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COMMUNITIES, SUSTAINABILITY AND CORPORATE SOCIAL INVESTMENT PROJECTS: ARE THEY BUT WHITE ELEPHANTS?

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RESEARCH REPORT

submitted in partial fulfilment of the requirements for the degree

MASTER OF SCIENCE

in

PROJECT MANAGEMENT IN CONSTRUCTION

SCHOOL OF CONSTRUCTION ECONOMICS AND MANAGEMENT

at

UNIVERSITY OF THE WITWATERSRAND

Supervisors:

Dr Stephen Allen
Prof. David Root

MAY 2018

Soli Deo Gloria

Johann

Best friend and husband

Ever loving, patient and kind

The laughter in my life

Together we took the road less travelled by

And that has made all the difference

(adapted from The Road Not Taken, Robert Frost)

ACKNOWLEDGEMENTS

Dr Hercules Visser for planting the seed of possibilities and his unwavering faith in me. I am forever thankful.

Think twice before you speak because your words and influence will plant the seed of either success or failure in the mind of another. Napoleon Hill

Dr Stephen Allen and Prof David Root for their guidance and time.

The best teachers are those who tell you where to look but don't tell you what to see. Alexandra K. Trenfor

The women throughout the rural communities in the greater Lephalale area, Limpopo province, who do much, with the very little they have, to bring a positive change to the lives of vulnerable and orphaned children and their communities at large.

A candle loses nothing by lighting another candle. James Keller

DECLARATION

I, Jovita Stander, student number 1499263, hereby declare the following:

I am aware that plagiarism (the use of someone else's work without their permission and/or without acknowledging the original source) is wrong.

I confirm that all the work submitted for assessment for this research report is my own unaided work except where I have explicitly indicated otherwise.

I have followed the required conventions in referencing the thoughts and ideas of others.

I understand that the University of the Witwatersrand may take disciplinary action against me if there is a belief that this is not my own unaided work or that I have failed to acknowledge the source of the ideas or works in my writing.

Johannesburg, 22 May 2018

ABSTRACT

Set against the backdrop of one of South Africa's coal-fired power station construction projects, this study looks at the sustainability of corporate social investment (CSI) infrastructure projects and the means of the communities involved in such projects in maintaining the infrastructure.

There has been much discussion in literature about the sustainability and sustainable development of CSI projects, yet the literature has offered very little to support the notion that CSI projects in general, and CSI infrastructure projects in particular, are indeed sustainable. Literature from the private sector suggests that there is no shortage of funding, as billions of rand are spent on CSI projects. However, if this money is spent on projects which are not sustainable, the funding will eventually go to waste and not have the desired long-term effect of benefiting the intended communities as well as generations to come.

The study seeks to address the question of how sustainable infrastructure projects are in practice and whether the communities involved are equipped with the necessary skills, knowledge, financial resources and management acumen to sustain them.

The study's specific objectives are to ascertain how the various stakeholders understand the term 'sustainability', identify the types of CSI project that stakeholders are involved in, define the involvement of government in CSI infrastructure projects, and establish whether local communities have the means to maintain and sustain CSI infrastructure projects. The study has taken into consideration six CSI infrastructure projects among a rural community situated within the sphere of influence of a power station construction project.

The research methodology took the form of a case study, as this approach allows for the investigation of a situation within real-life circumstances. Qualitative and quantitative data collection techniques were used to collect the research data from the three groups identified as playing a role in the CSI projects covered within the context of the case study.

The results of the study show that companies donate second-hand materials, such as furniture, IT equipment and stationery, and make once-off financial contributions. They also fund and build infrastructure such as clinics, schools and community halls. In addition, companies are involved in the training of graduates and the funding of study bursaries for non-employees.

Sustainable projects are projects that require no further external funding for the project, organisation and/or community involved once it has been completed.

The most sustainable projects are education and health projects; infrastructure projects; and projects which entail job creation, revenue streams and empowerment.

Government's involvement in CSI projects is deemed not to be sufficient. This may be ascribed to the absence of controls and accountability, a lack of funding, and varying development strategies, with one strategy focusing on pro-poor development while another focuses on independent development. This scenario can be improved by aligning the CSI agendas of the government and the private sector towards a concerted effort.

Although the communities indicated that they were able to maintain CSI projects by following an ad hoc approach rather than a sustainable one, the results suggest that recipient communities are unable to sustain CSI projects due to a lack of education and not having a basic understanding of the reasons why projects fail. Furthermore, the study shows that communities do not have the means to maintain and sustain CSI infrastructure projects without the assistance of donor companies. Without donations, infrastructure projects are bound to become white elephants in a state of disrepair until such time as a donor company is willing to commit funding for their maintenance.

Due to the lack of participation by companies identified in the donor group, it is recommended that further research be done among this group in order to obtain

data on how donor companies view their involvement within the communities after the donated infrastructure projects have been completed and handed over.

The research did not explore the reasons why government's involvement in CSI projects is perceived as being lacking, and further research into this matter is recommended.

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DEFINITIONS

ACRONYM	DEFINITION
BC	before Christ
B-BBEE	broad-based black economic empowerment
CR	corporate responsibility
CSI	corporate social investment
CSP	corporate social performance
CSR	corporate social responsibility
DMR	Department of Mineral Resources
the dti	Department of Trade and Industry
GRI	Global Reporting Initiative
GSK	GlaxoSmithKline
HIV/AIDS	human immunodeficiency virus infection / acquired immune deficiency syndrome
ISO	International Organisation for Standardisation
IT	information technology
JSE	Johannesburg Stock Exchange
LED	local economic development
NGO	Non-government organizations
NPAT	net profit after tax
SBC	social brand capital
SED	socio-economic development

ACRONYM	DEFINITION
SR	social responsibility
SRI	socially responsible investment
SRII	socially responsible investment index
SROI	social return on investment
TBL	triple bottom line
UK	United Kingdom
USA	United States of America
USD	United States dollar
WHO	World Health Organization

1 CHAPTER ONE: INTRODUCTION

1.1 Description of topic

Corporate social investment (CSI) has moved from being philanthropic, with little focus on support, sustainability and the community (Anon 2004a), to being more strategic and focused on sustainability, which is vital if it is to be long-term with a positive effect on the recipient community (Anon 2006a).

This change has been reinforced by black empowerment legislation, greater attention to environmental matters, the evolution of the King Codes on Corporate Governance and the JSE Socially Responsible Investment (SRI) Index. The Empowerment Codes of Good Practice, introduced in 2007, furthermore stipulate that companies should spend 1% of their net profit after tax (NPAT) on social and economic development (Anon 2010).

CSI is not something new in South Africa – the country has a long tradition of CSI, much of which has been quite professional (Anon 2007a) and can be traced back to the pre-democratic era (Anon 2010). Richardson & Cragg (2010) state that:

> ...historically, SRI [socially responsible investment] was a boutique sector of the market dominated by religious-based investors who sought to invest in accordance with the tenets of their faith. From the early 1970s, the aspirations of the SRI movement morphed significantly in the context of the divestment campaign against South Africa's apartheid regime. No longer were social investors satisfied with just avoiding profit from immoral activities; instead, they also sought to change the behaviour of others.

CSI started gaining significant momentum in South Africa from 1994 onwards, to the extent that by 2010 private sector spending amounted to an estimated R5 billion to R6 billion a year (Anon 2010). In 2015, this figure was estimated at R60 billion for the year (Rossouw 2015a). However, social/community development programmes have produced poor outcomes due to an ad hoc approach (giving, rather than investing); a lack of long-term commitment to the programmes; a lack

of collaboration amongst stakeholders; failure to measure and communicate results; and failure to close out and plan for exit (Rossouw 2015a).

Therefore, the 'argument for a tri-sector partnership – an agreement between business, government and local communities or civil society [as stakeholders in CSI]' (Warhurst 2001) is a valid one. The goal of such a partnership is to address areas of concern by establishing goals; putting monitoring and reporting systems in place; and identifying and agreeing on collaborative activities as stated by Warhurst. However, 'charitable giving, driven by compassion, can never take the place of government support for people at risk. The size and complexity of our society is simply too great' (Rossouw 2010b).

Companies should also consider the relevant (voluntary or mandatory) guidelines and standards, such as ISO 26000, the JSE SRI Index, the South African National Development Plan and the Global Reporting Initiative (GRI), amongst others (Rossouw 2015a).

Graves & Waddock (1994) observe that 'institutions buy stock in companies when corporate social performance (CSP) improves'. Consumer activism can also influence the CSI of companies, with consumers voting with their wallets – if products are produced in a socially irresponsible way; if unethical business and labour practices are used; or if the environment and/or communities are harmed, consumers will not support such a company. Employees, too, are becoming concerned about the social values of their employers and are seeking to work for companies whose values are aligned with their own (Rossouw 2010e). This awareness was already noticed in 2008 amongst UK graduates who 'are looking for firms that have proved themselves socially and environmentally responsible, and a decent [corporate social responsibility] CSR track record is thought to strengthen brand value and relationships with customers and stakeholders' (Duff 2008).

However, with the official unemployment rate at 26.7% and the expanded rate at 36.3% in quarter 1 of 2016 (Statistics South Africa, 2016), it is doubtful that South

Africans seeking employment could give themselves the luxury of taking into consideration the CSP and CSR track record of companies, no matter how noble the idea.

As is apparent from the definitions of CSR and CSI in table 1-1, these two terms should not be interpreted as being synonymous with each other; however, the parameters used in the study model to analyse CSR could also be applied to CSI. In *A Framework for Analysing Corporate Social Responsibility* (Moser 1986), CSR is defined as

> ...a function of four different elements: law, intent, salient information and efficiency. ***Law*** refers to local, state and federal regulations concerning an organisation's practices and behaviours. ***Intent*** can be defined as a fixed or directed purpose, such as intent to do harm. This definition assumes prior knowledge of one's expected actions. ***Salient information*** is defined as prior knowledge. Intent and salient information are, more often than not, included within the context of law, since common law increasingly emphasises the individual's intent and knowledge as important elements of final judgement. ***Efficiency*** primarily refers to the practices and behaviours an organisation undertakes to maximise its resource utilisation. Thus:
>
> CSR = f (law, intent, salient information, efficiency)

This CSR model 'does not support a point of view. It presents a neutral methodology for conceptual analysis. The purpose of the model is to provide a framework to assist in analysis and decision-making in the realm of corporate social responsibility' (Moser 1986).

This model serves to eliminate emotional and/or subjective opinions when it comes to the process of analysing CSR/CSI cases.

A national survey by Everatt *et al.* (2005) showed that 55% of South Africans 18 years and older 'give' (money, food, clothing, time) formally (charity or other organisations) and informally (street children, beggars). It is safe to infer that this culture of giving in South Africa will be echoed in the corporate world through CSI. However, the culture of 'giving' by means of CSI should occur by means of well-

defined strategies and implementation plans to effectively address the expected outcomes of the CSI programmes (Rossouw 2015a) in order to make a contribution to the needs of the communities which companies operate in as well as 'make a sustainable contribution to the development and economic growth of the country' (Rossouw 2010a).

In order to better understand the various terms used in the 'industry', their definitions have been listed in the table below which was compiled based on *The Good Corporate Citizen*, published by Trialogue (Anon 2004b) and expanded and supplemented by other definitions found in the literature (Anon 2003; ibid. 2009; Guiral *et al.* 2014; Heese 2005; Rossouw 2010c; ibid. 2010g; ibid. 2010h; ibid. 2015b; Trialogue, n.d.).

TERM	DEFINITION
corporate citizenship	A narrow definition of citizenship might simply imply compliance with South Africa's laws. However, in the context of sustainable development, corporate citizenship goes much further. It considers the rights and responsibilities of companies within a broader societal context and is therefore concerned with the contribution a company makes through its social and environmental endeavours as well as its economic contribution.
corporate social investment (CSI)	Refers to a company's contribution to society and communities extraneous to its regular business activities – whether such investment is monetary or in the form of other corporate resources or time. More simply put, it is the company's financial and non-cash contributions – beyond its commercial operations – to disadvantaged communities and individuals for the purpose of social upliftment and welfare, and it is only one element of the broader CSR agenda. While CSI might be given via charitable or philanthropic acts, it increasingly serves to support business development objectives and leverages its core skills in the business.

TERM	DEFINITION
corporate social performance (CSP)	Refers to the degree of achievement of social and environmental goals as perceived by external stakeholders. CSP is usually measured and provided by independent third parties such as KLD Research and Analytics, Fortune MAC or Siri Pro.
corporate social responsibility (CSR)	Emphasises the response by business to economic, social and environmental considerations and is often used as an alternative for 'corporate citizenship' – particularly in the US and Europe. The emphasis on 'social' can be misleading, since it emphasises one of the triple bottom line elements over the others. Consequently, some organisations use the term 'corporate responsibility' (CR) alone. CSR means exceeding legal and commercial requirements in order to operate in a socially responsible way. It is an overarching value-based framework which encompasses all aspects of business operations, ensuring that how a company conducts business and manufactures its products is done in an ethical and socially responsible manner. The acronym 'CSR' is frequently confused with 'CSI'.
social brand capital (SBC)	The loyalty value that stakeholders attribute to a company's brand as a result of the company's commitment to social/environmental causes.
social impact assessment	A tool which can be used to qualify and quantify to public, private and community stakeholders the social, economic and environmental changes and outcomes that have occurred over a period of time, within a geographical area and within the development context, as the result of social/community investment and development interventions/programmes. Any technique that enables an objective assessment of the social, community or environmental impact of the outcomes of social investment.
social impact investment	Provision of repayable finance to charities and other social enterprises with the aim of creating social impact, and sometimes generating a financial return.
social return on investment (SRoI)	Measuring the social, environmental and economic value created by an organisation.

TERM	DEFINITION
socially responsible investment (SRI)	A form of investment by funds in which resources are not allocated to purposes deemed harmful to society. Such funds are also known as 'ethical funds'. Investments thus avoided are those in armaments, alcoholic drinks and tobacco products. Other exclusions are companies with poor environmental records or those suspected of labour exploitation in developing countries. Funds with a religious bias exclude gambling or the operation of casinos. Other funds avoid organisations thought to infringe animal rights. In general, there are funds to cater for most ethical considerations. Investments that promote social as well as financial objectives.
sustainability	The concept of 'sustainability' derives from 'sustainable development' and measures a company's ability to continue its operations in the long term. It therefore implies that each enterprise must find ways to balance the need for short-term corporate competitiveness and financial return with the need to continue as a going concern in the long term.
sustainable development	First coined in the Brundtland report *Our Common Future*, the term 'sustainable development' refers to economic development that 'meets the needs of the present without compromising the ability of future generations to meet their own needs'. It contends that a company's social, ethical and environmental management practices provide a strong indication of its intent and ability to develop sustainability.
triple bottom line (TBL)	Coined in response to business's tendency to focus on the financial (single) bottom line when they measure and report on performance, the triple bottom line considers the social and environmental contributions that a company makes to society, alongside its more traditional economic contribution. It refers to achieving balanced and integrated economic, social and environmental performances, implying that social and environmental issues should not be regarded as secondary to more conventional business imperatives.

TERM	DEFINITION
triple bottom line (TBL) – profit, people and planet	The TBL consists of three Ps: profit, people and planet: • 'Profit' is the traditional measure of corporate profit – the 'bottom line' of the profit and loss account. • 'People' is the bottom line of a company's 'people account' – a measure, in some shape or form, of how socially responsible an organisation has been throughout its operations. • 'Planet' is the bottom line of the company's 'planet' account – a measure of how environmentally responsible it has been. In some senses the TBL is a particular manifestation of the balanced scorecard.

Table 1-1: Definitions of terms used in the CSI 'industry'

1.2 Research aim

The main aim of the research is to investigate the sustainability of infrastructure CSI projects in the context of a coal power plant construction project, as the nature of the construction industry's work is typically in the form of a project: it has a start and an end date, after which companies withdraw their resources and assets from the area and move on to the next project.

In the construction industry, the client, the principal contractor(s) and the sub-contractors often become involved in and/or contribute to CSI infrastructure projects whilst engaged in the project area. The research study investigates how sustainable these projects are in the long term after most of the 'donors' have withdrawn, leaving either the client or the community to maintain the projects.

Where the community is responsible for the upkeep and maintenance of a CSI infrastructure project, the research investigates what means, if any, have been put in place in order to empower the community with the required resources to execute such work.

The other aspect of the research is to assess the extent of government involvement in completed CSI projects and their responsibilities in relation to these projects.

Set in the context of a coal-fired power station construction project, the objectives of the research are to:

- Identify the types of CSI project that stakeholders are involved in;
- Ascertain stakeholders' understanding of the term 'sustainability';
- Define government's involvement in CSI projects; and
- Establish what means communities have at their disposal to maintain and sustain CSI infrastructure projects.

1.3 Problem statement

Investigate the sustainability of infrastructure projects donated by companies in the form of CSI projects to the local communities within the geographical area affected by a coal power plant construction project.

Corporate social responsibility has evolved, in post-democratic South Africa, from an ad hoc, philanthropic, quick-fix approach to structured, well-defined, strategic CSI initiatives.

The sustainability of CSI initiatives should be in the foreground of these strategies as, without sustainability, any contribution to real social development and economic growth is limited and CSI initiatives become a mere PR activity.

'Companies need to rather concentrate on real impact, measurable over a sustained period, than flash funding, which can sometimes be as damaging as flash flooding' (Anon 2007).

Much has been put in place in terms of guidelines and standards; however, the literature has not clearly addressed how 'sustainable' these initiatives are.

> …'sustainable development', like 'sustainability' *per se*, is another idea whose meaning is quite fluid. Its widespread acceptance by corporations suggests that this elusive quality serves quite contradictory ideological ends, cultural needs, economic agendas or social goals as it builds thin weak consensus (Luke 2013).

The literature makes reference to sustainable development as well as sustainability; however, no evidence was found in the literature that confirms (or denies) the sustainability of projects once they have been implemented or completed and handed over to communities.

The sustainability of such projects will be determined by the means (skills, knowledge, financial resources and management acumen) available in the communities to sustain them.

If the means are not available, are there proposed solutions to ensure the sustainability of these projects, or is it but a matter of the communities waiting for the next donor to 'rescue' them from their predicament? If such donors are not forthcoming, will these projects become 'white elephants', with the communities losing out on their potential benefits?

1.4 Research questions

Three population groups were identified to participate in the study. The research data was collected using a specific set of questions for each group and the sample questionnaires and survey are appended in appendix A-1, B-1 and C-1. The three groups and the questionnaires and survey used to gather the research data is further discussion in section 3.6.

1.4.1 The donor group

The donor group comprises companies who contribute to CSI projects in various ways (e.g. donation of furniture, IT equipment and stationery; funding of an infrastructure project; granting of study bursaries; training of graduates). It is not uncommon for companies to contribute in more than one way to CSI projects.

The targeted population group consists of companies working on the object of the case study. These companies are typical engineering and construction entities such as engineering consultants, contractors and sub-contractors in

the fields of civil, structural, mechanical and electrical engineering, including boilers, turbines and conveyor belts.

The survey used for this group focused on the means donor companies have put in place for the communities to maintain and sustain the donated infrastructure projects.

1.4.2 The expert group

The expert group is composed by CSI practitioners from the private sector who act as consultants or individuals employed by the donor companies to fulfil the role of CSI managers who identify and manage CSI projects on behalf of their companies. These individuals are normally tasked with the responsibility of ensuring that companies' CSI strategies are aligned with current B-BBEE codes and, in doing do, ensuring that the company maximises its B-BBEE scorecard.

The questionnaire was aimed at obtaining information regarding their experience and views of CSI projects in general, with particular emphasis on the sustainability of such projects.

1.4.3 The recipient group

The recipient group, as the name suggests, represent individuals and communities who have received CSI contributions from the donor group. For the purpose of this study, the recipient group is made up by communities who have benefited from infrastructure projects funded by donor companies and these projects include community halls, the refurbishment of existing day-care centres and the construction of new infrastructure facilities in the form of boreholes, water tanks and tank stands, pipes and taps; and solar power installations. Food, furniture, stationery, school uniforms, toiletries and IT support may have also been donated over a period of time to these communities.

The questionnaire focused on the means that communities have to sustain CSI infrastructure projects in their geographical area.

2 CHAPTER TWO: LITERATURE REVIEW

2.1 Introduction

The literature originating from both the academic and the private sectors agrees on the need for the sustainable development of CSR and CSI initiatives and ensuring the sustainability of projects. However, there is a lack of data on how communities fare with regard to sustaining projects in the long term after donors have withdrawn.

The withdrawal of donors is influenced by a myriad of reasons – these can be anything from financial constraints due to economic factors, a change in a company's CSI strategy, disinvestment in the geographical location of the community as construction projects reach completion, a lack of long-term commitment from donors, and changes in legislation.

Although no donor could be expected to fund a community indefinitely, donors must consider 'exit strategies' so as not to negatively impact the recipient communities (Rossouw 2010b).

The literature does not clearly address the research question pertaining to the sustainability of such projects and the ability and means of the relevant communities to sustain the projects in the future.

2.2 History

Julian Baggini, in his book *The Big Questions, Ethics* (Baggini 2012), asks the question of how much one should give to charity. *The Giving Pledge*, an initiative started in 2010 following a discussion between Bill and Melinda Gates and Warren Buffet, encourages wealthy people around the world to contribute to philanthropic causes (pledges were estimated at $252 billion in 2013) (The Giving Pledge n.d.; Buffett 2010; Wilkinson 2013), pointing to a tendency today, more than ever, for people and companies to contribute to social and environmental matters. This is further borne out by the wider history of CSI.

Baggini (2012) makes a distinction between responsibility and duty, arguing that *responsibility* would be to *right the wrongs* in a broad sense, while *duty* would be to do something *because it is the right thing to do.*

Everatt *et al*. (2005) found that 55% of South Africans 18 years and older 'give' to help alleviate the suffering of others, be that in the form of a formal contribution to charities and other organisations or informally to street children and beggars. The contributions are made through financial donations and by giving food, clothing and time.

The culture of 'giving' from our possessions and ourselves can be found in the New Testament in the parable of the Good Samaritan (Luke 10:25-29) and when Jesus told the rich young man to sell his possessions and give to the poor (Mark 10:21). It can also be traced to the Mishneh Torah (Rossouw 2010k; Furst 2006), a code of Jewish religious law from the 12th century where eight levels of 'giving' are listed (Anon c. n.d.; Chalmer 2012; Parachin 2016):

1. The greatest level … is to support a fellow Jew by endowing him with a gift or loan, or entering into a partnership with him, or finding employment for him, in order to strengthen his hand until he need no longer be dependent upon others.
2. A lesser level … is to give to the poor without knowing to whom one gives, and without the recipient knowing from whom he received.
3. … is when one knows to whom one gives, but the recipient does not know his benefactor.
4. … one does not know to whom one gives, but the poor person does know his benefactor.
5. … one gives to the poor person directly into his hand, but gives before being asked.
6. … one gives to the poor person after being asked.
7. … one gives inadequately, but gives gladly and with a smile.
8. … is when one gives unwillingly.

The Merriam-Webster online dictionary (n.d.) defines 'philanthropy' as:

Simple definition: the practice of giving money and time to help make life better for other people

Full definition*:* **1:** goodwill to fellow members of the human race; especially: active effort to promote human welfare

2 a: an act or gift done or made for humanitarian purposes

b: an organisation distributing or supported by funds set aside for humanitarian purposes

Husted (2015) states that scholars have traced awareness of CSR to provisions in the Code of Hammurabi (1772 BC) and to Vedic sources in ancient India (1500–1000 BC). In more recent times, corporate responsibility can be traced back to the start of the Industrial Revolution in the 1750s.

As the Industrial Revolution spread from Britain to the rest of Europe, the United States and Japan, so did the damage done by industrialisation to the environment and communities. In Britain, some of the industrialists of the time started paying attention to the social responsibilities of business towards the community. One such man, Robert Owen, from New Lanark Mill, reduced the working day from thirteen hours to twelve and then to ten hours, refused to hire children younger than ten years of age, and provided workers with a school for their children. Other CSR initiatives included better wages than those offered in the marketplace, training for employees and good working conditions (Husted 2015).

An old-age pension for merchant seamen (1749) and the introduction of housing schemes by George and Richard Cadbury for the Bourneville chocolate factory workers (1893) and by William Hesketh Lever (1889) of Sunlight soap fame (Lever also tried to introduce a six-hour day but due to concerns from the unions, they settled for an eight-hour day) are all examples of CSR initiatives concerned with workers and with the community at large (Husted 2015). The sharp increase in environmental degradation during this period furthermore spurred the public on

to start pressurising the government to introduce measures for decreasing the smoke pollution caused by manufacturing firms.

Likewise, in the USA, corporate philanthropy was also on the rise. As an example, George Pullman, who designed and manufactured the Pullman sleeping car, a wagon which can accommodate its passengers in beds, built houses for his workers in the 1890s (Husted 2015; Smith 2003). Another such example is that of Sir Titus Salt (a textile industry magnate), who built a new industrial community in Saltaire which 'included 850 houses served with fresh water from Saltaire's reservoir, as well as a park, church, school, hospital and a library' (Smith 2003).

During this period, Japanese businessman Baigan Ishida developed the 'Code of the Merchant' (*shonindo*) to provide merchants with a set of moral principles to guide them. The government also implemented regulations on working conditions in the 1880s. After World War I, Japanese companies, under the influence of examples in the USA, started establishing corporate welfare programmes that included pension programmes, health insurance, housing and education, among others (Husted 2015).

Just as in Britain and the USA, industrialisation in Japan also brought with it its share of environmental problems. Smoke control regulations were implemented and the Tokyo police was used to inspect boilers. Some companies voluntarily solved their pollution problems, as in the case of the Asano Cement Company (Husted 2015).

In India, the merchants' support of philanthropy and charities stemmed from their religion; however, by the end of the nineteenth century this was extended to include poverty alleviation efforts, the building of schools and temples, reforestation and disaster relief. With the beginning of industrialisation in this country around 1850, businessmen actively participated in social and political development. Social development included the establishment of foundations to support educational, health and cultural institutions. Industrialists such as Jamsetji Tata (from the Tata Group) used their wealth to build hospitals and research

institutes and to fund university chairs. Tata also looked at labour benefits and introduced a pension fund and accident insurance for workers (Husted 2015).

In 1770, owners of coal and iron mines around Essen and the Ruhr valley in Germany contributed 1/120th of their companies' gross income to protect the families of mineworkers against the economic effects of sickness, accidents and death. In the first half of the nineteenth century, company welfare programmes included health insurance, housing and company stores. Of note is steelworks magnate Alfred Krupp's development in 1836 of a social welfare programme with subsidised life insurance for employees (1877) and a pension fund (1885) that included a pension for permanently disabled workers. Krupp also built a hospital (1866) and accommodation for disabled employees (1880s), among other things. Krupp was not alone – companies such as Siemens and Halske introduced profit sharing, yearly bonuses and a company party (1847). Also worth mentioning is that welfare programmes developed by Krupp and his fellow industrialists served as a model which Bismarck would later use for Germany as a whole (Husted 2015).

In more recent years, SRI has been used to change behaviour as well, as with the divestment campaign against apartheid South Africa in the 1970s (Richardson & Cragg 2010).

The literature and history suggest that philanthropic acts and corporate social investment stem mainly from emotional decisions (Everatt *et al.* 2005; Rossouw 2010f 22; ibid. 2010j 27; ibid. 2010k 29). In 2010, Africa received 40% of 'all global philanthropy' and 'South African companies spent 15% of their total CSI budgets on projects in the rest of Africa' (Rossouw 2010m).

Currently, through social media, consumers and the public play a more active role, voicing their concerns about social and environmental issues. Consumers will continue to influence companies through consumer activism, and CSI programmes provide companies with brand and reputation protection (Rossouw 2010e). Companies that ignore this do so to their own detriment and that of their social brand capital (SBC*)*.

'SBC is the loyalty value that stakeholders attribute to a company's brand as a result of the company's commitment to social/environmental causes' and is achieved when 'employees, shareholders, customers and suppliers deeply believe they are aligned with a cause-committed company whose marketing is just a reflection of that' (Smith 2003).

Graduates in the labour market as well as company employees are also questioning the values of (potential) employers and look to work for companies whose values are aligned with their own (Duff 2008; Rossouw 2010e; Smith 2003).

Together with consumer activism, social consciousness is also evolving. Consumers, employees, shareholders and suppliers 'are looking at brands to define their role within society' and to make a 'statement (…) about what they want to be' (Rossouw 2010g). In the last two decades, how brands are viewed has shifted from 'functional-centric brands, to emotionally-centric brands to values-centric brands' (Rossouw 2010g).

Not only are companies being influenced by consumers and employees, they are now also required to report on their CSI programmes. In South Africa, the King Report on Corporate Governance was issued in 1994 (King I) and subsequently in 2002 (King II) and in 2009 (King III) (Anon a. n.d.; Anon 2010); the JSE launched the Socially Responsible Investment Index (SRII) in 2004 to promote good corporate citizenship and sustainable development (Anon 2010); and the Department of Trade and Industry (**the dti**), through the Codes of Good Practice under section 9(1) of the Broad-Based Black Economic Empowerment (B-BBEE) Act of 2003 (Act No. 53 of 2003) reinforces reporting and measures the contribution of companies through the BEE scorecard (Anon 2010; Department of Trade and Industry 2013).

Although measuring CSI initiatives is not as easy and clear-cut as with other business key performance indicators, it is nevertheless necessary for companies to do so in order not only to understand the impact of these programmes on the business and communities (Rossouw 2011a) but also to satisfy and comply with

the demands of stakeholders and government, who want to know what benefits these initiatives bring about.

2.3 Definition of 'sustainability' in the context of this research

The literature makes constant reference to sustainable development, be that in the financial, social or environmental sphere (Fig 2005; Rossouw 2010a; Schwartz & Carroll 2003; Smith 2003; Warhurst 2001). The term comes from the 1987 Brundtland Report, *Our Common Future,* which defines sustainable development as 'development which meets the needs of present generations without compromising the ability of future generations to meet their own needs' (Anon 2004b; Van den Ende 2004).

Luke (2013) views sustainable development as an 'amorphous concept', an 'idea whose meaning is quite fluid', and states that sustainable development 'has become one moderately successful negotiated settlement in this battle between the private sector and civil society'.

The term 'sustainability' derives from 'sustainable development' and measures a company's ability to continue operating in the long term (Anon 2004b; Van den Ende 2004). It also 'refers to an organisation's activities, typically considered voluntary, that demonstrate the inclusion of social and environmental concerns in business operations and interaction with stakeholders' (D'Amato, Henderson & Florence 2009).

Zadek (2013) expresses sustainability as

> ...formally defined but elusive in both its meaning and its hidden, ambiguous and seemingly over-ambitious pathways. Yet it is not really so complex to understand. Pursuing sustainability is no more or less than acting responsibly, ethically, and with common purpose with those who have less, have been treated badly by history: those who should have more, more to eat, more to earn, and more to say.

The Merriam-Webster online dictionary (n.d.) defines sustainability as 'able to last or continue for a long time'.

For the purpose of this research, the concept of sustainability is understood to refer to communities' ability to sustain a project after it has been implemented or completed and the donor company has no further ties with the receiving community. The sustainability of such projects will revolve around the question of whether the communities have the necessary means in the form of skills, knowledge, financial resources and management acumen to sustain the projects. If this is not the case, it begs the question of whether there are proposed solutions to the sustainability of these projects, or whether it is but a matter of the communities waiting for the next donor to 'rescue' them out of their predicament.

2.4 CSI projects

In terms of Code 500 of the BEE scorecard, companies are required to spend 1% of their NPAT on socio-economic development (SED) initiatives, and it will only be recognised on the scorecard if at least 75% of the individuals concerned are black people (Department of Trade and Industry 2013). On average, companies spend more than the required 1% of NPAT (Anon 2010), and CSI investment in South Africa was standing at R8 billion in 2013 (Rossouw 2015d), coming mainly from the mining, financial services and retail sectors (Jones 2013).

It is estimated that corporate South Africa spent over R60 billion on CSI in 2015; however, the performance of CSI projects has been poor, with an increase being experienced in 'school drop-out rates, increased unemployment, unprecedented levels of corruption, poor health, low education levels, housing shortages and lack of basic services' (Rossouw 2015a).

CSI projects are diverse and 'cover every conceivable area, with emphasis on sustainability' (Anon 2010). They can be found in the fields of education, health, job creation, enterprise development, protection of the environment for future generations, social development, sports development, arts and culture, safety and security for communities, and housing (Anon 2010; Rossouw 2015c).

Other means of contributing to communities relate to making available equipment and infrastructure, such as computers and meeting rooms; human resources, including time, skills and knowledge; and business capacity (e.g. marketing and customer reach) (Rossouw 2013).

The local economic development (LED) programme under the Department of Mineral Resources' (DMR) Social and Labour Plan focuses on three objectives at community level: poverty eradication, community upliftment and infrastructure development (Trialogue n.d.).

In the agricultural sector, AFGRI Limited focuses on environmental affairs (climate, water and power efficiency), transformation (skills development, employee trusts and preferred procurement), food security (helping emerging farmers to practise sustainable farming) and land reform. Other projects in the field of social responsibility include support to schools, running feeding programmes and supplying educational tools (e.g. computers) (Anon 2011).

In the pharmaceutical industry, companies such as 'GlaxoSmithKline (GSK) and Merck have donated large quantities of medicines (in collaboration with the WHO) to eliminate Lymphatic Filariasis ('elephantiasis'), Novartis donates drugs to eliminate leprosy and Pfizer makes azithromycin available for the treatment of trachoma' in developing countries. HIV/AIDS drugs are made available at the lowest possible prices (in developing countries) by GSK and other pharmaceutical companies (Smith 2003).

BHP Billiton, through the BHP Billiton Development Trust South Africa, implements, coordinates and manages various 'sustainable development initiatives in the areas or education and training, capacity building, social-economic development and health care' (Flores-Araoz 2011).

SABMiller and its South African subsidiary SAM Ltd.'s ten sustainable development priorities include communities, HIV/AIDS, human rights, waste, packaging,

responsible drinking, water, energy and carbon, enterprise development, and transparency and ethics (Flores-Araoz 2011).

Standard Bank invested approximately USD 20 million in 2010 in education programmes (36.4%) and enterprise development (35.5%), reflecting 'the bank's focus on empowering individuals and creating economic wealth, among other relevant socio-economic goals' (Flores-Araoz 2011).

In research done by Everatt *et al*. (2005), it was found that 'respondents believed the most deserving causes were those associated with children or youth (22%), followed by HIV/AIDS (21%) and 'the poor' (20%)'. Other categories included 'people with disabilities (8%) and the elderly (5%)'. Of note is that '2% of the respondents believed that their preferred political party was the most deserving cause'.

Projects that attract the least funding are charities who deal with prisoners, refugees and older people (Rossouw 2010j) – perhaps these projects are considered to be the least glamorous and accordingly do not attract or spark the interest of stakeholders.

2.5 Literature overview

In reviewing the literature found in the academic and private fields, it became clear that there is an abundance of literature emanating from the South African private sector, especially in the last decade, when CSI became an industry on its own.

The academic literature offers little on pressing matters such as reporting on CSI initiatives, sustainable development and, more importantly, the sustainability of CSI projects in the long term.

The review of the private sector literature analyses the CSI trends and strategies used by companies and the practical implications for companies of the

implementation (or not) of CSI initiatives as well as of the demands that stakeholders place in terms of the reporting of CSI initiatives.

The academic review takes into consideration the relationship between business and society, initially through CSR (Schwartz & Carroll 2003), the reporting function through the triple bottom line (TBL) (Anon 2009), and how a positive CSP can influence investors' decision to invest in companies (Graves & Waddock 1994).

2.6 Private sector / Practitioners review

In the private sector, literature on the subject has increased dramatically, with articles appearing in periodicals, company blogs and industry publications.

One aspect that stands out is that CSR has shifted from being philanthropic with little consideration for sustainability (Anon 2004a) to becoming strategic within the business (Laschinger 2004). Judging by the inclusion of sections focusing on CSR in full-page company advertorials in periodicals, it is clear that companies are capitalising on their CSR projects and making it known to the public at large and the industry in particular (Anon 2005; Anon 2006b; Anon 2007c; Anon 2011).

CSI has also matured in its strategies. The ad hoc basis on which CSI was 'given' rather than 'invested' and the short-term investment periods (Anon 2007a; Rossouw 2015a) have now changed, with a strategic business approach being adopted towards CSI so that companies can show their stakeholders how they are investing and what impact these investments are making in communities and on the environment.

Corporates are also involving their employees in these initiatives and 'employee volunteerism is a growing phenomenon within the CSI ambit' (Anon 2007b).

Like businesses themselves, no two CSI strategies will be the same, as these strategies are dependent on funding, alignment with the company's core business, and the geographical location and needs of the communities among which the company operates. Emphasis is being placed, however, on the need for companies

to work together with the communities to determine their needs, following a more consultative model rather than a top-to-bottom approach (Rossouw 2010a; ibid. 2010d; ibid. 2010f).

There is also evidence of 'pressure to measure' being put on companies, not only by government and other bodies, but also by stakeholders. Again, like with CSI strategies, measuring and reporting on CSI initiatives might be challenging (Rossouw 2010f; ibid. 2010h; ibid. 2010i; ibid. 2010l; ibid. 2011b) due to the nature of the projects. ISO guidelines, released in 2010 and named ISO 26000 or ISO SR (social responsibility), list seven key principles deemed to form the roots of socially responsible behaviour (accountability, transparency, ethical behaviour, respect for stakeholder interests, respect for the rule of law, respect for international norms of behaviour, and respect for human rights) and seven core subjects which users should consider (organisational governance, human rights, labour practices, the environment, fair operating practices, consumer issues, and community involvement and development) (Anon b. n.d.).

The importance of CSI initiatives and how stakeholders perceive the brand value of companies based on their CSP and CSI initiatives is also evident from the private sector literature. Graduates in the UK will consider firms who have a good CSR track record (Duff 2008), and consumers are driving the social brand capital of companies through consumer activism and social media (SBC) (Rossouw 2010e; ibid. 2010g).

2.7 Academic review

The relationship between business and society as it relates to corporate social responsibility is set out in Carroll's pyramid of the four domains of CSR (Schwartz & Carroll 2003).

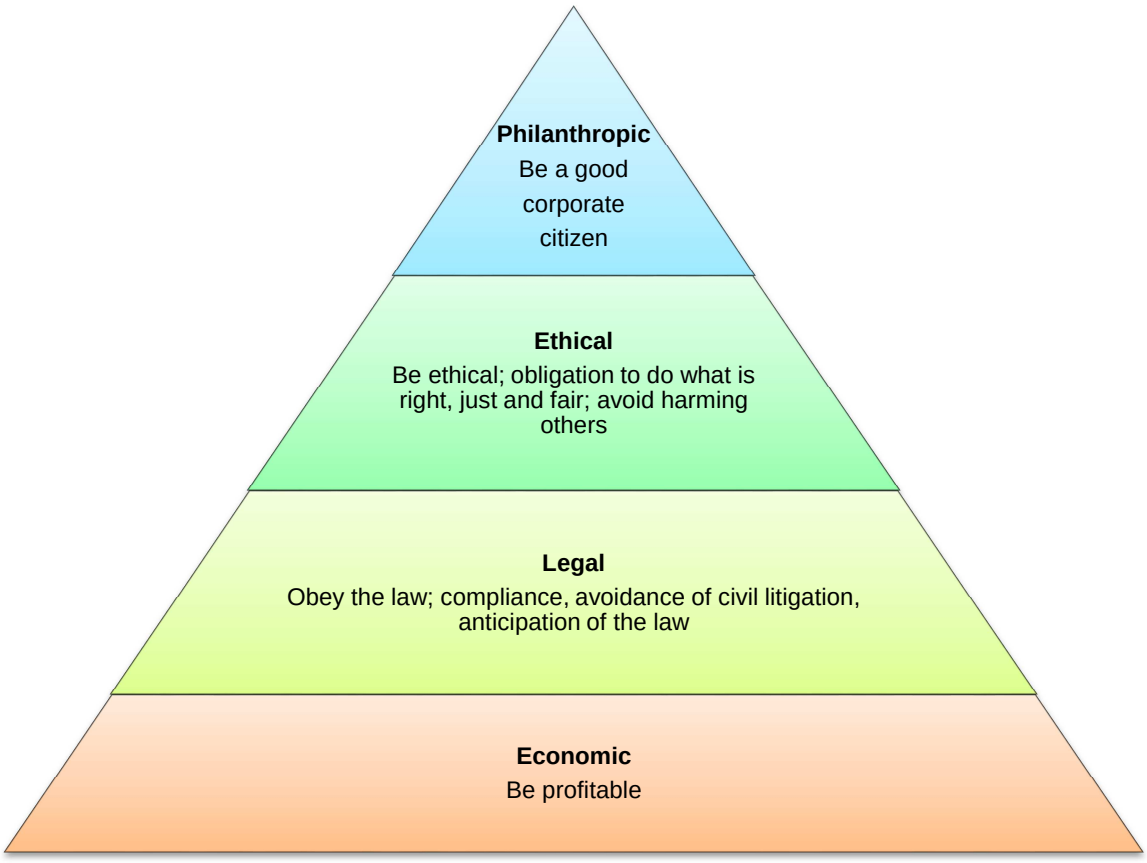


Figure 2-1: The Pyramid of Corporate Social Responsibility: Towards the Moral Management of Organisational Stakeholders

In that the pyramid might suggest some form of hierarchy between the CSR domains and is unable to show the overlaps between the four domains, a three-domain model of CSR was proposed. The philanthropic category of the pyramid is included in the ethical domain of the three-domain model (Schwartz & Carroll 2003), as shown in figure 2-2.

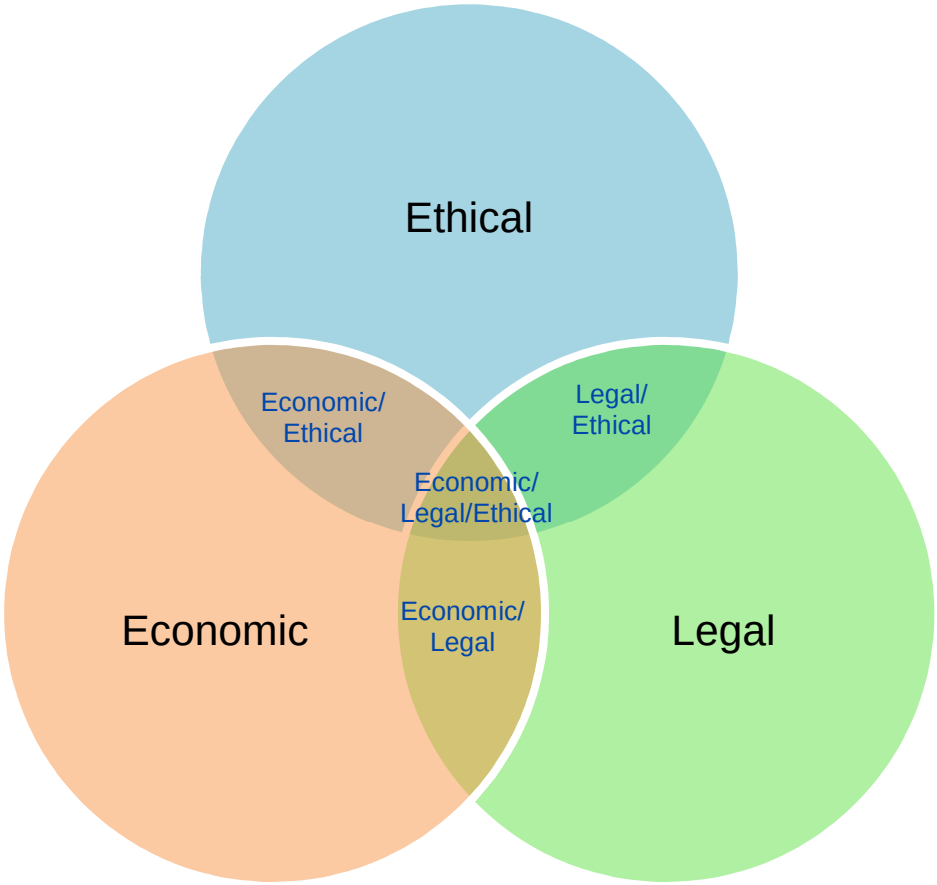


Figure 2-2: Corporate Social Responsibility: A Three-Domain Approach.

The three-domain model shows the overlap between the three domains, the ideal overlap being in the centre, where the economic, legal and ethical responsibilities are simultaneously fulfilled (Schwartz & Carroll 2003).

With the introduction of 'triple bottom line' (TBL) reporting, where companies measure and report on their economic, social and environmental contributions to society (Anon 2009), and with legislation making TBL reporting mandatory (through the B-BBEE scorecard) (Department of Trade and Industry 2013), companies are set to reap the benefits of reporting on their CSP. The King Report on Corporate Governance (King I, King II and King III) and the JSE Social Responsibility Investment Index (SRII), although not mandatory, have furthermore created an expectation among stakeholders for greater transparency about CSI initiatives and companies' CSP (Guiral, Moon & Choi 2014). It seems it's no longer about choosing whether or not to invest in CSI initiatives, but rather how to do so

(where, in whom/what, for how long) (Smith 2003). Further evidence shows that investors, consumers, employees and other stakeholders prefer companies who embrace social responsibility (Duff 2008; Rossouw 2010e) and have a strong CSP (Graves & Waddock 1994).

Reporting on the impact of CSI initiatives remains a conundrum, as there is no 'one size fits all' reporting model. The reporting depends very much on what stakeholders and companies want to measure, besides the CSI financial spend, and how often. Some aspects of CSI are not tangible and it can take years to bring about change, as in the case of social changes (Rossouw 2010h).

Companies should not only consider their CSP *per se*, but also how their CSP and CSI initiatives influence their brand image and how it helps them become more competitive in the marketplace (Irwin 2003). Not only was SRI used as an agent of change in the past, in the context of the divestment campaign against South Africa's apartheid regime (Richardson & Cragg 2010), but today 'the consumer has become more sensitive to companies' social roles' and will not hesitate to 'boycott brands that seem to be uncaring' (Irwin 2003). Companies who are socially responsible are not only doing the right thing but are also setting themselves apart from their industry peers (Smith 2003). To illustrate how employees, investors and consumers react to companies who are perceived not to be socially responsible, it is 'well known that tobacco companies have difficulties recruiting best talent' but 'have been able to attract people by paying more' (Smith 2003).

Interestingly, when it comes to CSR in South Africa, 'many entrepreneurs see CSR as being of 'white' firms to atone for past sins, and therefore their own contribution to CSR spending remains minimal' (Fig 2005). This, despite the fact that corporate South Africa have 'a long track record of providing support to local charities and NGOs, but have preferred to keep this involvement quiet' (Irwin 2003), such as the Anglo American Chairman's Fund formed in the late 1940s, with its former motto 'Do Good By Stealth', and the De Beers Fund, which broke off from the Anglo American Chairman's Fund in 1998 (Irwin 2003).

2.8 Conceptual framework

Although the three-domain model allows for an overlap between the domains, with the ideal overlap being in the centre where the economic, legal and ethical responsibilities are simultaneously fulfilled (Schwartz & Carroll 2003), this model does not address the question of sustainability.

It is proposed that a fourth domain be added to Schwarz and Carroll's three-domain approach. This would make it possible to include sustainability in the centre of the model where all four domains are fulfilled simultaneously. Bringing a fourth domain in the form of sustainability into the model would ensure that companies consider the sustainability of their projects and whether these projects address all four domains of the model simultaneously.



Figure 2-3: The Four-Domain Model of Corporate Social Responsibility

The framework for analysing CSR proposed by Moser (1986) defines CSR as a function of four elements: law, intent, salient information and efficiency. This framework is intended to assist in the decision-making process when it comes to CSR. In an attempt to correlate these elements with the four-domain model, table 2-1 defines each domain and element.

FOUR-DOMAIN MODEL OF CSR		MODEL FOR ANALYSING CSR	
Domains	**Description**	**Elements**	**Description**
Economic	Perform in a manner consistent with maximising earnings per share, being as profitable as possible, maintaining a strong competitive position and a high level of operating efficiency	Intent	Fixed or directed purpose
Legal	Obeying or complying with the law	Law	Local, state and federal regulations concerning an organisation's practices and behaviours
Ethical	Activities based on their adherence to a set of ethical or moral standards or principles	Salient information	Prior knowledge
Sustainable	The company's ability to continue operating in the long term	Efficiency	Practices and behaviours an organisation undertakes to maximise its resources utilisation

Table 2-1: Correlation between the four-domain model and the elements of the CSR Analysis Model

By adding the elements of the analysis model to the four-domain model, a complete picture of the CSR components and their relationships emerges.

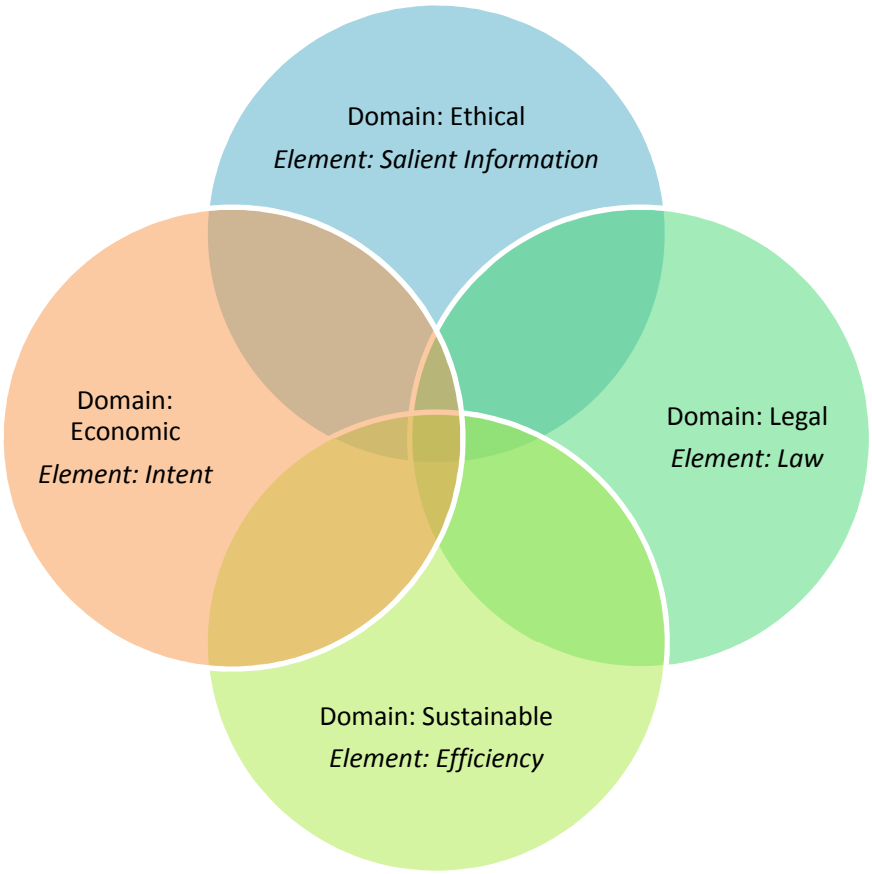


Figure 2-4: Four-Domain Model with the elements of the CSR Analysis Model

Companies considering CSI initiatives should ensure these initiatives satisfy all four domains and elements simultaneously, for the benefit of the company and its CSI projects.

2.9 Chapter summary

Corporate social responsibility (CSR) can be traced back in history to 1772 BC, when it was expressed in provisions in the Code of Hammurabi, and to Vedic sources in ancient India between 1500–1000 BC. In more recent times, CSR practices were implemented at the start of the Industrial Revolution in the 1750s. As the Industrial Revolution spread from Britain to the rest of Europe, the United States and Japan, CSR practices followed in its wake to curb the damage that industrialisation did to the environment and communities. Most CSR measures introduced by companies in the 1770s and 1880s, such as health insurance, profit

sharing, yearly bonuses, housing and company parties, are still practised today by companies (Husted 2015).

In recent times, the advent of social media has allowed for consumer activism to influence companies and their CSI programmes, and graduates and employees look to work for companies whose values are aligned with their own (Rossouw 2010e).

CSI has become a business strategy, and it is estimated that corporates within South Africa spend over R60 billion a year on CSI projects (Rossouw 2015a). Companies are expected to report on their CSI initiatives to their stakeholders, government, and other bodies such as the JSE.

However, CSR spending by black entrepreneurs remains minimal, as CSR is seen to compensate for the wrongs of the past by 'white' companies, notwithstanding the fact that South African companies have CSR track records dating back to the 1940s (Fig 2005).

3 CHAPTER THREE: RESEARCH DESIGN AND METHODOLOGY

3.1 Research philosophy

With the aim of the research being to ascertain whether CSI projects are sustainable in the long term and whether the communities involved have the means to sustain the projects once they have been implemented and/or completed, the research philosophy falls within the sphere of realism. Realism assumes that reality exists independently of the object being studied (Anon 2015; Saunders & Tosey 2013).

3.2 Research approach

The realistic nature of the research warrants the adoption of a deductive approach. This approach is characterised by a development from the general theory and knowledge base to the particular knowledge obtained from the research process data (Anon 2015) and the researcher is not perceived to be part of the research process (Saunders *et al.* 2009, pp. 124-129).

3.3 Research strategy

The research adopted a case study strategy to answer the question *Are corporate social investment (CSI) projects sustainable in the long term?,* within the context of one of South Africa's coal-fired power station construction projects. Case studies are characterised by a process of analysing a single unit, determining key factors and drawing generalisations (Anon 2015).

The choice to adopt a case study strategy is based on the fact that the research strategy investigates 'a particular phenomenon within its real-life context' (Saunders 2009, pp. 145-147). The strategy has the ability to answer the 'why?', 'what?' and 'how?', although the 'what?' and 'how?' are more often used in conjunction with the survey strategy (ibid., pp. 144-147).

Yin (n.d., pp. 5-6) states that 'how? and why? questions are more explanatory and likely to lead to the use in case studies' as these 'questions deal with operational links needing to be traced over time, rather than mere frequencies or incidence'.

In the context of the research question, the aim of the strategy was to answer:

- *'Why?'*
    - [Why] are infrastructure CSI projects (not) sustainable in the long term?
- *'How?'*
    - [How] is government involved in CSI projects?
- *'What?'*
    - [What] means do communities have to sustain CSI projects with?
    - [What] is the understanding of the term 'sustainability' by stakeholders?
    - [What] types of projects are stakeholders involved in?

In a case study, the boundary between the subject being researched and the context within which it is studied is not always obvious, as opposed to an experimental strategy, where the research is conducted in a highly controlled context. A survey strategy is 'frequently used to answer who, what, where, how much and how many questions' but 'although the research is undertaken in context, the ability to explore and understand this context is limited by the number of variables for which data can be collected' (Saunders 2009, pp. 144-147).

Other strategies, such as archival research, ethnography and grounded theory, fall under the inductive research approach and are not suitable for this research, as the inductive approach is characterised by, amongst other things, understanding the meanings people attach to events; the researcher being part of the research project; and flexibility regarding changes to the research emphasis as it progresses (Saunders 2009, pp. 124-137).

3.4 Research choice

Saunders (2009, p. 146) states that when using a case study strategy, there is a need to use and triangulate multiple data sources as 'triangulation refers to the use of different data collection techniques within one study in order to ensure that the data are telling you what you think they are telling you.'

For the research, qualitative and quantitative data collection techniques were applied in the collection of the research data.

3.5 Time horizon

The research took a 'snapshot' of the data, as a cross-sectional time horizon is the best fit for the case study strategy given that the cross-sectional time horizon attempts to answer a question at a particular time (Saunders & Tosey 2013).

3.6 Research methods

The research data was gathered by using objective methods rather than through observation and interpretation.

For each of the population groups (donor, expert and recipient) identified to participate in the study, specific questions were developed for each of the group and the research data was gathered either through a questionnaire or survey.

3.6.1 Qualitative data

The qualitative data was obtained by means of questionnaires with open questions, leaving it to the respondents to answer as they saw fit. The objective of these questionnaires was to collect data relating to the sustainability of CSI projects, and the questionnaires were aimed at the expert and the recipient groups.

3.6.1.1 The expert group

This group refers to consultants from the private sector working in the CSI field as well as CSI managers who identify and manage CSI projects on behalf of their company.

The questions developed for this group, focused on their understanding of 'sustainability'; the involvement of government in CSI projects; the collaboration between the donor company and other private sector companies or government on the matter of infrastructure projects; and the means the communities have to sustain infrastructure projects in the long term.

3.6.1.2 The recipient group

This group consists of representatives, in the form of community leaders and managers of care groups, from six communities which benefited from CSI projects.

For this group, besides the questions regarding the communities' resources to maintain infrastructure projects; the involvement of government in CSI infrastructure projects; and the types of projects donated to these communities; questions also aimed at understanding if the projects donated were beneficial to the communities and whether the communities were involved in the decision-making process regarding the infrastructure projects donated.

3.6.2 Quantitative data

The quantitative data collected falls within the categorical data group, as the 'values cannot be measured numerically but can be either classified into sets (categories) according to the characteristics that identify or describe the variable or placed in rank order' (Saunders 2009, pp. 416-418). Categorical data can be subdivided into descriptive (dichotomous) data, descriptive (nominal) data or ranked (ordinal) data (ibid.).

Descriptive data cannot be defined numerically, nor can it be ranked. Descriptive (nominal) data 'simply count[s] the number of occurrences in each category of a variable. […] The categories should be unambiguous and discrete […] having one particular feature […] [that] excludes all other features for that variable' (Saunders 2009, pp. 416-418). Descriptive (dichotomous) data has only two categories (e.g. a gender variable can only be divided into male and female) (ibid.).

The ranked (ordinal) data type is 'a more precise form of categorical data' (Saunders 2009, pp. 416-418). This type of data is collected using rating or scale questions, where the respondents are asked how strongly they agree or disagree with a statement (ibid.).

Saunders (2009, p. 378) states that 'rating questions most frequently use the Likert-style rating scale in which the respondent is asked how strongly she or he agrees or disagrees with a statement or series of statements, usually on a four-, five-, six- or seven-point rating scale.'

For the purpose of the research, quantitative data was collected by means of a survey, using a five-point Likert-type scale questions, with the aim to obtain data relating to the types of CSI projects which the donor companies are involved in; CSI monetary spending; and the sustainability of the projects.

3.6.2.1 The donor group

This group is composed by typical engineering and construction companies working within the context of a coal power plant project.

With the aim of the research being to investigate the sustainability of infrastructure CSI projects and in line with the objectives of the research presented in section 1.2, the main questions posed to this group focuses on what this group's understanding is of the term 'sustainability'; whether the projects in which donor companies are involved in are sustainable in the long run; what means have been put in place for the communities to maintain and sustain the donated infrastructure projects; and if donor

companies collaborate with other private sector companies or with government when executing infrastructure project.

3.7 Research ethics

The research involved human participants and therefore it was important that (a) individuals had to agree to participate in the research voluntarily; (b) participants were assured of the anonymous and confidential nature of the data collected through the research methods; and (c) participants were made aware of and understood the possible benefits to society as a result of the research (Anon 2012).

Other ethical issues which were taken into account were that (a) companies may not wish to disclose their CSI spending for fear of making public that they do not conform with **the dti**'s B-BBEE scorecard; and (b) in completing the questionnaire, individuals from the recipient group may not feel comfortable speaking negatively about the (lack of) sustainability of CSI projects in their area, thereby creating a perception of 'ungratefulness' towards donor companies.

4 CHAPTER FOUR: FINDINGS, RESULTS AND DATA ANALYSIS

4.1 Research choice

As outlined in chapter 3, a case study strategy was adopted and both qualitative (expert and recipient groups) and quantitative (donor group) data was collected by means of questionnaires and a survey. Once the data was received, it would be triangulated and the different aspects of CSI projects would be studied from the perspectives of the three population groups.

A sample of the donor group survey can be found in appendix C-1 whereas samples of the questionnaires used for the expert and recipient groups can be found in appendices A-1 and B-1, respectively.

The collection of quantitative data was unsuccessful, as only 16% of the donors participated in the survey. A population group of 25 companies was targeted to participate in the study, but only four surveys were received. This group consisted of companies working within the context of a coal power plant project.

As such, the results of the study are solely based on the qualitative data results obtained from the expert and recipient groups. The quantitative data obtained from the donor group is discussed further on in section 4.4, but will not be considered in the data analysis or the discussion sections of the study.

4.2 Qualitative data results – Expert group

Within this group, three results were received from a sample of five individuals (see appendix A-2), indicating 60% participation. The results show that the types of CSI project which the companies are involved in vary from the donation of second-hand materials to once-off financial contributions, the building of infrastructure (e.g. clinics, schools and community halls), the training of graduates and the funding of study bursaries for non-employees.

Interestingly, all respondents indicated that their clients and the companies themselves were involved in the building of infrastructure projects; however, the

CSI spend as measured by **the dti**'s Codes of Good Practices under the B-BBEE Act was under target.

This group's understanding of the term 'sustainability' did not include the idea that there was a requirement for further external funding of the project, organisation and/or community once the initial project has been funded and delivered.

The group indicated that the most sustainable CSI projects were (a) education and health projects, as knowledge is power and, as such, communities are empowered to reverse the cycle of poverty and to act wisely and informed; (b) infrastructure projects in traditional authority areas, as this will create pride in the ownership of such projects; and (c) projects which include job creation, revenue streams and empowerment.

The majority of participants from this group indicated that hand-outs and projects which create dependency were the least sustainable, as these types of project undermine the moral ethic of 'working to achieve something', as one respondent phrased it. government projects were also mentioned as being the least sustainable due to a lack of funding, planning and management.

All respondents agreed that the communities did not have the means to sustain CSI projects in the long term due to a lack of education and of a basic understanding of the reasons why projects fail. This could be overcome by (a) having revenue streams built into the project; (b) including a maintenance plan in the original donation budget; and (c) educating and sensitising communities towards CSI projects.

With the emphasis on infrastructure projects, the respondents indicated that communities would only be able to handle the maintenance of such projects if the communities (a) collaborated with government structures (e.g. local government, Department of Education), and (b) a revenue stream was attached to the use of the infrastructure. One respondent indicated that infrastructure projects would be left until the structures were in a state of disrepair, and at that time the

community would lodge another request for assistance. However, companies could ensure the sustainability of CSI projects in the long term by (i) educating communities on the factors which lead to successful and failed projects, (ii) engaging with communities throughout the project phases, such as the design and execution phases, and (iii) developing a maintenance budget for CSI projects.

The respondents indicated that their clients and their companies collaborated with other private sector companies and/or government on CSI projects.

In comparison with other countries, the study revealed that the maturity of the CSR/CSI industry in South Africa ranges from developing to mature. This can be improved by capacity building, the elimination of political influence and following through on impact and effectiveness. The industry's short-term focus should be on creating a CSI industry standard; requiring professional registration for CSI roles; and working on community awareness and education. The medium-term focus should be on creating courses which are industry-specific; the successful implementation of projects; and the creation of a needs assessment and profile. In the long term, the aim should be to empower individuals and communities to be self-sustainable, ensuring that specific skills are available within the communities to enable sustainable and profitable projects.

The study shows that government is not sufficiently involved in CSI projects. This is due to a lack of controls and accountability within government; a lack of funding; and dissimilar development strategies, with one strategy focusing on pro-poor development through government grants and another focusing on independent development. This could be improved if government were to develop the same work ethic as the private sector; if there were greater transparency regarding budgeting for and spending on CSI projects; and if the CSI agendas of government and the private sector were aligned towards a concerted effort.

As for government's involvement in the maintenance of privately funded CSI infrastructure projects, the majority of respondents indicated that government

should be involved in the projects from the initial stage and should assume responsibility for their maintenance after hand-over.

4.3 Qualitative data results – Recipient group

Community leaders and centre managers involved in six different infrastructure projects were approached to participate in the study. All of the projects fell within the object of the case study. There was a 100% participation from this group and the questionnaires received from the group can be found in appendix B-2.

The great majority of participants indicated that they had benefited from infrastructure projects; just over half of them indicated that they had also received donations of used materials such as furniture, IT equipment and stationery; and a small portion indicated that they had also received a once-off financial donation.

The majority of participants furthermore confirmed that the community/recipient group had been involved in decision-making around the donated project and felt strongly that communities should be involved in decisions pertaining to such projects. All participants agreed that the donated projects had been beneficial to the communities.

Just over half of the participants believed that the community had the necessary resources to perform maintenance on the infrastructure projects. The portion of participants who believed otherwise suggested that fundraising within the community and requesting donations from companies would assist the communities with the maintenance of the projects.

All participants unanimously believed that both the private sector and government were responsible for assisting the communities, while the majority of participants were of the opinion that government was not sufficiently involved in these types of project. The participants suggested that government could improve its participation by increasing the grants from the Department of Social Development and by offering permanent employment to volunteers from within the

communities who work in the drop-in centres and provide home-based care. These volunteers currently only receive a stipend from government.

The majority of participants were of the opinion that government should be involved from the initial stage of a project and should continue assisting the community with maintenance issues once the project has been completed and handed over.

Of interest is that participants mentioned that government only takes an interest during election time, stating that government is 'doing nothing', and making use of the word 'corruption'.

4.4 Quantitative data results – Donor group

Twenty-five companies working within the context of the object of the case study were identified for this research group. A sample of 16% (four respondents) participated in the survey (refer to appendix C-2). Using a confidence level of 95%, the margin of error is 46% per cent, and therefore the results obtained from this group cannot be used to draw meaningful conclusions.

Of interest is that all respondents indicated that their companies were involved in CSI projects and that 75% were on target regarding their company's CSI contribution in terms of **the dti**'s Codes of Good Practices under the B-BBEE Act.

With regard to how the respondents contribute to CSI projects, only 50% contribute by means of once-off financial donations; however, all respondents contribute to some extent by donating goods, building infrastructure, granting study bursaries and training graduates. Half of the respondents indicated that they spent up to R1 million on CSI projects annually, whilst 25% indicated that they contributed up to R2 million per annum and 25% contributed up to R3 million per annum.

None of the respondents indicated that they collaborated with government on CSI projects, although 75% of respondents indicated that they did collaborate to an extent with other companies in the private sector on CSI projects.

Regarding the long-term sustainability of CSI projects, 50% of the respondents were of the opinion that their CSI projects were sustainable.

Respondents used terms such as 'long-term', 'empowerment' and 'planning' when asked what their understanding was of the term 'sustainability'. One respondent mentioned that sustainability was 'creating projects whereby the beneficiary's dependence on donations decreases over a period of time and they are able to function on their own'.

To the open question regarding what companies should do for communities to ensure that CSI projects are sustainable in the future, 75% of the respondents pointed to the development of the beneficiaries in order for the communities to sustain themselves.

4.5 Discussion

The aim of the research was to investigate the sustainability of CSI infrastructure projects in the context of a coal power plant construction project once companies working on the project withdraw from the area and move on to the next project.

The research study investigated how sustainable these projects are in the long term after most of the 'donors' have withdrawn, leaving either the client or the community to maintain the projects.

In the event that the community is responsible for the upkeep and maintenance of such a project, the aim of the research was to identify what is in place, if anything, to empower the community with the required resources to execute such work.

The other aspect of the research aim was to assess government's involvement in completed CSI projects and their responsibilities towards these projects.

Set in the context of a coal-fired power station construction project, the objectives of this research were to:

- Identify the types of CSI project that stakeholders are involved in;
- Ascertain stakeholders' understanding of the term 'sustainability';
- Define the involvement of government in CSI projects; and
- Establish what means communities have at their disposal to maintain and sustain CSI projects.

Corporate social responsibility has evolved, in post-democratic South Africa, from an ad hoc, philanthropic, quick-fix approach into structured, well-defined, strategic CSI initiatives.

The literature review has shown that the sustainability of CSI initiatives should be in the foreground of company strategies as, without sustainability, any contribution to real social development and economic growth is limited and CSI initiatives become a mere PR activity. Despite the estimated R60 billion spent on CSI projects in 2015, social/community development programmes produced poor outcomes due to an ad hoc approach (giving rather than investing); a lack of long-term commitment to CSI programmes; a lack of collaboration amongst stakeholders; donors not measuring and communicating results; and a failure to close out and plan for exit (Rossouw 2015a).

The literature makes reference to sustainable development as well as sustainability; however, no evidence was found in the literature that confirms (or denies) the sustainability of projects once they have been implemented or completed and handed over to communities.

It is posited that the sustainability of infrastructure projects will be determined by the means (skills, knowledge, financial resources and management acumen) available in the communities to sustain them.

If the means are not available, are there proposed solutions to ensure the sustainability of these projects, or is it but a matter of the communities waiting for the next donor to 'rescue' them from their predicament? If such donors are not forthcoming, will these projects become 'white elephants', with the communities losing out on their potential benefits?

Three groups were identified to participate in the study, and specific questions were developed for each group:

- The donor group, comprising typical engineering and construction companies working within the context of a coal power plant project, such as engineering consultants, contractors and sub-contractors in the fields of civil, structural, mechanical and electrical engineering, including boilers, turbines and conveyor belts;
- The expert group, made up by consultants from the private sector working in the CSI field as well as CSI managers who identify and manage CSI projects on behalf of their companies; and
- The recipient group, consisting of community representatives, in the form of community leaders and managers of care groups, from six communities that benefited from CSI projects.

The main questions put to all groups revolved around the types of project donated and received; the involvement of government in CSI projects; and whether communities have the necessary means to maintain and sustain infrastructure CSI projects.

The literature review shows that CSR can be traced back in history to 1772 BC, and in more recent times to the start of the Industrial Revolution in the 1750s (Husted 2015).

In recent times, the advent of social media has allowed for consumer activism to influence companies and their CSI programmes, and graduates and employees

look to work for companies whose values are aligned with their own (Rossouw 2010e).

CSI has become a business strategy, and it is estimated that corporates within South Africa spend over R60 billion a year on CSI projects (Rossouw 2015a). However, CSR spending by black entrepreneurs remains minimal, as CSR is seen to compensate for the wrongs of the past by 'white' companies, notwithstanding the fact that South African companies have CSR track records dating back to the 1940s (Fig 2005).

With the objective of the research in mind, the quantitative data results from the donor group showed that infrastructure projects; donations of used materials such as furniture, IT equipment and stationery; and once-off financial donations were the types of CSI projects received by the communities represented in the recipient group. This finding was corroborated by the results from the expert group. Further results from the expert group also showed that the clients whom these experts represented or the companies they worked for were also involved in the training of graduates and the sponsoring of bursaries for non-employees.

For the purpose of the research, the concept of sustainability was defined by the communities' ability (or not) to sustain projects after these has been implemented or completed and the donor company has no further ties with the recipient communities. The sustainability of such projects revolves around the question of whether the communities have the necessary means, such as skills, knowledge, financial resources and management acumen, to sustain the projects.

The data from the expert group showed that they understood sustainability to mean that no further external funding would be required for the project, organisation and/or community once the initial project had been funded and delivered, which is in alignment with the definition of the term 'sustainability' in the context of the research.

The results showed that government's involvement in CSI projects was lacking; however, the reasons for the lack of involvement did not form part of the study's objectives. This begs the questions of whether government is only involved in (a) legislation which affects CSI initiatives, and (b) to ensure that companies report on their initiatives in accordance with **the dti**'s Codes of Good Practices under the B-BBEE Act (Act No. 53 of 2003).

The results from the expert group showed that communities did not have the means to maintain CSI projects; however, the results from the recipient group showed that just over half of the respondents believed that communities were capable of maintaining these projects through volunteerism.

4.6 Chapter summary

The aim of the study was to investigate the sustainability of CSI infrastructure projects once they have been completed and handed over to communities. The results from the expert group showed that these projects were not sustainable in the long term, as the communities had neither the necessary education nor a basic understanding of why projects failed. This could be overcome by (a) building revenue streams into the projects; (b) including a maintenance plan in the original donation budget; and (c) educating and sensitising communities in relation to projects.

The recipient group indicated that they would be able to sustain infrastructure projects by means of volunteering, fundraising and requesting donations from companies to assist with the maintenance of the infrastructure. However, the recipients could not demonstrate that they had any concrete plans or strategies in place to sustain infrastructure projects in the long term. Without the certainty of funding and a plan in place for the maintenance of infrastructure as it pertains to this specific case study, it can be concluded that these projects will become white elephants, destined to be neglected and become dilapidated.

Due to the research being limited to a case study within a specific rural geographical area, the findings do not lend themselves to the generalisation of the results.

5 CHAPTER SIX: CONCLUSION AND RECOMMENDATIONS

5.1 Restatement of research aims and objectives

The objectives of the study were to (a) identify the types of CSI project that stakeholders are involved in; (b) ascertain stakeholders' understanding of the term 'sustainability'; (c) define government's involvement in CSI projects; and (d) establish what means communities have at their disposal to maintain and sustain CSI infrastructure projects.

5.2 Summary of research findings

5.2.1 Identify the types of CSI project that stakeholders are involved in

The results from the expert group, as discussed in section 4.2, show that companies are involved in once-off projects, such as the donation of second-hand furniture and IT equipment as well as once-off financial contributions on an ad-hoc basis. These companies are also involved in funding (and building) infrastructure projects, however, these projects could also be considered as 'once-off' projects due to the donor companies no longer being involved with the beneficiary communities once the project is concluded.

The donation of the CSI projects describe above is corroborated by the results from the recipient group.

Furthermore, companies are also involved in training graduates and funding study bursaries for non-employees and these projects can be considered to be sustainable.

5.2.2 Ascertain stakeholders' understanding of the term 'sustainability'

Sustainability, as understood by the expert group, is when no further external funding is required for the project, organisation and/or community once the initial project has been completed.

Projects in education, health, infrastructure and those which include job creation, revenue streams and empowerment are considered the most

sustainable projects, whereas projects which create dependency are the least sustainable ones, as are government projects due to the lack of proper management, planning and funding.

5.2.3 Define government's involvement in CSI projects

The expert and recipient groups both agree that government's involvement in CSI projects is not sufficient. The results also show that government should be involved in the projects from the initial stage.

The lack of involvement from the government's side may be ascribed to the absence of controls and accountability; a lack of funding; and dissimilar development strategies, with one strategy focusing on pro-poor development and another on independent development. This scenario could be improved not only by aligning the CSI agendas of government and the private sector towards a concerted effort but also with government developing similar work ethics to that of the private sector and have greater transparency as to budgeting and spending on CSI projects.

5.2.4 Establish what means communities have at their disposal to maintain and sustain CSI infrastructure projects

The communities, through the recipient group's results discussed in section 4.3, indicated that they would be able to maintain CSI projects however, the methods suggested by the group (e.g. fundraising, request for donations from companies) lean towards an ad hoc approach rather than a sustainable one.

The results from the expert group suggest that recipient communities are unable to sustain CSI projects due to their lack of education and of a basic understanding of the reasons why projects fail as well as the lack of a revenue stream to support the maintenance of infrastructure projects.

5.3 Conclusion

With the focus on the sustainability of CSI infrastructure projects donated to communities located within the sphere of a coal-fired power station construction project and the object of the case study, based on the results of the study, it can be concluded that communities do not have the necessary means at their disposal to maintain and sustain donated infrastructure without further assistance from donor companies. Failing these donations, infrastructure projects are bound to become white elephants in a state of disrepair until such time as a donor company is willing to commit funding for their maintenance.

This circle of *donate-fall into disrepair-donate-fall into disrepair* can be broken provided that long term plans are put into place so that communities can become self-sufficient and a willingness to be self-sufficient, instead of waiting on donations and outside help, is ingrained within these communities. This is the road less travelled and by far a more difficult one requiring the commitment from all parties: donor companies, communities and the government; but certainly most gratifying, as communities take charge of and become accountable for their future.

5.4 Recommendations and further research

As the study was limited to a specific geographical location, it is recommend that similar research be undertaken in other rural areas with the focus on CSI infrastructure projects to ascertain how communities cope with the issues of maintenance and sustainability on projects donated to them.

Due to the lack of participation by companies identified for participation in the donor group, it is recommended that further research be done within this group in order to obtain data on how donor companies view their involvement in the communities, with the emphasis on infrastructure projects, once the projects have been completed and handed over.

Lastly, the research did not explore the reasons as to why government's involvement in CSI projects is perceived to be lacking. Therefore, further research into this matter is recommended.

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APPENDIX A-1: QUESTIONNAIRE SAMPLE – EXPERT GROUP

Research Questionnaire
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Exp. XX**

Research Questionnaire on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za or Jovita.stander@gmail.com**

	QUESTIONS		ANSWERS
1	What type of CSI project are your clients involved in? *(mark all which are appropriate)*		Donation of used materials (e.g. furniture, IT equipment, stationary)
			Financial donation without further involvement (e.g. once off contribution charities)
			Building of infrastructure (e.g. clinics, schools)
			Study bursaries to non-employees
			Training of graduates
			Other (specify):
2	In your experience, where do companies' CSI spending sit in relation to the required 1% net profit after tax (NPAT), as per the DTI's Codes of Good Practices of the BBBEE Act?		Under target
			On target
			Above target

Research Questionnaire
Corporate Social Investment (CSI) Projects



3	What is your understanding of the term 'sustainability' in the context of CSI projects?				
4	What type of CSI projects are the:	Most sustainable?			
		Why?			
		Least sustainable?			
		Why?			
5	Do the communities, in general, have the means to sustain CSI project in the long-run?	If yes, how?			
		If no, why not?			
		How can it be improved?			
		With specific focus on infrastructure projects, how will communities handle the maintenance of such infrastructure?			
6	Do your clients collaborate/partner with other companies on CSI projects?		Yes		No
7	Do your clients collaborate/partner with government on CSI projects?		Yes		No
8	In your opinion, what should be done by companies for the communities to ensure that CSI projects are sustainable in the long-run?				
9	In Comparison with other countries:	How mature is the CSR/CSI industry in South Africa?			
		How can it be improved?			
		What needs to be done in the short term?			
		Medium term?			
		Long term?			
10	Is government involvement sufficient?	If yes, how?			
		If no, why not?			
		How can it be improved?			
11	What types of CSI projects is government involved in?				
12	With specific focus on infrastructure projects, should government become involved with the maintenance of such infrastructure?	If yes, how should government get involved?			
		At what stage of the project should government get involved?			
		If no, why not?			

APPENDIX A-2: RESULTS – EXPERT GROUP

Research Questionnaire
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Exp. 01**

Research Questionnaire on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za or Jovita.stander@gmail.com**

	QUESTIONS		ANSWERS
1	What type of CSI project are your clients involved in? *(mark all which are appropriate)*		Donation of used materials (e.g. furniture, IT equipment, stationary)
			Financial donation without further involvement (e.g. once off contribution charities)
		X	Building of infrastructure (e.g. clinics, schools)
			Study bursaries to non-employees
			Training of graduates
			Other (specify):
2	In your experience, where do companies' CSI spending sit in relation to the required 1% net profit after tax (NPAT), as per the DTI's Codes of Good Practices of the BBBEE Act?	X	Under target
			On target
			Above target

Research Questionnaire
Corporate Social Investment (CSI) Projects



3	What is your understanding of the term 'sustainability' in the context of CSI projects?	Any undertaking/CSI initiative for which the costs of continuing its services will not require external funding outside of the operations of that facility.			
4	What type of CSI projects are the:	Most sustainable? Education & health			
		Why? Knowledge is power. Power to expand horizons, to reverse poverty, to act wisely & informed.			
		Least sustainable? Hand-outs			
		Why? They undermine the moral ethic of work for whatever one wants.			
5	Do the communities, in general, have the means to sustain CSI project in the long-run?	If yes, how? N/A			
		If no, why not? No. Education is required to bring Community to an understanding of what makes projects fail.			
		How can it be improved? Companies need to invest in community sensitization around CSI projects.			
		With specific focus on infrastructure projects, how will communities handle the maintenance of such infrastructure? In collaboration with the requesting governing structure, local Govt., DoE, DoH, etc.			
6	Do your clients collaborate/partner with other companies on CSI projects?	X	Yes		No
7	Do your clients collaborate/partner with government on CSI projects?	X	Yes		No
8	In your opinion, what should be done by companies for the communities to ensure that CSI projects are sustainable in the long-run?	Educate communities on what leads to success or failure $ set up tools to enable this; jointly developed in workshops with Community.			

Research Questionnaire
Corporate Social Investment (CSI) Projects



9	In Comparison with other countries:	How mature is the CSR/CSI industry in South Africa? Mature
		How can it be improved? Follow through on impact & effectiveness lifespan
		What needs to be done in the short term? Eliminate political influence; focus on community sensitization on sustainability
		Medium term? Govt. & Corporates should do needs assessment & create needs profile.
		Long term? Groom people to work for whatever they require. Impart skills & projects to enable sustainability & profitable initiatives.
10	Is government involvement sufficient?	If yes, how? N/A
		If no, why not? Govt depts. Are plagued by a lack of governance controls. Sense of accountability needs to be reviewed. CSI projects are stalled by Govt.
		How can it be improved? Govt. Dept. culture change required to bring Govt to private sector works ethic. It will turn around everything.
11	What types of CSI projects is government involved in?	
12	With specific focus on infrastructure projects, should government become involved with the maintenance of such infrastructure?	If yes, how should government get involved? Yes. At need identification, the needs must be endorsed for ratification & maintenance.
		At what stage of the project should government get involved? Initiation.
		If no, why not? N/A

Research Questionnaire
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Exp.02**

Research Questionnaire on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za or Jovita.stander@gmail.com**

	QUESTIONS		ANSWERS
1	What type of CSI project are your clients involved in? *(mark all which are appropriate)*	x	Donation of used materials (e.g. furniture, IT equipment, stationary)
		x	Financial donation without further involvement (e.g. once off contribution charities)
		x	Building of infrastructure (e.g. clinics, schools)
		x	Study bursaries to non-employees
		x	Training of graduates
			Other (specify):
2	In your experience, where do companies' CSI spending sit in relation to the required 1% net profit after tax (NPAT), as per the DTI's Codes of Good Practices of the BBBEE Act?	x	Under target
			On target
			Above target

Research Questionnaire
Corporate Social Investment (CSI) Projects



3	What is your understanding of the term 'sustainability' in the context of CSI projects?	If the project was funded – that the project will no longer require the funders money If an organisation was funded – that the organisation has lined up alternative sources of revenue If a community was funded that the community will take ownership of the project			
4	What type of CSI projects are the:	Most sustainable? Depends on the project type, project length, project outcomes and project deliverables			
		Why? Those that include revenue streams, those that include job creation those that includes empowerment			
		Least sustainable? Those that create dependence			
		Why? Those that do not include stakeholder voices			
5	Do the communities, in general, have the means to sustain CSI project in the long-run?	If yes, how? If their capacity has been built			
		If no, why not? If they could they would not need donor funding			
		How can it be improved? If there are revenue streams included – if they pay for services			
		With specific focus on infrastructure projects, how will communities handle the maintenance of such infrastructure? If they have not been capacitated – or they are not charging for the use of the infrastructure i.e. there is no revenue attached, they will not be able to handle such maintenance			
6	Do your clients collaborate/partner with other companies on CSI projects?	x	Yes		No
7	Do your clients collaborate/partner with government on CSI projects?	x	Yes		No

Research Questionnaire
Corporate Social Investment (CSI) Projects



8	In your opinion, what should be done by companies for the communities to ensure that CSI projects are sustainable in the long-run?	1. Ensure communities were engaged 2. Ensure communities were part of the design process 3. Ensure communities are part of the execution process – it means not being outsourced to NGO's
9	In Comparison with other countries:	How mature is the CSR/CSI industry in South Africa? Mid-range
		How can it be improved? Capacity building
		What needs to be done in the short term? Create an industry standard – register as profession
		Medium term? Create courses
		Long term? Ensure specific skills
10	Is government involvement sufficient?	If yes, how? I assume you mean the grant making/CSI sector?
		If no, why not? No – two different development strategies. One – focusing on pro poor development through government grants The other focuses on independent development
		How can it be improved? The government and private sectors are in competition, don't have the same development agendas and have two different approaches to development. Until the development mandate can be agreed upon, it will not change
11	What types of CSI projects is government involved in?	Donation/grant based – are you referring to local or national governments – regional or provincial?



12	With specific focus on infrastructure projects, should government become involved with the maintenance of such infrastructure?	If yes, how should government get involved? Depends what infrastructure is for
		At what stage of the project should government get involved? See response above, if it is a clinic – government must be involved in all project activities from engagement to design to implementation to evaluation to maintenance
		If no, why not?

Research Questionnaire
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Exp.03**

Research Questionnaire on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za or Jovita.stander@gmail.com**

	QUESTIONS		ANSWERS
1	What type of CSI project are your clients involved in? *(mark all which are appropriate)*	X	Donation of used materials (e.g. furniture, IT equipment, stationary)
			Financial donation without further involvement (e.g. once off contribution charities)
		X	Building of infrastructure (e.g. clinics, schools)
			Study bursaries to non-employees
			Training of graduates
			Other (specify):
2	In your experience, where do companies' CSI spending sit in relation to the required 1% net profit after tax (NPAT), as per the DTI's Codes of Good Practices of the BBBEE Act?	X	Under target
			On target
			Above target
3	What is your understanding of the term 'sustainability' in the context of CSI projects?	The ability of the recipient to maintain the condition of the condition in the long term.	

Research Questionnaire
Corporate Social Investment (CSI) Projects



4	What type of CSI projects are the:	Most sustainable? Infrastructure in Traditional Authority areas.			
		Why? Pride in ownership			
		Least sustainable? Government projects			
		Why? Shortage of funding, planning & management			
5	Do the communities, in general, have the means to sustain CSI project in the long-run?	If yes, how?			
		If no, why not? Rural areas are poor, that's why they requested a donation in the first place.			
		How can it be improved? A donation budget must include a maintenance plan.			
		With specific focus on infrastructure projects, how will communities handle the maintenance of such infrastructure? Mostly maintenance will be non-existing. Infrastructure will be left until in a state of disrepair and another request for assistance will be lodge.			
6	Do your clients collaborate/partner with other companies on CSI projects?	X	Yes		No
7	Do your clients collaborate/partner with government on CSI projects?	X	Yes		No
8	In your opinion, what should be done by companies for the communities to ensure that CSI projects are sustainable in the long-run?	Develop a maintenance budget for all CSI projects & follow up on donations			
9	In Comparison with other countries:	How mature is the CSR/CSI industry in South Africa? Developing			
		How can it be improved? Collaboration			
		What needs to be done in the short term? Educate, awareness, get funding			
		Medium term? Implement projects			
		Long term? Empower people to be self-sustainable			
10	Is government involvement sufficient?	If yes, how?			
		If no, why not? They constantly request donations from companies due to lack of funds			
		How can it be improved? Budgeting for CSI and spending in transparent way			

Research Questionnaire
Corporate Social Investment (CSI) Projects



11	What types of CSI projects is government involved in?	EPWP
12	With specific focus on infrastructure projects, should government become involved with the maintenance of such infrastructure?	If yes, how should government get involved? Maintain investment by donors or at least manage maintenance
		At what stage of the project should government get involved? After handover they must take responsibility
		If no, why not?

APPENDIX B-1: QUESTIONNAIRE SAMPLE – RECIPIENT GROUP

Research Questionnaire
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Rec. XX**

Research Questionnaire on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za**

QUESTIONS		ANSWERS			
1	What type of CSI projects have been donated to your community/your area? (*mark all which are appropriate)*		Donation of used materials (e.g. furniture, IT equipment, stationary)		
			Financial donation without further involvement (e.g. once off contribution charities)		
			Building of infrastructure (e.g. clinics, schools)		
			Study bursaries to non-employees		
			Training of graduates		
			Other (specify):		
2	Was the community/recipient group involved in the decision making of the project donated?		Yes		No

Research Questionnaire
Corporate Social Investment (CSI) Projects



3	If no, do you feel that the community should have been involved in the decision making process?		Yes		No
		Why?			
4	Do you feel that the project donated will be beneficial to the community?	If yes, how?			
		If no, why not?			
5	With regards to infrastructure projects (e.g. clinics, community halls, other buildings), does the community have the resources to do the maintenance on the buildings?	If yes, how?			
		If no, why not?			
		How can it be improved?			
6	In your opinion, who do you believe should be responsible for assisting the community?		Private companies		Government
			Both (Private companies and Government)		
7	Is government involvement sufficient?	If yes, how?			
		If no, why not?			
		How can it be improved?			
8	What types of CSI projects is government involved in?				
9	With specific focus on infrastructure projects, should government become involved with the maintenance of such infrastructure?	If yes, how should government get involved?			
		At what stage of the project should government get involved in?			
		If no, why not?			

APPENDIX B-2: RESULTS – RECIPIENT GROUP

Research Questionnaire
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Rec. 01**

Research Questionnaire on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za**

QUESTIONS		ANSWERS	
1	What type of CSI projects have been donated to your community/your area? (*mark all which are appropriate)*		Donation of used materials (e.g. furniture, IT equipment, stationary)
			Financial donation without further involvement (e.g. once off contribution charities)
		X	Building of infrastructure (e.g. clinics, schools)
			Study bursaries to non-employees
			Training of graduates
			Other (specify):

Research Questionnaire
Corporate Social Investment (CSI) Projects



2	Was the community/recipient group involved in the decision making of the project donated?	X	Yes		No
3	If no, do you feel that the community should have been involved in the decision making process?	x	Yes		No
		Why?			
4	Do you feel that the project donated will be beneficial to the community?	If yes, how? Yes, because the children and community will hide their head under the roof during winter & rain.			
		If no, why not?			
5	With regards to infrastructure projects (e.g. clinics, community halls, other buildings), does the community have the resources to do the maintenance on the buildings?	If yes, how?			
		If no, why not?			
		How can it be improved?			
6	In your opinion, who do you believe should be responsible for assisting the community?		Private companies		Government
		X	Both (Private companies and Government)		
			Private companies because the people of private companies come to the people under the ground time and again, but government people delegate their candidate to come to ground when they are seeking for the votes only.		
7	Is government involvement sufficient?	If yes, how?			
		If no, why not? No. Because after the votes they just earning their salaries and forget about people's need. Only to give the private companies to do, involvement sufficient.			
		How can it be improved?			
8	What types of CSI projects is government involved in?	I don't know – maybe schools and clinic.			
9	With specific focus on infrastructure projects, should government become involved with the maintenance of such infrastructure?	If yes, how should government get involved? Yes, they must visit/come down to the ground and seeking for our needs.			
		At what stage of the project should government get involved in? From the begin but if they should involve at the end, then they will tell us/communities lies.			
		If no, why not?			

Research Questionnaire
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Rec. 02**

Research Questionnaire on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za**

QUESTIONS		ANSWERS			
1	What type of CSI projects have been donated to your community/your area? (*mark all which are appropriate)*	X	Donation of used materials (e.g. furniture, IT equipment, stationary)		
			Financial donation without further involvement (e.g. once off contribution charities)		
		X	Building of infrastructure (e.g. clinics, schools), water borehole		
			Study bursaries to non-employees		
			Training of graduates		
			Other (specify):		
2	Was the community/recipient group involved in the decision making of the project donated?	X	Yes		No

Research Questionnaire
Corporate Social Investment (CSI) Projects



3	If no, do you feel that the community should have been involved in the decision making process?	X	Yes		No
		Why? We are a part of the project.			
4	Do you feel that the project donated will be beneficial to the community?	If yes, how? Facilitates and helps the day to day tasks			
		If no, why not?			
5	With regards to infrastructure projects (e.g. clinics, community halls, other buildings), does the community have the resources to do the maintenance on the buildings?	If yes, how?			
		If no, why not? No. will consult with parents and community.			
		How can it be improved? By fundraising			
6	In your opinion, who do you believe should be responsible for assisting the community?		Private companies		Government
		X	Both (Private companies and Government)		
7	Is government involvement sufficient?	If yes, how?			
		If no, why not? No, increase grants from Social Development Dept.			
		How can it be improved? By providing salaries to volunteers.			
8	What types of CSI projects is government involved in?	Don't know.			
9	With specific focus on infrastructure projects, should government become involved with the maintenance of such infrastructure?	If yes, how should government get involved? Yes, help with financial support for maintenance.			
		At what stage of the project should government get involved in? At the beginning.			
		If no, why not?			

Research Questionnaire
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Rec. 03**

Research Questionnaire on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

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Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za**

QUESTIONS		ANSWERS			
1	What type of CSI projects have been donated to your community/your area? (*mark all which are appropriate)*	X	Donation of used materials (e.g. furniture, IT equipment, stationary)		
		X	Financial donation without further involvement (e.g. once off contribution charities)		
		X	Building of infrastructure (e.g. clinics, schools)		
			Study bursaries to non-employees		
			Training of graduates		
			Other (specify):		
2	Was the community/recipient group involved in the decision making of the project donated?	X	Yes		No
3	If no, do you feel that the community should have been involved in the decision making process?	X	Yes		No
		Why?			

Research Questionnaire
Corporate Social Investment (CSI) Projects



4	Do you feel that the project donated will be beneficial to the community?	If yes, how? Yes, because orphan and vulnerable children of the community will start to have place of Care Centre and the caregivers will assist with homework, assignment and activities 9e.g. drama, singing, bathing, cooking, traditional dance and washing their school uniforms every Friday).			
		If no, why not?			
5	With regards to infrastructure projects (e.g. clinics, community halls, other buildings), does the community have the resources to do the maintenance on the buildings?	If yes, how? Yes, because people that are working they are 100% from our community.			
		If no, why not?			
		How can it be improved?			
6	In your opinion, who do you believe should be responsible for assisting the community?		Private companies		Government
		x	Both (Private companies and Government)		
7	Is government involvement sufficient?	If yes, how?			
		If no, why not? No, because the people who are working, they are the volunteers; someday they get their stipend someday they don't. So government must improve the level by turning the workers permanent and give them salary so that they can focus on their work.			
		How can it be improved?			
8	What types of CSI projects is government involved in?	Bakery, poultry and sewing.			
9	With specific focus on infrastructure projects, should government become involved with the maintenance of such infrastructure?	If yes, how should government get involved? Yes, from initial phase in a form of offering guard or security, monitoring finances and employees and also assets.			
		At what stage of the project should government get involved in?			
		If no, why not?			

Research Questionnaire
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Rec. 04**

Research Questionnaire on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za**

QUESTIONS		ANSWERS			
1	What type of CSI projects have been donated to your community/your area? (*mark all which are appropriate)*	X	Donation of used materials (e.g. furniture, IT equipment, stationary)		
			Financial donation without further involvement (e.g. once off contribution charities)		
			Building of infrastructure (e.g. clinics, schools)		
			Study bursaries to non-employees		
			Training of graduates		
		X	Other (specify): Water tank		
2	Was the community/recipient group involved in the decision making of the project donated?		Yes	X	No

Research Questionnaire
Corporate Social Investment (CSI) Projects



3	If no, do you feel that the community should have been involved in the decision making process?	X	Yes		No
		Why? This project improves our community.			
4	Do you feel that the project donated will be beneficial to the community?	If yes, how? Yes. Our community is very poor.			
		If no, why not?			
5	With regards to infrastructure projects (e.g. clinics, community halls, other buildings), does the community have the resources to do the maintenance on the buildings?	If yes, how?			
		If no, why not? No. Our community is very poor.			
		How can it be improved?			
6	In your opinion, who do you believe should be responsible for assisting the community?		Private companies		Government
		X	Both (Private companies and Government)		
7	Is government involvement sufficient?	If yes, how?			
		If no, why not? No. We can't reach information.			
		How can it be improved? To have someone who can communicate on our behalf.			
8	What types of CSI projects is government involved in?	Infrastructure.			
9	With specific focus on infrastructure projects, should government become involved with the maintenance of such infrastructure?	If yes, how should government get involved? Yes, by helping the poor communities.			
		At what stage of the project should government get involved in? Buildings like crèches, schools and clinics.			
		If no, why not?			

Research Questionnaire
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Rec. 05**

Research Questionnaire on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za**

QUESTIONS		ANSWERS			
1	What type of CSI projects have been donated to your community/your area? (*mark all which are appropriate)*		Donation of used materials (e.g. furniture, IT equipment, stationary)		
			Financial donation without further involvement (e.g. once off contribution charities)		
			Building of infrastructure (e.g. clinics, schools)		
			Study bursaries to non-employees		
			Training of graduates		
		X	Other (specify): Water		
2	Was the community/recipient group involved in the decision making of the project donated?	XX	Yes		No
3	If no, do you feel that the community should have been involved in the decision making process?		Yes		No
		Why?			

Research Questionnaire
Corporate Social Investment (CSI) Projects



4	Do you feel that the project donated will be beneficial to the community?	If yes, how? Yes because no more thirst.			
		If no, why not?			
5	With regards to infrastructure projects (e.g. clinics, community halls, other buildings), does the community have the resources to do the maintenance on the buildings?	If yes, how? Yes, children become clean			
		If no, why not?			
		How can it be improved?			
6	In your opinion, who do you believe should be responsible for assisting the community?		Private companies		Government
		X	Both (Private companies and Government)		
			Both private companies and government will be responsible for assisting the community. They must visit the chief/induna by making the research of helping them.		
7	Is government involvement sufficient?	If yes, how?			
		If no, why not? No. Only the corruption that is doing.			
		How can it be improved?			
8	What types of CSI projects is government involved in?				
9	With specific focus on infrastructure projects, should government become involved with the maintenance of such infrastructure?	If yes, how should government get involved? Government is doing nothing			
		At what stage of the project should government get involved in?			
		If no, why not?			

Research Questionnaire
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Rec. 06**

Research Questionnaire on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za**

QUESTIONS		ANSWERS			
1	What type of CSI projects have been donated to your community/your area? (*mark all which are appropriate)*	X	Donation of used materials (e.g. furniture, IT equipment, stationary)		
		X	Financial donation without further involvement (e.g. once off contribution charities)		
			Building of infrastructure (e.g. clinics, schools)		
			Study bursaries to non-employees		
			Training of graduates		
			Other (specify):		
2	Was the community/recipient group involved in the decision making of the project donated?	X	Yes		No

Research Questionnaire
Corporate Social Investment (CSI) Projects



3	If no, do you feel that the community should have been involved in the decision making process?	X	Yes		No
		Why? Because they must have confidence.			
4	Do you feel that the project donated will be beneficial to the community?	If yes, how? Through communication			
		If no, why not?			
5	With regards to infrastructure projects (e.g. clinics, community halls, other buildings), does the community have the resources to do the maintenance on the buildings?	If yes, how? By volunteering			
		If no, why not?			
		How can it be improved?			
6	In your opinion, who do you believe should be responsible for assisting the community?		Private companies		Government
		X	Both (Private companies and Government)		
7	Is government involvement sufficient?	If yes, how? Yes. Providing stipends.			
		If no, why not?			
		How can it be improved? By asking donations.			
8	What types of CSI projects is government involved in?	To improve the projects.			
9	With specific focus on infrastructure projects, should government become involved with the maintenance of such infrastructure?	If yes, how should government get involved? By approaching communities.			
		At what stage of the project should government get involved in? By social participant and development.			
		If no, why not?			

APPENDIX C-1: SURVEY SAMPLE – DONOR GROUP

Research Survey
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Don. XX**

Research Survey on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za or Jovita.stander@gmail.com .**

	QUESTIONS	Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
1	The company is involved in CSI project.					
2	The company contributes to CSI projects by:					
	Donating second-hand furniture and IT equipment; stationary; food items; clothing, etc.					
	A once-off financial donation without further involvement					
	Building infrastructure (e.g. clinics, community halls)					
	Study bursaries to non-employees					
	Training of graduates					

Research Survey
Corporate Social Investment (CSI) Projects



	QUESTIONS	Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
3	The company's CSI contribution per annum is:					
	< R1 million					
	> R1 million but < R2 million					
	> R2 million but < R3 million					
	> R3 million but < R 4 million					
	> R5 million					
4	The DTI's Codes of Good Practices of the BBBEE Act states that companies must spend 1% of net profit after tax (NPAT). The company's CSI spending is:					
	Under target					
	On target					
	Above target					
5	The company's CSI projects are sustainable in the long-run.					
		Please state reason for your answer:				
6	The company provides other means to the community to sustain the projects in the long-run, once projects are completed.					
7	The company collaborate with other private sector companies on CSI projects.					
8	The company collaborate with Government on CSI projects.					
9	What is your understanding of the term 'sustainability' in the context of CSI projects?					
10	In your opinion, what should companies do for the communities to ensure that CSI projects are sustainable in the long-run?					

APPENDIX C-2: RESULTS – DONOR GROUP

Research Survey
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Don. 01**

Research Survey on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za or Jovita.stander@gmail.com .**

	QUESTIONS	Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
1	The company is involved in CSI project.	X				
2	The company contributes to CSI projects by:					
	Donating second-hand furniture and IT equipment; stationary; food items; clothing, etc.	X				
	A once-off financial donation without further involvement	X				
	Building infrastructure (e.g. clinics, community halls)		X			
	Study bursaries to non-employees	X				
	Training of graduates		X			

Research Survey
Corporate Social Investment (CSI) Projects



	QUESTIONS	Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
3	The company's CSI contribution per annum is:					
	< R1 million	X				
	> R1 million but < R2 million					
	> R2 million but < R3 million					
	> R3 million but < R 4 million					
	> R5 million					
4	The DTI's Codes of Good Practices of the BBBEE Act states that companies must spend 1% of net profit after tax (NPAT). The company's CSI spending is:					
	Under target					
	On target	X				
	Above target					
5	The company's CSI projects are sustainable in the long-run.			X		
		Please state reason for your answer: Some initiatives are new and still taking shape, though as these become entrenched they will be more sustainable.				
6	The company provides other means to the community to sustain the projects in the long-run, once projects are completed.				X	
7	The company collaborate with other private sector companies on CSI projects.				X	
8	The company collaborate with Government on CSI projects.			X		
9	What is your understanding of the term 'sustainability' in the context of CSI projects?	Ensuring empowerment of communities or target populations to grow and develop for themselves, while addressing key needs in our country and enabling entry to our industry. This is why our focus is on education, particularly in the STEM disciplines. Supporting and empowering young people in these areas provides them a better opportunity for becoming employable in STEM sector roles (or becoming entrepreneurs in these sectors), and helps to address the country's need for scarce technical skills.				

Research Survey
Corporate Social Investment (CSI) Projects



10	In your opinion, what should companies do for the communities to ensure that CSI projects are sustainable in the long-run?	Ensure that what we do helps to make communities independent and capable of growing their own futures and that of their children. Projects that create a dependency in a community are less sustainable, in my opinion, as once a company can no longer invest in that project or changes strategic focus communities are returned to their original state of disempowerment if a new benefactor cannot be found.

Research Survey
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Don. 02**

Research Survey on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za or Jovita.stander@gmail.com .**

	QUESTIONS	Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
1	The company is involved in CSI project.	X				
2	The company contributes to CSI projects by:					
	Donating second-hand furniture and IT equipment; stationary; food items; clothing, etc.	X				
	A once-off financial donation without further involvement				X	
	Building infrastructure (e.g. clinics, community halls)	X				
	Study bursaries to non-employees		X			
	Training of graduates		X			

Research Survey
Corporate Social Investment (CSI) Projects



	QUESTIONS	Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
3	The company's CSI contribution per annum is:					
	< R1 million					
	> R1 million but < R2 million	X				
	> R2 million but < R3 million					
	> R3 million but < R 4 million					
	> R5 million					
4	The DTI's Codes of Good Practices of the BBBEE Act states that companies must spend 1% of net profit after tax (NPAT). The company's CSI spending is:					
	Under target					
	On target	X				
	Above target					
5	The company's CSI projects are sustainable in the long-run.		X			
		Please state reason for your answer: Yes, sustainable. As they are not once off donations but rather programmes over a duration of 3 to 5 years.				
6	The company provides other means to the community to sustain the projects in the long-run, once projects are completed.		X			
7	The company collaborate with other private sector companies on CSI projects.		X		X	
8	The company collaborate with Government on CSI projects.				X	
9	What is your understanding of the term 'sustainability' in the context of CSI projects?	The company performs detailed needs analysis before cash input. From this we develop short/medium/long term projects. These involve CSI beneficiary so that they learn & develop. The aim is to eventually hand over completed projects to the CSI beneficiary whereby they can take this 7 sustain it into the foreseeable future. Sustainability is creating projects whereby the beneficiary's dependence on donations decreases over a period of time & they are able to function on their own.				
10	In your opinion, what should companies do for the communities to ensure that CSI projects are sustainable in the long-run?	Strategically choose projects over medium to long term. As opposed to cash injections, donations should also be time and goods bases. Ensure continuing development of the beneficiary.				

Research Survey
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Don. 03**

Research Survey on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za or Jovita.stander@gmail.com .**

	QUESTIONS	Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
1	The company is involved in CSI project.	X				
2	The company contributes to CSI projects by:					
	Donating second-hand furniture and IT equipment; stationary; food items; clothing, etc.		X			
	A once-off financial donation without further involvement					
	Building infrastructure (e.g. clinics, community halls)		X			
	Study bursaries to non-employees		X			
	Training of graduates		X			

Research Survey
Corporate Social Investment (CSI) Projects



	QUESTIONS	Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
3	The company's CSI contribution per annum is:					
	< R1 million					
	> R1 million but < R2 million					
	> R2 million but < R3 million		X			
	> R3 million but < R 4 million					
	> R5 million					
4	The DTI's Codes of Good Practices of the BBBEE Act states that companies must spend 1% of net profit after tax (NPAT). The company's CSI spending is:					
	Under target					
	On target		X			
	Above target					
5	The company's CSI projects are sustainable in the long-run.		X			
		Please state reason for your answer:				
6	The company provides other means to the community to sustain the projects in the long-run, once projects are completed.		X			
7	The company collaborate with other private sector companies on CSI projects.		X			
8	The company collaborate with Government on CSI projects.					
9	What is your understanding of the term 'sustainability' in the context of CSI projects?	Involve long term strategic planning that involves positive growth.				
10	In your opinion, what should companies do for the communities to ensure that CSI projects are sustainable in the long-run?					

Research Survey
Corporate Social Investment (CSI) Projects



University of the Witwatersrand

School of Construction Economics & Management

MSc. (Building) in the field of Project Management in Construction

Student name: Jovita Stander **Student number:** 1499263 **Ref: Don. 04**

Research Survey on Corporate Social Investment (CSI) Projects

Preamble Information

The purpose of this study is to determine the sustainability of Corporate Social Investment (CSI) Projects, specifically in the context of the construction industry, and whether communities who benefit from infrastructure CSI projects have the means to sustain these projects in the long-run.

The questionnaire is intended to gather information to answer some of the questions of this study.

Participation

The participation of each individual is completely voluntary, and individuals may decide to withdraw from the study at any point.

Confidentiality

All information will be treated as confidential and data will be stored in a secure manner.

Thank you for your participation in this study and for your time in answering the questions. Without your participation, it would not be possible to conclude the study.

Please email the completed questionnaire to **1499263@students.wits.ac.za or Jovita.stander@gmail.com .**

	QUESTIONS	Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
1	The company is involved in CSI project.	X				
2	The company contributes to CSI projects by:					
	Donating second-hand furniture and IT equipment; stationary; food items; clothing, etc.	X				
	A once-off financial donation without further involvement	X				
	Building infrastructure (e.g. clinics, community halls)	X				
	Study bursaries to non-employees					
	Training of graduates	X				

Research Survey
Corporate Social Investment (CSI) Projects



	QUESTIONS	Strongly Agree	Agree	Neither Agree / Disagree	Disagree	Strongly Disagree
3	The company's CSI contribution per annum is:					
	< R1 million	X				
	> R1 million but < R2 million					
	> R2 million but < R3 million					
	> R3 million but < R 4 million					
	> R5 million					
4	The DTI's Codes of Good Practices of the BBBEE Act states that companies must spend 1% of net profit after tax (NPAT). The company's CSI spending is:					
	Under target	X				
	On target					
	Above target					
5	The company's CSI projects are sustainable in the long-run.					
		Please state reason for your answer: Not at the moment, depends on cash flow				
6	The company provides other means to the community to sustain the projects in the long-run, once projects are completed.	X				
7	The company collaborate with other private sector companies on CSI projects.	X				
8	The company collaborate with Government on CSI projects.				X	
9	What is your understanding of the term 'sustainability' in the context of CSI projects?	Will it help them for a long time				
10	In your opinion, what should companies do for the communities to ensure that CSI projects are sustainable in the long-run?	Teach them and supply goods, training or equipment to help them sustain themselves				

APPENDIX D: PARTICIPANT INFORMATION SHEET SAMPLE

Participant Information Sheet



University of the Witwatersrand, School of Construction Economics and Management			
Study title:	Communities, Sustainability and Corporate Social Investment Projects: Are They But White Elephants?		
Student's name:	Jovita Stander	**Contact details:**	082 499 0173 / jovita.stander@gmail.com
Supervisor's name:	Dr. Stephen Allen	**Contact details:**	011 717 7660 / stephen.allen@wits.ac.za

Dear Participant,

I am doing my Master's degree in Project Management in Construction through the University of the Witwatersrand (WITS). My research topic is with regards to the sustainability of Corporate Social Investment (CSI) projects.

I would like to invite you to participate in this study. Whether or not you take part is your choice. If you don't want to take part, you don't have to give a reason, and it won't affect you in any way. If you do want to take part now, but change your mind later, you can pull out of the study at any time.

This Participant Information Sheet will help you decide if you'd like to take part. It sets out why I am doing the study, what your participation would involve and what the benefits and risks to you might be. I will go through this information with you and answer any questions you may have.

If you agree to take part in this study, you will be asked to sign the Consent Form and you will be given a copy of both the Participant Information Sheet and the Consent Form to keep.

WHAT IS THE PURPOSE OF THE STUDY?

Set in the context of one of South Africa's coal fired power station construction projects, the objectives of this study is to establish:

- The types of CSI projects stakeholders are involved in;
- What are the stakeholders' understanding of the term 'sustainable';
- Involvement of local government agencies in the CSI projects; and
- The means local communities have to maintain and sustain CSI projects.

WHAT WILL MY PARTICIPATION IN THE STUDY INVOLVE?

Should you agree to participate in the study, I will either ask you to complete a questionnaire or a survey.

The questionnaire or the survey will include questions regarding the type of CSI projects your company is involved, annual spending on CSI project, collaboration between your company and other companies and/or government, your understanding of the term 'sustainability' and your opinion on whether CSI project are sustainable in the long-run.

The questionnaire or survey should not take longer than 15 minutes to complete.

WHAT ARE THE POSSIBLE BENEFITS AND RISKS OF THIS STUDY?

There are no direct benefits or risks to you or your company when taking part in this study. If you feel uncomfortable in answering any of the questions, you are under no obligation to do so.

WHO PAYS FOR THE STUDY?

By participating in this study, you will not incur any costs what so ever nor will you be reimburse for your time and participation in this study

WHY WAS I OR MY COMPANY SELECTED?

[ ] You were selected to participate in the study due to your experience as a consultant/CSI Manager in the CSI industry.

[ ] You were selected to participate in the study because CSI projects where donated to your community.

[ ] You were selected to participate in the study because your company is funding and/or contributes to CSI projects.

WHAT ARE MY RIGHTS?

Your participation in this study is voluntary and you are free to decline to participate, or to withdraw from the research at any time, without experiencing any disadvantage.

You may decline to answer any question which you do not feel comfortable with, without experiencing any disadvantage.

All information provided will be treated as confidential. If any report is made public, I will not include any information which will make it possible to identify you and/or your company.

WHAT HAPPENS TO THE FINDINGS OF THE STUDY?

The finding of the study will be reported in my dissertation. WITS dissertations and theses are available on the University's web site (www.wits.ac.za)

WHO DO I CONTACT FOR MORE INFORMATION OR IF I HAVE CONCERNS?

If you have any questions, concerns or complaints about the study at any stage, you can contact:

- Jovita Stander, Researcher
  Contact details: 082 499 0173 / jovita.stander@gmail.com
- Dr. Stephen Allen, Research Supervisor
  Contact details: 011 717 7660 / stephen.allen@wits.ac.za
- Lucille Mooragan
  University of the Witwatersrand Ethics Committee (non-medical)

  Contact details: 011 717 1408 / lucille.mooragan@wits.ac.za

APPENDIX E: PARTICIPANT CONSENT FORM SAMPLE

Participant Consent Form



University of the Witwatersrand, School of Construction Economics and Management

Study title:	Communities, Sustainability and Corporate Social Investment Projects: Are They But White Elephants?		
Student's name:	Jovita Stander	**Contact details:**	082 499 0173 / jovita.stander@gmail.com
Supervisor's name:	Dr. Stephen Allen	**Contact details:**	011 717 7660 / stephen.allen@wits.ac.za

Dear Participant,

Please tick to indicate your consent.

I have read the Participant Information Sheet and the nature and purpose of the study has been explained to me.	Yes ☐	No ☐
I have had the opportunity to ask questions and understand the study and my involvement in it.	Yes ☐	No ☐
I am satisfied with the answers I have been given regarding the study and I have a copy of this Consent Form and Information Sheet.	Yes ☐	No ☐
I understand that taking part in this study is voluntary and that I am free to decline to participate or to withdraw from the study at any time, without giving a reason for decline or withdrawal, and that this will not affect my status now or in the future.	Yes ☐	No ☐
I understand that I may refuse to answer any questions if I do not feel comfortable in answering and that this will not affect my status now or in the	Yes ☐	No ☐

future.		
I consent to the researcher to either provide me with a questionnaire or a survey to complete.	Yes ☐	No ☐
I understand that I will not be reimbursed for my time and/or participation in the study.	Yes ☐	No ☐
I understand that my participation in this study is confidential.	Yes ☐	No ☐
I understand that while the information gained during the study will be published, I will not be identified and my contribution to the study will remain confidential.	Yes ☐	No ☐
I know who to contact if I have any questions about the study.	Yes ☐	No ☐
I wish to receive a summary of the results from the study.	Yes ☐	No ☐

Declaration by participant:

I hereby consent to take part in this study.

Participant's name:	
Signature:	Date:

Declaration by researcher:

I have given an explanation of the research project to the participant, and have answered the participant's questions about it.

I believe that the participant understands the study and has given informed consent to participate.

Researcher's name: Jovita Stander	
Signature:	Date:

WHO TO CONTACT FOR MORE INFORMATION OR IF YOU HAVE CONCERNS?

- Jovita Stander, Researcher
  Contact details: 082 499 0173 / jovita.stander@gmail.com
- Dr. Stephen Allen, Research Supervisor
  Contact details: 011 717 7660 / stephen.allen@wits.ac.za
- Lucille Mooragan
  University of the Witwatersrand Ethics Committee (non-medical)

  Contact details: 011 717 1408 / lucille.mooragan@wits.ac.za