies will then prioritize this according to their policies and budget availability. One respondent when asked approaches used to define CSR activities that they carry out said: "*We have a department that has ties with the communities and this approach the community leadership to come up with the projects that they need. They will submit the list to us which we will then prioritize according to our policies and budgets", (CoRAR 1).* This is however in contrast with the responses of the 75% community representatives who say the companies alone decide on what to do.

6.1.2.2. Mimosa

The respondent went on to say that "*We identify community projects based on a needs analysis, undertaken in consultation with stakeholder representatives from communities, local government, and employees. The sustainable development project steering committee reviews the proposed projects after due diligence. Once approved by the project steering committee, the projects are recommended to the Group's executive committee, a multi-disciplinary executive-level management team that evaluates the merits of investing in each project. In Zimbabwe, sustainable development initiatives are implemented and managed by the*

stakeholder engagement executive supported by technical personnel from the operations", (CoRAR 2)

6.1.2.3. Mogalakwena

In South Africa, the respondents agree that CSR is based on two components that are Corporate Social Investment where they consider requests from the communities and legislative CSR where guided by the SLO, they go into the communities through municipalities and come up with the projects. Therefore, the affected communities get a say in the projects through their leaders who come up with the projects on their behalf. All the respondents interviewed show that somehow the companies try to engage the communities to come up with the projects although some are doing it because they are enforced by the law to do so.

6.1.2.4. Marula

In South Africa, the legal environment in that country mainly guides their activities. They discuss with the communities for them to come up with some of the projects that they do. One South African respondent has this to say, "*Over and above the SLO, we also do donations to the community and these are done after engaging the community on their needs", (CoRAR 4).* In agreement with this respondent, Implats has this to say, "*The sustainable development department at Impala Rustenburg manages the socio-economic development initiatives at our South African operations. A technical team is responsible for implementing the projects, working with the stakeholder engagement department."*

Implats Sustainable Report 2017 pg. 17. In their 2018 Sustainability report Implats reiterated the same notion, *"In implementing SLP projects, we communicate closely with community representatives and authorities. Impala Rustenburg holds quarterly meetings with separate*

forums established with the Royal Bafokeng Nation (RBN) and the Rustenburg Local Municipality and continues to implement various communication initiatives aimed at educating the community about the SLPs and their benefits to the community. The RBN elected new councillors to the MCLEF in October 2017 and has been mentoring them. At Marula, a forum comprising representatives of all six Communities affected by the mine operation engage effectively with the mine's stakeholder engagement department." Implats Sustainability Report, pg. 57.

According to the same report, it seems Implats tries to use the same approach of engaging the community in order to have the Social License to Operate in Zimbabwe, although the SLO is not legally enforced in Zimbabwe. "*Zimplats and Mimosa seek to identify and implement socio-economic development projects in line with the needs and priorities of the communities around their operations. Zimplats' projects are aimed at supporting the Company's business strategy, which emphasizes the importance of engagement, forging partnerships in the development process and in managing stakeholder expectations, with particular emphasis on those areas that affect the social license to operate. The operation's community development activities fall into the broad categories of education, health, income generation (for example agricultural projects) or local enterprise development." Implats Sustainability Report pg. 60*

All the respondents show that they engage all the stakeholders when they want to do a project. The stakeholders that are engaged include community members through their leadership, municipalities, traditional leaderships and government departments linked to a particular project to be carried out for example if it's a clinic they involve the Ministry of Health. In South Africa, they involve the stakeholders prior to inception so that they agree on the project and how it is going to be implemented. After project completion, the project is handed over to the

government and a Memorandum of Understanding (MoU) is signed between the mine and the government department. In other circumstances, the stakeholders suggest the projects that can be undertaken by the mine and the project is handed over to them for implementation.

However, government departments sometimes fail to honour the agreements. For example, one respondent has this to say, *"An agreement was entered between us and the health department that we would build a state of the art 24-hour-clinic and nursing home. The agreement was that we were to build the home and the ministry would furnish and run it. A state of the art clinic and nursing home was built and finished in 2017 but until now, it has not been opened because the ministry is saying they do not have money to buy furniture for the clinic and home. Although there is a signed MOU, the mine cannot do anything to enforce the ministry to abide by the agreement".* From the responses provided by these respondents, this may be because the project was never part of the government's developmental plan and therefore was never budgeted for. This supports the notion that partnership should be done at the planning level on both parties so that the mine's plan fits into the government developmental plan.

In agreement with the responses provided by the participants, Anglo America has this to say in relation to stakeholder partnership, *"Our government engagement follows a clear and accountable set of parameters, annual planning, and assurance processes, which are set out in our Government Relations Handbook. For each jurisdiction, government relations plans are approved annually by the Group and relevant business unit CEOs."* Anglo Sustainability Report 2016 page 21

The chairperson of Social, Transformation and Remuneration committee for Implats Mpho Nkeli has this to say concurring with the responses provided, *"We strengthened our stakeholder engagement framework to ensure deeper engagement, which has assisted in building stronger relationships. I am particularly encouraged by the collaborative engagement with our employees and union representatives this year, and the stronger relationship we have built with the Department of Mineral Resources. In preparing for the years ahead, it is essential Implats do not create expectations that cannot be realized. Establishing and maintaining trust with all stakeholder groups will be critical as Implats strives to meet its commitments to zero harm, transformation, socio-economic development, and environmental protection."* Implats 2017 Sustainability Report pg. 1. In their 2018 Sustainability report, Implats also reiterated that their projects are undertaken in partnership with government departments, "*Our social-economic development (SED) investments comprise specific initiatives that are defined in our SLPs and our corporate social investment (CSI) projects. Many of these projects are delivered in partnership with the government, development agencies, communities, and non-governmental organisations."* Implats 2018 Sustainability Report pg. 56. As mentioned above the partnerships with government agencies allows for project sustainability, as the agencies will continue to monitor and manage the projects on behalf of the communities.

This is in agreement with what one of the respondents mentioned, "*Each of our operations is implementing an SLP, as required under the MPRDA. The five-year plans focus on infrastructure, education and skills development, healthcare, community empowerment, and partnerships in local municipalities. We are currently in discussion with the DMR for an extension of some of our 2014 to 2018 plans, whose implementation was delayed by the 2014 platinum strike. The SLPs are developed through a consultative process with the respective municipalities' Integrated Development Plans (IDPs), Traditional Authority Plans and host*

communities. The plans are reviewed and revised where necessary, including prioritization of projects. Large-scale projects are aligned to municipal integrated development plans and local economic development strategies", (CoRAR 4)

A good example of partnership is where Anglo America partnered with the Department of Health as well as Lekwa Local Municipality to build an R26 million community healthcare Centre according to their Social Labour Plans

6.1.3. Stakeholders' representatives

This data from this group of respondents are not be discussed per case as these respondents were representing all the cases under study

All five respondents in this group agree that the activities being undertaken by mining companies are suggested by the communities. However, they feel that the companies in South Africa are involving the communities mainly because the legislation forces them to do it and the way that the involvement is done is not right and therefore ends up not achieving desired results. Another nongovernmental organisation representative had this to say, "*In some cases, communities are not consulted as prescribed in legislation, while in many other instances, only token public consultation processes are undertaken by mining companies to make it look as if they are complying with the law. However, in reality, they have no intention of listening to local people or implementing concrete steps to curb environmental damage and protect communities*", (SRAR 1)

This may explain why some community members feel that only the company comes up with the projects to do. The correct beneficiary involvement should lead to the company doing the

project which is suggested by the communities. This will lead them to have a sense of ownership and therefore lead to sustainability. It seems the involvement being done does not involve the correct beneficiaries as they sometimes just involve the traditional leadership who may not equally represent all the communities.

Another respondent has this to say, "*These are company-owned initiatives usually agreed upon with chiefs or elite members of the society. For example, in a community in Zambia, the mining company put a golf course. Which community do people play golf? They also put a soup kitchen for some community feeding. Those who have pride would not want to go and line-up to eat soup. They also put some school that was so expensive and ended up being a school where elite members of the mine and surrounding towns send their kids but on their books, it looks like they have built a school for the community CSR initiative. If you ask the rich people who are there they are very happy with it since they are sending their children, there. However, when we say ownership we mean that for development to be successful they need to start from the communities. If they are not emerging from long-term needs of communities, in which the CSR initiatives are being implemented. When people just see a clinic going up, a football stadium being built, or three houses and they have not been consulted they will not have a sense of ownership since they may have preferred a different project. CSR initiatives in Africa are top-down and are driven by budgets or what the CEO feels is right or promises that they made to the ruling property to support their incumbent in that area. Therefore, they become elite consent deals. In many African countries, companies are fulfilling a corporate agenda rather than a community agenda", (SRAR 2).* This is in agreement with the literature review where Dziro (2014) said that in Zimbabwe the idea behind the CSR activities undertaken by mining companies carrying out certain CSR projects in communities was to avoid being disturbed as they focus on their mining business.

On the involvement of stakeholders, a respondent from the non-governmental organisations said, "*The municipalities are just as uninformed as the rest of the people. The expectation that the municipality has an ability to oversee a complex SLP that was developed without their input but with the department of mines and minerals is an exaggeration. To imagine that local authorities that do not have a sight of the geological map that does not have the actual value of the extraction are able to quantify the investment that is going into CSR is a nightmare. A local authority without the plans of the mining company cannot suddenly add value to a corporate-driven CSR initiative so it is at the planning level where there are inconsistencies and incoherence. At the implementation level, too many actors do not work together therefore do not share information. At the impact level, various actors from a community that is there is no agreement on what people want, what the district authority wants and what government is looking for, do not agree upon the indicators of success. In the absence of an agreement between these actors, CSR initiatives become sporadic investments in social development without long term macro-economic development transformation".* He continued to say for involvement in CSR projects, "*The government and the corporates need to rethink what the objective is in CSR. Is it to reduce company tax or burden or is it a purposive desire by the corporates to participate in the liquidation of the structural drivers of unemployment, poverty, and inequality in the areas that they are working. Communities are intelligent and understand well what is and is not development. They should therefore be involved in deciding their development initiatives. Companies should not use CSR to address the tax obligation but as a response to development plans*", (SRAR 3).

The respondents also agreed that the activities have undertaken differ from company to company and community to community mainly because of the legislation and the agreement

that was done by the mine and the government through the SLO. The stakeholders that are involved in coming up with these projects include labour movements, municipalities, civil society, and local government. Their consultation approach is however very weak and not proactive and therefore does not respond to the needs of the people.

6.2. Projects sustainability

6.2.1. Community representatives

The projects which were suggested by the communities prove that they are more sustainable than those which were undertaken from the mine's perspective and as a voluntary part. The small-scale mining project which is being undertaken in Zvishavane is now employing more people. Asked for how long the project will have a positive impact on the community the respondent who is also part of the beneficiaries of the project has this to say: "*We have a business plan which is clear and we are doing very well. We believe the project will have an impact on our community for a very long time, even after the mining has stopped".*

The other projects that are being undertaken by the companies, although they are good for the community are not sustainable. For example, painting schools and clinics without empowering the communities to be able to do it on their own in the future is just creating a dependency syndrome.

According to the South African community representatives, the projects being undertaken are not sustainable. This is because the communities do not have a legal structure that can assist them in running or maintaining the projects. The other problem is that the mining companies are not involving the right stakeholders in coming up with their projects. They are considering

projects suggested by individuals and some projects they deem necessary. These projects will not be in line with the IDP of the Municipalities. Therefore, the municipalities will not be able to maintain them since they will not have a budget for that. An example was given of a bakery project which was done by Anglo-Americans in the Mogalakwena community. The mining company built the structure and bought the equipment without engaging the municipality. When they handed over the project to the community it was realized that the power availed was not sufficient for required power. Eskom gave a quotation of over ZAR20 thousand which the community failed to raise. The municipality cannot assist since they were not involved and therefore do not have a budget for it. According to the respondent, "*The project is now a white elephant as it is not being used because of lack of planning".* If the funds had been used to do a project, which is in alignment with the IDP, the municipality would be maintaining and the community would benefit more.

6.2.2. Company representatives

The mining companies are doing much to ensure that the projects that they do are sustainable. The projects that are being carried out by mining companies include income-generating projects like bio-diesel and essential tree planting. However, it is very difficult for the projects to be sustainable if the communities are managing them mainly because communities may end up having quarrels or change in leadership and this will affect the project. An example was given on a project on the oil farm, which Implats established for 17 million in Eastern Cape South Africa and it eventually failed though it had the potential to generate a lot of income. The mining companies in South Africa have now resorted to MOUs with government departments so that they will manage the projects on behalf of the community.

In South Africa, they are also engaging in Skills Development projects so that they empower the local communities so that they will either employ them in the future or they can be employed somewhere else.

Similarly, in Zimbabwe, they are also focusing on income-generating projects as a way of ensuring sustainability. The examples of income-generating projects being undertaken in Zimbabwe include bee farming, irrigation, smallholders mining support. In addition to that Unki mine also built houses for the surrounding communities (example in the picture in the appendix).

Mining companies in both countries are also involved in projects to do with health and education where they do some projects like the painting of schools, rehabilitating clinics, giving scholarships to the communities and fund sports. However, these are only sustainable as far as the mine is operational. According to Implats they also do audits to see how the project is performing according to the response provided by one respondent, *"Each year an independent audit is conducted on selected social projects, based on the financial, legal and reputational risk as well as to determine impact, progress and potential remedial action where a project faces possible failure", (CoRAR5)*

6.2.3. Stakeholder representatives

On sustainability, the NGOs feel that most of the projects being undertaken are not sustainable because they do not respond to the government's development plan. The responsibility of project sustainability should rest on the government although the company should continue to support it. Therefore, if the local authorities do not have a sense of ownership for these projects there will not be sustainability. Communities do not have the capacity to run the project

independently because of a lack of skills and community setup. The impact to achieve sustainable development can only happen if the project is built into the long-term developmental plans of the government, which is not what is currently happening.

One respondent has this to say on sustainability, *"For sustainable development, the biggest beneficiaries should be through procurement. Where communities do not have the expertise, the mines should train them. Although there is legislation it is not very clear, the mining companies are doing very little that leads to sustainable development. We should move out of voluntary and make it legislative. Projects should transform society not just for a good name. These projects will be guaranteed to survive even after the mine has closed. The reason why projects are collapsing is that the mine is not training the communities. If the communities are properly trained, they will survive and help achieve sustainable development", (SRAR1).*

Another respondent from the non-governmental organisations has this to say, "*CSR initiatives themselves which are just symptomatic and do not seek to address root causes of poverty and inequality in the locality which they are working in and rarely do we see CSR programs tackling social issues from their routes. They are very PR driven and are low budget initiatives. No long-term systematic change in the area. They are not sustainable; they are certainly important for example if you put a police station it address crime but it is not what the people want. Investments that they make do not have the possibility of running on their own because they are not income-generating projects they are mostly social. Therefore, they rely on continued investment for them to be able to realize fruits of the benefits. You can put a school and then the school requires government investment in terms of teaching material and staff and others. The company may put building blocks in a school in a rural area that has no funding capacity to sustain the effective use of a science laboratory so they are short term and in the*

moment. In Mozambique and South Africa, the poverty continued 15 to 20 years after the mining company started operating. The only thing is the housing, which has long-term social security consequences. They do projects for PR for example football tournaments, sponsorship of tournaments. The projects seek to keep people socially happy but structurally poor. Because a football sponsorship will never improve the living standards of the people", (SRAR 2).

The recommendation on sustainability is that communication should be from the community to the mining company, not the other way. If the communities initiate the projects that they want through the government departments they will have ownership of the projects, therefore, there will be sustainability since the project will be linked to the government's developmental plan. Another respondent has this to say, "*They are not sustainable, they are certainly important for example if you put a police station it addresses crime but it's not what the people want. Investments that they make do not have the possibility of running on their own because they are not income-generating projects they are mostly social. So they rely on continued investment for them to be able to realize fruits of the benefits. You can put a school and then the school requires government investment in terms of teaching material and staff and others. The company may put building blocks in a school in a rural area that has no funding capacity to sustain the effective use of a science laboratory so they are short term and in the moment. In Mozambique and SA, the poverty continued 15 to 20 years after the mining company started operating. The only thing is the housing, which has long-term social security consequences. They do projects for PR for example football tournaments, sponsorship of tournaments. The projects seek to rather keep people socially happy but structurally poor. Because a football sponsorship will never improve the living standards of the people", (SRAR 3).*

Another company representative from Marula mine in South Africa said, "*The organisation of the leadership of the rural communities is also a serious challenge*", (CoRAR 2). The respondent indicated that although they could have approached the local traditional leadership of the area who are based maybe 10km away from the mine, they will still have other communities who approach the mine and demand that they do something to them. Seems like the distribution of the benefits that are channelled through the local leadership will not always found itself to everyone who is being affected by the mine's activities. This affect the sustainability aspect.

The other challenge is where the government shifts positions and fails to honour the contents of the MOUs because of various reasons ranging from change in leadership to lack of funding. An example mentioned by two company representatives from Marula Platinum Mine in South Africa is of the health department of South Africa, which failed to furnish the clinic that had been built by the mine because they did not have the funds.

In agreement with the responses from the participants Anglo American group said another challenge on CSR is on different stakeholder expectations, *"In determining and managing our SLP commitments, we often experience challenges associated with conflicting stakeholder interests and consulting across several traditional communities, as well as with government department delays."* The Group recognizes the critical importance of effective engagement to address risks of mistrust and lack of clear communication, which have been catalysts in many incidents. As indicated by another South Africa based mine representative, *"This is a particular concern at Platinum's Mogalakwena mine, where incidents have led to disruption to our operations, damage to property and increased tensions in the relationship between the mine and some stakeholders" (CoRAR 4)*

In 2014, a task team was established with representation from the Mapela community villages close to the mine, to serve as an engagement platform, facilitated by the South African Human Rights Commission." (Anglo America 2016 Sustainability Report pg. 41). It can be seen that lack of engagement poses a serious threat to the success of CSR projects that mining firms undertake. Stakeholders may be having conflicting interests but engagement with all the stakeholders results in consensus between the stakeholders and the mining firms which helps in supporting good CSR. The challenge is common in both countries.

In agreement with the company representatives, the stakeholders believe that the sustainability of projects can only happen where the projects are linked to the government's developmental plans since it is difficult to organize the communities. Mimosa Mine renovated Mandava stadium as part of its corporate social responsibility and handed it over in 2018. Exactly a year after the handover, the stadium was banned for use by the premier soccer league teams. The community has not realized any returns considering the money that was used to renovate the stadium.

According to the European Union, CSR is a concept that involves the interaction of the corporate and stakeholders in order for the corporate to understand and implement stakeholder concerns in their day-to-day operations voluntarily. This definition coupled with the definition that we adopted for this study given by the Center for Economic Development where they said CSR is the corporate's activities that are meant to improve social, economic and the environment of the communities through strategic ventures that ensure sustainable benefits for the community and stakeholders (Center for Economic and Social Development, 2013). This means that for CSR to be effective there is a need to have strong involvement of the community.

25% of the community representatives' respondents in Zimbabwe indicated that they were involved in the activities that were done. The other one approached the mine for assistance after they had written a business plan for small scale mining. The other one came up with a bee farming project after being told to come up with a project that the mine could fund. These projects show that they have an impact on the socio-economic needs of the communities. Also, the beneficiaries of these projects have a sense of ownership which will lead to the sustainability of the projects.

In South Africa, most CSR activities are mainly guided by the SLO which is an agreement between the government and the company. This agreement is signed after consultations with the communities that are being affected by the mine's operations. The SLO is renewed every 5 years. Even on implementation, the mine is compelled to engage the stakeholders as the renewal of the SLO largely depends on the successful implementation of the previous SLO. Some CSR activities are however done from the operational budget of the mines and they come up with these activities from the requests of those communities mostly not covered in the SLO. This means that community involvement is more in South Africa compared to Zimbabwe. It shows that in Zimbabwe, there is no enforcement of the laws that encourage community involvement in CSR activities. This is in agreement with what the stakeholder respondents who feel that mining companies are only involving the communities because they are forced by the law to do it. This is also in agreement with Kabemba (2013), who says communities are only consulted as a way to fulfil legislation while in many cases the consultation process is only done to make it looks like they are complying with the legislation when in reality they do not intend to involve the local people. This leads to involvement just for report writing and does

not achieve desired results even as in Zimbabwe respondents feel that they were not involved in coming with the projects to do.

The data collected from other stakeholders shows that in South Africa legislation lead to community involvement in CSR projects more than companies in Zimbabwe. In involving the communities, the companies will then be compelled to have stakeholder partnerships.

6.3. Discussion

Normally where CSR is guided by the law, stakeholder partnership is on the high side whereas, where CSR is voluntary, stakeholder partnership is weak. However, in some cases, token public consultations are done to portray an image where the company is abiding by the legislation when in fact they have no intention to listen to the community's needs (Kabemba, 2013). This is in total agreement with the situation in Zimbabwe where the communities claim that they are not consulted whereas the companies claim that they involve the communities in coming up with the projects. Stakeholder partnership leads to involvement and ownership which in turn will lead to sustainability. In South Africa, the companies are forced to involve the stakeholders because of the SLO. Strong stakeholder partnership will lead to the companies doing projects that are in line with the government's developmental plan and this will also lead to sustainability. A situation that happened in South Africa, where a *state of the art* nursing home was built but is still not operational because the government hasn't been able to furnish it. This could perhaps have been avoided if there was stakeholder partnership prior to the project being undertaken because the government would already have a plan to finance this and would record it as an achievement to their development.

In South Africa, there are high valued projects, which were meant to possibly have an impact on the socio-economic conditions of the communities, but unfortunately, the projects did not sustain. A good example is the essential tree-planting project by Implats in Eastern Cape and the 24-hour clinic, which hasn't operated until now. According to Implats, the essential oil tree project failed because the communities failed to manage it. But after the discussion on stakeholder partnership and community involvement above, the failure may be because the company did not partner with the stakeholders in coming up with the project. Therefore, the communities failed to run it or maybe they did not have a clear structure of how to do it since it was just handed over to them. Despite the mentioned projects above, in South Africa mining companies are doing many thriving projects that have a positive impact on the communities. This is mainly because these projects are done as part of the developmental plans of the municipalities.

In Zimbabwe, projects that were suggested by communities seem to be sustainable than the ones which the company came up with. The Skills Development projects that are being undertaken in South Africa can, however, be said to be sustainable as the person trained will live with the expertise and may use it for the benefit of self and or others as mentioned by one respondent from the stakeholder representative group.

In both countries, mining companies are spending large amounts on CSR projects, however, very few of these are sustainable. Most of these projects will need a continuous injection of money for them to survive. Also, it seems the communities now have a dependency syndrome as they expect the mining companies to continue supporting them as noted by one respondent from Zimbabwe who said *"... the mining companies should find the market for us to sell our produce from the irrigation. They should also help us to get the treated seeds so that our*

harvests are maximized…..", (CRAR3). This clearly shows that the community has no foresight of doing something fruitful on their own. The irrigation scheme project was supposed to be sustainable but it seems the partnership that was done did not give the communities a sense of ownership. In this vein, we can conclude that projects, where the community and other stakeholders were involved, are more sustainable than the ones where they are not involved. We can also conclude that sustainability comes from ownership and not from the value of the project.

According to Kabemba (2014), to ensure sustainability, mining companies must ensure that CSR projects apply to their core activities and encourage communities to provide goods and services. This is in agreement with one respondent from the NGOs group who mentioned that *"For sustainable development, the biggest beneficiaries should be through procurement. Where communities do not have the expertise the mines should train them." (SRAR4)*

Since the concept of sustainable development represents a crucial concept for the development of modern mining sector, its practical implementation faces a large number of obstacles, mainly related to the inability of markets to solve monopoly power, environmental, public goods, information limitations, social inequality, and other problems inherited by the mining sector. Though the liberalization of the mining sector has been achieved in many developed countries with a positive impact on the transparency and efficiency of mining firms, nevertheless, the free market cannot ensure the achievement of social and environmental objectives of sustainable development.

The companies implementing CSR are having challenges with the stakeholders as they sometimes fail to honour the MOUs that enable the successful implementation of the CSR

projects, even after they had initially signed the MOUs. This problem is prevalent in South Africa. The other challenge mentioned by respondents from both countries is that of budgetary constraints. The budgets are always not enough to cover what the companies would have wished to cover.

However, the respondents seem to cover it up when they mention that the challenges on CSR are stemming from the legislation. For instance, in Zimbabwe, where there is legislation, it is not very clear and companies tend to take the easy way out taking advantage of unclear legislation. Lack of good legal structures *that may assist the mining firms in maintaining the CSR projects impacts badly on involvement of the communities in* coming up with the projects as mining companies end up considering individuals who do not represent the needs of the majority.

If there were clear legislation on what should be covered by CSR, the problem of MOUs not being honoured would not be there since the legislation would be clear on who does what. This is in agreement with the CORE Coalition who asserts that the voluntary approach to CSR has failed and the only way to go is legislation. Hopkins (2010) in his article published by the MHCi also said he had now changed from his 1998 view where he was arguing that CSR should be voluntary but now believes that although CSR should not be fully regulated it cannot survive without regulation.

It is noteworthy that the organisation of the leadership of the rural communities is also a serious challenge in both countries as it seemed like the distribution of the benefits that are channelled through the local leadership will not always found itself to everyone who is being affected by the mine's activities. In as much as communities may have different demands, other

stakeholders may have conflicting interests and consulting across several traditional communities, as well as with government department delays.

From the discussion above, we can conclude that legislation is the centrality in sustainability of CSR projects. Not only does legislation shape the CSR projects undertaken but also leads to Community Involvement and Stakeholder Partnership. Legislation also enables overcoming of the limitations in CSR. It can be concluded that in South Africa there is more stakeholder inclusion in the CSR projects that are undertaken compared to Zimbabwe. The SLOs and SLP force the mining companies to engage with the communities more. Engagement of the communities leads to ownership which will, in turn, lead to sustainability. The sustainability of the projects is not mainly based on the type of projects or amount of capital injected but on the sense of ownership to the beneficiaries. Although the types of projects that are undertaken are almost the same in the two countries, the sense of ownership is more felt in South Africa compared to Zimbabwe.

Also, the legislation in South Africa forces mining companies to do something for the communities and if they fail, they may lose the license to operate unlike in Zimbabwe where the issue of CSOT is not linked to any legislation. The Mines and Minerals Act does not mention anything on the CSOT and therefore mining companies in Zimbabwe end up focusing on voluntary CSR activities. As much as these voluntary activities contribute much in the socio-economic conditions of the communities, they fall short in achieving sustainable development as communities and their local leaders are not involved in coming up with these projects and therefore fail to maintain them after being handed over.

The results have also shown that the CSR in South Africa may not always be effective for all the mining companies because of corruption whereby the mining companies make use of bribes to operate without undertaking CSR activities or to leave out some of the activities that are required of them by the South African law. In some cases, the CSR activities undertaken by some of the mining firms in Zimbabwe are more effective than those undertaken by South African mining companies. However, in general terms, CSR activities undertaken by mining companies in South Africa are more effective than those undertaken by Zimbabwean mining companies.

Effectiveness of the CSR activities largely depends upon the type of CSR undertaken by the mining firms, that is whether they are sustainable in terms of benefit the stakeholders affected by the activities. In South Africa, the CSR activities by mining firms are more effective because the legislation and stakeholders determine the types of CSR activities to be undertaken by the mining companies. However, in the case of Zimbabwe, where there are limited stakeholder engagement and poor legislative structures and poor implementation of the laws guiding CSR of mining firms, the types of CSR by mining firms in the country are largely unsustainable as they are decided upon solely by the mining firms.

Compared to South Africa, it remains true that CSR has not played a significant role in Zimbabwe to date. The country continues to be faced with basic challenges such as poverty and lack of infrastructure. Within this context, CSR is often approached simply from a philanthropic perspective, rather than being seen as part of the core business strategy of companies. CSR is not yet considered to be closely linked to a company's core business, and as embedded in its reason for existence.

6.4. Conclusion

In this chapter, the researcher analysed the data that was collected from mining companies' representatives using semi-structured questionnaires and from other respondents (including mining communities' representatives, government representatives and representatives from non-governmental organisations) using open-ended interviews. After data collection, it has been analysed using thematic analysis whereby codes were assigned to the research objective that this chapter seeks to address. Data on the research objectives have been interpreted using thematic analysis whereby themes were created around the research question - How effective in achieving sustainable development are the CSR activities undertaken in Zimbabwe compared to South Africa. The results showed that the CSR activities are more effective in South Africa than in Zimbabwe where there is poor implementation of sustainable activities. This is mainly due to the legislation that governs CSR in South Africa

CHAPTER 7 – CONCLUSIONS

7.1. Introduction

This chapter provides a summary and the conclusions drawn from the study. The chapter also gives a summary of the recommended African CSR agenda. Lastly, chapter shows some areas that require further research.

7.2 Conclusion of the study

This study analysed the effectiveness of CSR activities in the mining sector. The aim of the research was to understand if the CSR activities which are undertaken in South Africa are more sustainable compared to Zimbabwe. The study aimed to achieve the following research objectives:

- To compare and contrast the CSR activities that are undertaken in South Africa and Zimbabwe
- To examine how legislation in the two countries govern CSR activities in South Africa and Zimbabwe
- To appraise the effectiveness of CSR activities in achieving sustainable development in the two countries.

The following are the summary conclusions of the research:

It is concluded that although the mining companies are the same the CSR projects they do in South Africa are different from those undertaken in Zimbabwe. This is mainly because of the difference in legislation between the two countries.

Effectiveness of CSR largely depends on the type of CSR activities/projects undertaken and also the perceptions and feelings of the communities and other stakeholders. It is important that there is stakeholder inclusion and ownership of the projects undertaken as this leads to effectiveness. Where there is weaker legislation there is weak stakeholder inclusion leading to ineffectiveness of the projects. Thus, CSR projects undertaken in South Africa are more effective than those in Zimbabwe.

CSR has not played a significant role in Zimbabwe compared to South Africa. Although both countries face with basic social challenges such as poverty and lack of infrastructure, South Africa is at a better position. In the areas where mining companies are carrying out CSR projects a significant improvement can be witnessed in South Africa compared to Zimbabwe. In Zimbabwe, CSR is being approached from a philanthropic perspective where little attention and enforcement is given.

There is clear legislation that guides CSR in South Africa, which therefore enforces stakeholder inclusion. The stakeholder inclusion can be described as stakeholder perspective evaluation as explained by Lulewicz-Sas (2014).

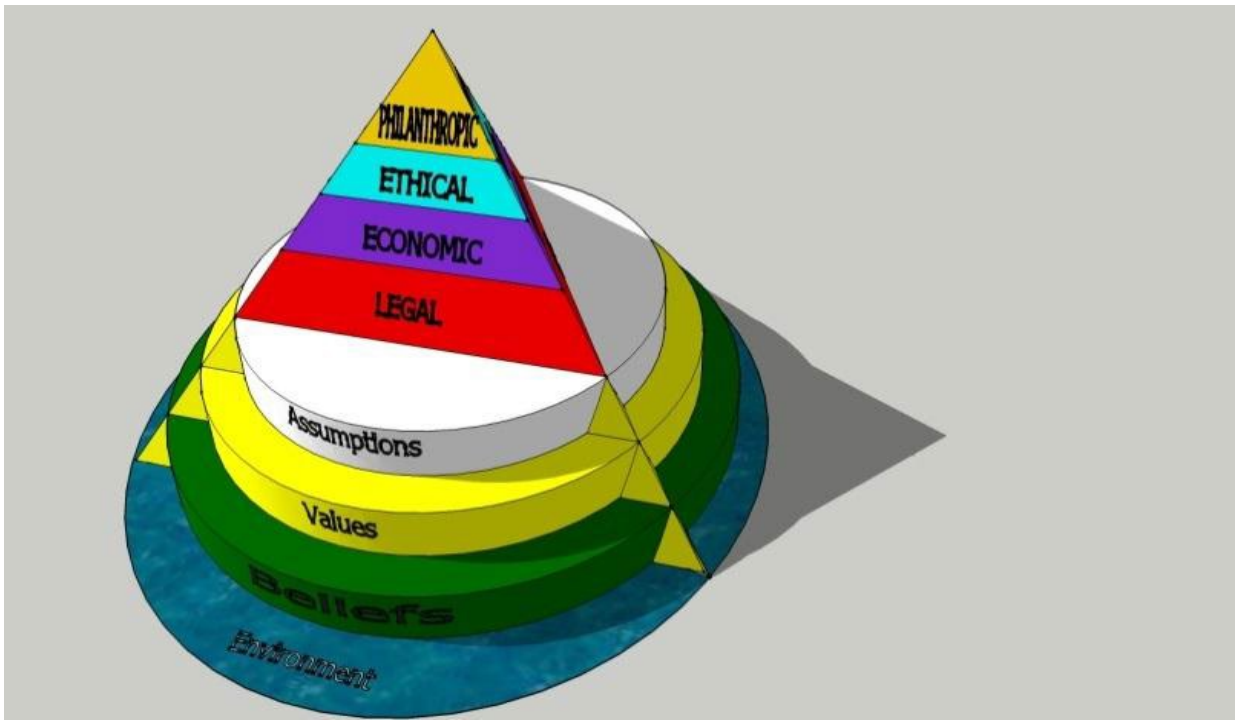
We can conclude that legislation is the centrality of CSR sustainability and effectiveness. In addition to shaping CSR legislation leads to Community Involvement and Stakeholder Inclusion and Partnership. This will then lead to CSR projects ownership, sustainability, and effectiveness.

The African CSR context is not represented well in Carroll's pyramid. It relates more to the Western context, which is completely different from the developing countries in Africa.

Carroll's pyramid was later rearranged by Visser (2006) to come up with a pyramid that relates more to the African context. According to Visser, philanthropic responsibilities take priority over legal responsibilities as compared to Carroll's model where legal responsibilities take priority.

7.2.1. The African CSR Agenda

According to the data collected in this research, Carroll's pyramid rearranged by Visser in 2006 may not represent CSR in the African context well especially in this 21st century. If we look at South Africa, CSR there is more on the legal side than philanthropic. In 2014, Nalband and Al Kelabi further modified the pyramid to come up with what they call a universal model of CSR. According to them, CSR should consider the beliefs, assumptions, and expectations of society for a business that cannot operate in isolation with society (Nalband & Al Kelabi, 2014). Nalband & Al Kelabi's model is as per the diagram below:



Source: Nalband & Al Kelabi (2014), page 237

Hamidu et al. (2016) came up with a summary of the three CSR dimensional models as per the table below:

CSR Dimensional models

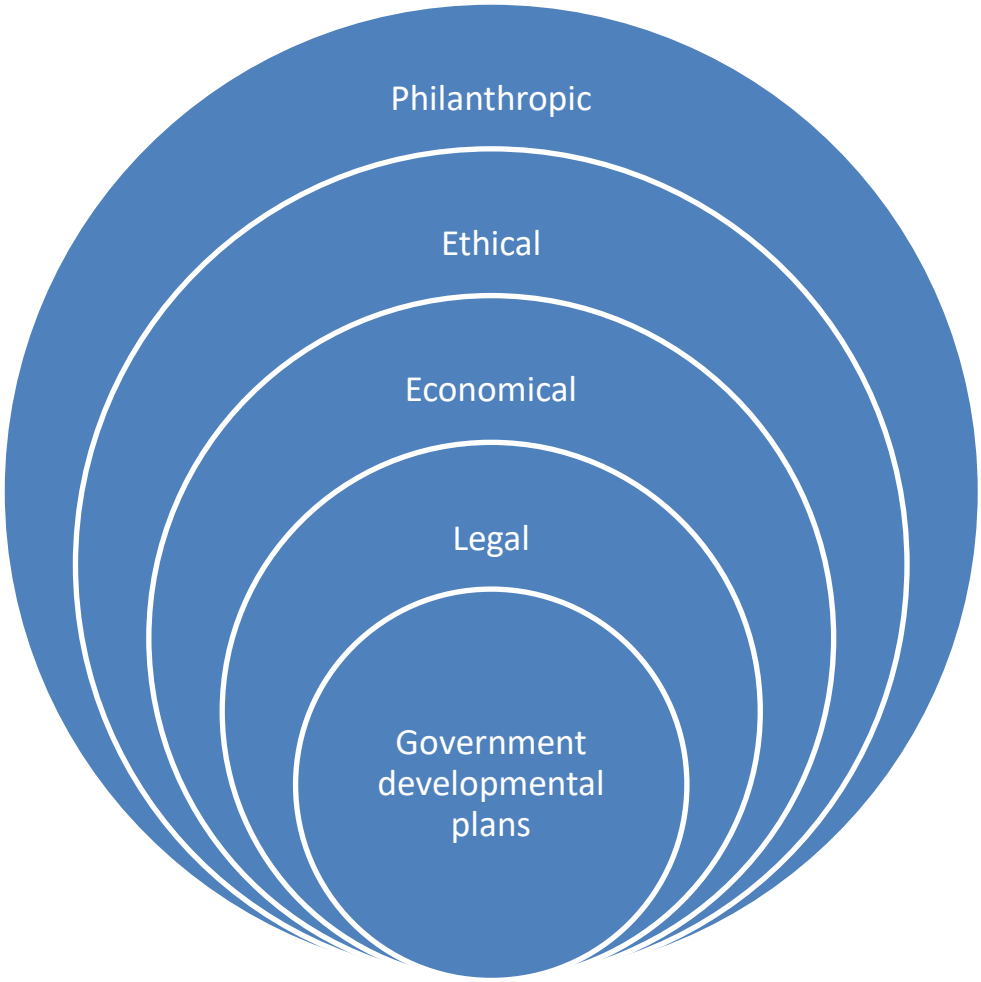
Priority Level	**Carrol (1991) Western CSR Model**	**Visser (2008) Developing Countries CSR Model**	**Nalband & Al Kelabi (2014)**
Low ↑	Philanthropic	Ethical	Philanthropic
	Ethical	Legal	Ethical
	Legal	Philanthropic	Economic
High	Economic	Economic	Legal
			Assumptions
			Values
			Beliefs
			Environment

Source: Hamidu, Haron & Amran (2016): page 7

The Universal CSR model by Nalband & Al Kelabi (2014) although capturing the most important factors in the African context according to the data collected, leaves an important factor that was raised in the data collected. The assumptions, values, and beliefs may guide CSR but it won't be able to achieve the expected outcomes that lead to sustainable development in the African context. It is therefore important that the CSR activities be in line with the developmental plan of the government so that the government can monitor and operate it on behalf of the communities. Therefore, the government developmental plans are an important factor to be considered when coming up with CSR projects. The researcher, therefore,

concludes that any CSR that is not part of the developmental plan of the government may not survive or may not achieve sustainable development.

In Africa or developing countries, there is a great need to attend to the socio-economic conditions of the people as the region still struggles in poverty, disease, and other challenges. It has been agreed by many writers that Multinational Companies need to be part of solving developing nations' problems and this through CSR. CSR projects that are not part of the government's development plan will not achieve the much needed sustainable development in developing countries. The researcher, therefore, concludes that an Africanised CSR agenda should prioritize legal priorities over others. The African countries need to attend to their legislation so that CSR is mandatory in a way. Over and above the legal priorities CSR projects should be part of the government's developmental plans. These developmental plans will already involve the assumptions, values, and beliefs of the communities since the government is part of the community in a way. The researcher developed a diagram below to explain what she thinks is the best Africanised CSR agenda:



Source: *Author's own creations*

The centrality of CSR should be to achieve sustainable development.

The assumption is that the government should have developmental plans that achieve sustainable development.

CSR projects, therefore, should focus on the achievement of government development plans. Legal responsibilities should take priority, followed by economic, ethical and lastly philanthropic. However, these responsibilities are not independent of each other but interlink. There is nothing as purely economic or purely ethical but each has a bit of some.

The aim of this comparative study between South Africa and Zimbabwe was to investigate the success factors and challenges to the achievement of sustainable development. For this purpose, three research questions were formulated which sought to address the study's objectives.

From the research findings, it can be concluded that CSR of mining firms in Zimbabwe is mostly guided by voluntarism compared to South Africa since South Africa has well-enforced laws targeted towards ensuring that communities in which the mining firms are located are compensated and benefit from the mining operations. In Zimbabwe, there is a poor legal structure to enforce laws that may be present to ensure mining firms undertake CSR activities. Thus, the CSR in Zimbabwe conforms to the institutional theory and it is taken by the mining firms in Zimbabwe as the second responsibility from the economic responsibilities of a company. This is in line with Visser's pyramid whereby philanthropic is prioritized as the second one from the economic responsibilities. The CSR activities undertaken by the mining firms in Zimbabwe do not truly represent the community needs as compared to those undertaken by South African based mining firms.

There are country-specific limitations and universal limitations to CSR activities by mining firms in the two countries. The country-specific challenges include poor legal structures and inconsistent government policies and lack of policy implementation which are mainly experienced in the case of Zimbabwean mining firms. Mining firms and communities in both countries experience challenges of conflicting shareholder interests and inadequate funds to undertake the CSR activities that are beneficial to mining communities.

In terms of engagement, there is greater stakeholder engagement by mining firms in South Africa than by those in Zimbabwe as companies in South Africa are forced to involve the stakeholders because of the SLO. Stakeholder engagement is also linked to project sustainability since strong stakeholder partnership will lead to the companies doing projects that are in line with the government's developmental plan. Hence there is greater project sustainability in South Africa than there is in Zimbabwe. More so, it can be concluded that CSR in mining firms that located are in South Africa is more effective than those in Zimbabwe.

It can also be concluded that it is important for companies to do all the three evaluations on CSR as mentioned by Lulewicz-Sas which are the state of CSR implementation in relation to existing plans of the organisation, impact of CSR to the organisation and effects of CSR from the perspective of the stakeholders (Lulewicz-Sas, 2014). In defining CSR, stakeholder is a key word where effective CSR has input from the stakeholders. In CSR implementation some companies are guided by the stakeholder theory. According to Freeman and McVea (2001), communities are considered as part of the internal stakeholders. When a company does not do the stakeholder evaluation, it may have inaccurate conclusions. For example, the company representatives felt that the CSR activities undertaken lead to sustainability whereas the stakeholders felt otherwise. On stakeholder evaluation it is important for a company to do correct mapping of stakeholders so that the right stakeholders may be identified.

7.3. Recommendations for further study

The study focuses ontwo African countries and may not be an effective representation of all African countries. There is a need for future studies to compare CSR between African and Western countries to understand how Africanised CSR is different from the Western CSR activities put forward by the UN. This study only focused on the mining industry, future studies

may include companies in other industries since mining firms are not the only companies that pose damage to third parties and the environment

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APPENDICES

Appendix 1 - Data Collection Instruments

Interview guide for company leaders

Analysis of the effectiveness of Corporate Social Responsibility in the mining sector: A comparative study of South Africa and Zimbabwe mining companies

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All respondents will be treated confidential and the responses will be used for academic purposes only.

Interview Questions

1. For how long have you been involved in CSR activities as a company?
2. What approaches does your company have for the defining of the CSR activities?
3. Does the legislation of the country have an influence on the CSR activities that you choose?
4. Do the activities of other mining companies have an influence on the activities that you get involved in?
5. To what extent do the affected external parties participate in the defining of the CSR activities of your company?
6. Do you have any CSR activities that are directed to the communities?
7. What is the role of the affected external parties in the implementation of CSR activities and projects?

8. Are the CSR activities done by your company similar across all your subsidiaries/mines?
9. What are the driving forces for CSR Activities by your company?
10. Do you have any strategies to ensure sustainability in the CSR activities that you are carrying out, in the event that you pull out?
11. What are the challenges you are facing in implementing CSR activities of your Company?

APPENDIX I

Analysis of the effectiveness of Corporate Social Responsibility in the mining sector: A comparative study of South Africa and Zimbabwe mining companies

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All respondents will be treated confidential and the responses will be used for academic purposes only.

Questionnaire for Non-Governmental Organisations

Date…… Questionnaire Number……

SECTION A (Personal Data)

1. Job Title/Position…….

2. Name and Location of organisation……..

SECTION B

1. Are you aware of the Corporate Social Responsibility Activities that are being done by the mining companies? Yes [ ] No [ ]

2. If Yes, were you involved in the decision of what projects to carry out? YES OR NO

3. At what level were you involved?.....

4. What type of activities/ projects are the mining companies implementing?.....

.....

5. Would you know how these mining companies decide what projects or activities to carry out?.....

.....

.....

6. What are the similarities of the projects that are carried out by different mining companies……

……

7. Are there any stakeholders that are involved in coming up with these projects. If yes, who are they?.....

8. How are these projects implemented?

……

9. Are the beneficiaries involved in the project during implementation?.....

.....

10. Who owns and manages the project after implementation?

……

11. How sustainable are these CSR projects that are implemented by mining companies……

……

12. In your opinion, will these projects have an impact on achieving sustainable development……

……

13. Which legislation influences the CSR projects that the mining companies are involved in?.....

.....

14. What would you recommend other stakeholders to do in order to improve the CSR projects being implemented by mining companies?

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Analysis of the effectiveness of Corporate Social Responsibility in the mining sector: A comparative study of South Africa and Zimbabwe mining companies

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All respondents will be treated confidential and the responses will be used for academic purposes only.

Questionnaire for Community Leaders

Date…… Questionnaire Number……

SECTION A (Personal Data)

1. Job Title/Position…….

2. Community……..……..

SECTION B

1. Are you aware of the Corporate Social Responsibility Activities that are being done by the mining companies? Yes [ ] No [ ]

2. If Yes, were you involved in the decision of what projects to carry out? YES OR NO

3. At what level were you involved?.....

4. What type of activities/ projects are the mining companies implementing?.....

.....

5. Would you know how these mining companies decide what projects or activities to carry out?.....

.....

.....

6. Are there any stakeholders that are involved in coming up with these projects. If yes, who are they?.....

7. As the community at what stage are you involved in the implementation of these projects?

……

8. Are the beneficiaries involved in the project during

implementation?.....

.....

9. Who owns and manages the project after implementation?

……

10. In your opinion, how long will these projects have any impact on your community

……

……

11. Do these projects have an impact on achieving sustainable

development……

……

12. Which legislation do you think influence the CSR projects that the mining companies are involved

in?.....

.....

13. What would you recommend other stakeholders to do in order to improve the CSR projects being implemented by mining companies?

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Analysis of the effectiveness of Corporate Social Responsibility in the mining sector: A comparative study of South Africa and Zimbabwe mining companies

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All respondents will be treated confidential and the responses will be used for academic purposes only.

Questionnaire for Government representatives

Date…… Questionnaire Number……

SECTION A (Personal Data)

1. Job Title/Position…….

2. Name of organisation……..

SECTION B

1. Are you aware of the Corporate Social Responsibility Activities that are being done by the mining companies? Yes [ ] No [ ]

2. As the government, were you involved in the decision of what projects to carry out? YES OR NO

3. At what level were you involved?.....

4. What type of activities/ projects are the mining companies implementing?.....

.....

5. How do these mining companies decide what projects or activities to carry out?.....

.....

.....

6. What are the similarities of the projects that are carried out by different mining companies……

……

7. Are there any stakeholders that are involved in coming up with these projects. If yes, who are they?.....

8. Are you involved in the implementation of these projects?

……

9. Are the beneficiaries involved in the project during implementation?.....

.....

10. Who owns and manages the project after implementation?

……

11. Do the projects aim to achieve or fulfil the SDGs, if so which ones……

……

12. Which legislation have any impact on the CSR projects that the mining companies are involved in?.....

.....

13. What would you recommend other stakeholders to do in order to improve the CSR projects being implemented by mining companies?

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Appendix II: Secondary data

The list of projects that are being done by Anglo American Mining Companies are as per tables below:

Zimbabwe

Year	Project	Cost	Sector
2015	Shungudzevhu Irrigation Scheme Project		Community Food Security and Livelihoods
	Donated Inputs to Shungudzevhu Irrigation Scheme		Community Food Security and Livelihoods
	Capacity Building Training of Shungudzevhu irrigation		Community Capacity Building
	Payment of ZESA charges for Shungudzevhu Irrigation		Community Food Security and Livelihoods
	Phase 1 Impali Primary School		Community Education
	Impali Primary School Architect		Community Education

	Gweru General Hospital Casualty Department Completion		Community Health
	Gweru General Hospital equipment for Casualty ward		Community Health
	Tokwe-Mukosi flood victims donations		Community Donation
	Total for 2015	**99,736.08**	
2014	Shungudzevhu Irrigation Scheme Project	26,066.15	Community Food Security and Livelihoods
	Donated Inputs to Shungudzevhu Irrigation Scheme	8,294.95	Community Food Security and Livelihoods
	Capacity Building Training of Shungudzevhu irrigation	1,350.00	Community Capacity Building
	Payment of ZESA charges for Shungudzevhu Irrigation	8,276.37	Community Food Security and Livelihoods
	Phase 1 Impali Primary School	2,342,317.87	Community Education
	Impali Primary School Architect	93,022.35	Community Education
	Gweru General Hospital Casualty Department Completion	382,989.77	Community Health
	Gweru General Hospital equipment for Casualty ward	138,932.00	Community Health
	Tokwe-Mukosi flood victims donations	97,977.00	Community Donation
	Total for 2014	**3,099,226.46**	

2013	Shungudzevhu Irrigation Scheme Project	289,048.74	Community Food Security and Livelihoods
	Donated Inputs to Shungudzevhu Irrigation Scheme	22,226.00	Community Food Security and Livelihoods
	Capacity Building Training of Shungudzevhu irrigation	1,125.00	Community Capacity Building
	Phase 1 Impali Primary School	470,365.94	Community Education
	Impali Primary School Architect	14,270.35	Community Education
	Gweru General Hospital Casualty Department	585,222.23	Community Health
	Gweru General Hospital laundry room	26,924.57	Community Health
	Fenced Jairos Jiri Narancenter	43,896.26	Community Education
	Fenced Rutendo Heart for Children	32,968.01	Community Infrastructure
	Donated to Msipa Scholarship Fund	10,000	Community Education
	Other Community Donations	50,189.00	Community Donation
	Total for 2014	**1,546,236.10**	
2013	Implemented 17 Village Housing Project	334,034.79	Community Housing
	Upgraded Rietfontein access road	388,760.70	Community Infrastructure

	Phased implementation of Shungudzevhu Irrigation	140,240.00	Community Food Security and Livelihoods
	Refurbished isolation hospital	37,401.42	Community Health
	Refurbished Mkoba 1 clinic	47,312.35	Community Health
	Refurbished Mkoba Polyclinic	19,813.77	Community Health
	Clinics Branding plates	430.00	Community Health
	Shungudzevhu Irrigation fencing	30,000.00	Community Food Security and Livelihoods
	Other community donations	22,996.76	Community Donation
	Total for 2012	**990,989.79**	
2011	Launched and donated as seed capital to Tongogara Community Trust	10,000,000.00	Community Trust
	Constructed and equipped Ruchanyu Secondary School	214,525.00	Community Education
	Upgraded and built a bridge at Ruchanyu access road	139,366.10	Community Infrastructure
	Refurbished Pakame school block	18,686.00	Community Education
	Refurbished Lundi School	49,587.50	Community Education
	Refurbished Dambudzo school	40,908.50	Community Education
	Upgrading and surfacing 17km acess road	4,554,898.00	Community Infrastructure

	Donated Materials for construction of a library at Midlands State University	57,000.00	Community Donation
	Total for 2011	**15,074, 971.10**	

For three years donations to one irrigation scheme Shungudzeivhu raises questions on sustainability

South Africa

Year	**Project**	**Sector**	**Cost**
2015	The Anglo American group released a total figure of USD40.1million		
2014		Health	890,000.00
		Education and Youth Projects	16,000,000.00
		Environment	
		General Community Development	192,100,000.00
		Arts, Culture & Heritage	5,000,000.00
		Housing	
		Other	15,000,000.00
		Chairman's Fund Contribution	7,000,000.00
			236,100,000.00
2013		Health	
		Education and Youth Projects	15,600,000.00
		Environment	100,000.00

		General Community Development	107,200,000.00
		Arts, Culture & Heritage	
		Housing	
		Other	71,000,000.00
		Chairman's Fund Contribution	10,000,000.00
			203,900,000.00
2012		Health	2,900,000.00
		Education and Youth Projects	27,000,000.00
		Environment	1,000,000.00
		General Community Development	138,000,000.00
		Arts, Culture & Heritage	
		Housing	
		Other	30,400,000.00
		Chairman's Fund Contribution	15,000,000.00
		Total	**214,500,000.00**
2011		Health	2,500,000.00
		Education and Youth Projects	37,500,000.00
		Environment	
		General Community Development	99,100,000.00

		Arts, Culture & Heritage	1,000,000.00
		Housing	
		Other	22,600,000.00
		Chairman's Fund Contribution	23,800,000.00
		Total	**186,500,000.00**