



**CORPORATE COMMUNITY ENGAGEMENT FRAMEWORK FOR
STAKEHOLDER RELATIONS IN THE EXTRACTIVE SECTOR IN
THE WESTERN CAPE, SOUTH AFRICA**

BY

JIMMY MAKONI

SUBMITTED IN FULFILMENT OF THE REQUIREMENTS
FOR THE DEGREE OF

DOCTOR OF BUSINESS ADMINISTRATION (DBA)

IN THE

FACULTY OF MANAGEMENT SCIENCES

AT THE

CENTRAL UNIVERSITY OF TECHNOLOGY, FREE STATE

SUPERVISOR: PROF. MN NAONG
CO-SUPERVISOR: DR. DP ONOJAEFE

SEPTEMBER 2018

DECLARATION

I, Jimmy Makoni, student number _____, do hereby declare that this research titled **“Corporate Community Engagement Framework for Stakeholder Relations in the Extractive Sector in the Western Cape, South Africa”** submitted by me for the degree **Doctor of Business Administration** at the Central University of Technology, Free State is my own independent work and has not previously been submitted by me at another University or faculty. Also that all the sources used or quoted have been indicated and acknowledged by means of complete references. I further cede copyright of the thesis in favour of the Central University of Technology, Free State.

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DEDICATION

This work is dedicated to my late mother, Joyce Mutami Makoni, who instilled a sense of self-belief in me and emphasised the power of knowledge. She said that I could achieve anything that I desired in life if I applied myself to it, and this research is testimony to that.

And to my late grandmother “VaSoko” Rosina Gurure for her strong values, ethos and conviction in hard work, perseverance, and self-discipline as critical for the pursuance of one’s dreams.

ACKNOWLEDGEMENTS

I wish to thank:

- Professor MN Naong, my supervisor, and Dr. DP Onojaefe (Cape Peninsula University of Technology), my co-supervisor, for their excellent guidance. I would not have managed this feat without their continued support.
- Mr. Oliver Bodhlylera (University of Kwa-Zulu Natal), statistics consultant, for conducting the statistical analysis diligently and professionally.
- The National Research Foundation (NRF), for their financial support which made it possible for me to successfully complete my studies.
- The Central University of Technology, for affording me the opportunity to study at this esteemed institution, and for their continued financial support which made it possible for me to realise my dream.
- OneStopSolution.co.za for their professional proofreading skills and language editing to ensure coherence, cohesion, and consistent development of arguments.
- Ms. Lizette Storm, Librarian at the Central University of Technology, Free State, for her patience and assistance in obtaining relevant data search resources.
- Ms. Kholwani Madi and Ms. Kgalalelo Maputle for managing the flow of information diligently.
- My colleagues, friends and family for their support, encouragement and interest during the research.
- To my wife, Chiedza, for being there.
- And to the people that matter the most in my life, my kids - “The Bisons” - Nzwanayi, Ngaatendwe, Ruvarashe, Tirivashe, and Izwirashe, for being the motivation that I desperately needed at those times when I was burnt-out, asking myself whether it was even worth it, and for allowing me the opportunity to devote time and energy to this research, away from them and away from my work. I salute you!
- Above all else, the Lord God Almighty, my Creator for shaping my future and destiny.

ABSTRACT

Stakeholder relations and Corporate Community Engagement (CCE) are both important activities that can and should be used to promote extractive sector success and sustainability. Success can be realised through stakeholder relations that is transformational in context and adaptive in character: to achieve sustainability outcomes envisaged in the CCE framework. For a transforming South African economy, sustainability should not be constrained by ineffective stakeholder relationship but contextual to the character of Corporate Community Engagement (CCE) activities for success. This study presents a framework to support effective stakeholder relations compatible with a transforming economy and supportive of CCE activities of mining companies.

The characteristic of a transforming society postulate disparate perceptions of CCE and lack of its effectiveness is reported to be common. The varied perception of CCE effectiveness present the opportunity for a new framework to manage stakeholder relations for sustainability. To achieve the aim of the study, evidence of perception were collected through an exploratory sequential mixed methods approach. This approach enabled the collection of qualitative data using in-depth interviews on sixteen (16) purposefully selected employees from eight participating CCE companies and as well as quantitative online data on 384 randomly selected respondents from the extractive community using LimeSurvey.

Although respondents' perceptions were found to be mixed and variable, an understanding of the need for stakeholder's relations effectiveness through CCE activities is common. The study concludes that CCE activities would benefit a framework that incorporates stakeholder relations as a strategy for business success and sustainability of CCE.

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CHAPTER 1

OVERVIEW OF THE STUDY

1.1 INTRODUCTION

Research indicates that the use of corporate community engagement (CCE) in the extractive sector is contrived by ineffective stakeholder relationship management (Campbell, 2012; Farrell, Hamann, & Mackres, 2012; Kemp & Owen, 2013). While the extractive sector remains attractive for economic growth opportunities, the concern for ineffective community engagement continues to attract academic interest. This has led businesses and scholars to raise their stakes in finding lasting solutions. This paper locates its interest in CCE that is able to promote relationship management effectiveness. Existing corporate community engagement practices and stakeholder management theories provide limited evidence of instances where CCE has been used to support stakeholder relationship management effectiveness. From a global perspective, literature reviewed on the extractive sectors of Peru, Australia, Ghana and the USA focused mainly on the nature of conflict. Irresponsible environmental practices led to local communities in these countries to protest, forcing companies to enhance investments on engagement initiatives. The contention is that the success of a CCE framework depends on the nature of the community engagement initiatives implemented. The lessons learnt from these countries evidently revealed that context and group dynamics were key to the success of any engagement effort. Alonso (2014) and Carter (2015) clearly posit that understanding the triple-bottom-line requirements is crucial in obtaining a Social License to Operate (SLO) from the communities. A pertinent question would be: *'can engagement initiatives learnt elsewhere be used in South Africa's extractive sector?'*

Incidentally, the extractives sector in SA has also undergone major transformations over the years (Clark & Worger, 2016, Fine, 2018). The prominence of the global village and increasing gross value addition of minerals in many resource rich countries have contributed to this transformation (Davis & Franks, 2014). The need to continuously increase the value created by extractive activities has led to increased calls for mineral beneficiation in SA (Baker, Newell, & Phillips, 2014). Further, the need for equitable distribution of wealth in South Africa has also been a major factor to this rapid transformation. Other factors promoting this transformation include the growing importance of building reputation and enhancing sustainable community development by extractive companies (Tiller, 2017).

South Africa's case is however peculiar in that the nature of conflict is often violent, and the Marikana tragedy of 2012 in which 34 miners and 10 others lost their lives serves as a sad reminder (Mathews, 2017). Research has also shown that the SA government has played an instrumental role by persuading firms to comply with the Black Economic Empowerment (BEE) legislation as they engage with local communities. The highlight of BEE is that it forces SA-based companies to consider all stakeholders when conducting CCE, thereby promoting the spirit of inclusion. Companies that are not compliant with the BEE scorecard are rated negatively which may stifle their productivity on the basis that all government controlled entities and most financial companies, multinational companies and many other institutions are progressively limiting the amount of business they are doing with non-compliant entities (Akinsomi et al., 2016, Kruger, M.C. & Kleynhans, E.P., 2014). Busacca (2013) further suggested that companies should not view BEE merely as a retributive mechanism for redressing the economic imbalances brought about by apartheid, but also as a tool for empowering disenfranchised communities. On the other hand, the focus of the reviewed Broad-Based Black Socio-Economic Empowerment Charter for the South African Mining and Minerals Industry (the 2017 Mining Charter) was to uphold relations in the sector. One of its key provisions was community development by allocating 8% shareholding to mine communities and identifying priority projects in accordance with municipality approved Integrated Development Plans. The adoption of the proposed CCE framework is hoped to improve the processes and content of the Mining Charter; its validity and enforceability; and to improve the general policy development framework in South Africa.

Furthermore, the Institute of Directors in Southern Africa (2016) announced The King IV Report on Corporate Governance for South Africa, which builds on its predecessors' and continues to promote the concept of sound corporate governance as a critical ingredient for "ethical leadership, the organisation in society, corporate citizenship, sustainable development, stakeholder inclusivity, integrated thinking, and integrated reporting". Not only is this the case, but since King II there was already a vivid emphasis on stakeholder engagement which was further amplified in King III as an essential aspect of inclusive value creation. The proposed CCE framework builds on The King reports by emphasising context, group dynamics, and implementation strategy as fundamental elements for organisations to consider when engaging with society in order for them to achieve the triple-bottom-line targets.

CCE are activities such as assessing the overall context and group dynamics of the communities in which the companies operate to come up with relevant and effective implementation strategies that promote relationship management, responsibility sharing, strategy, alignment, integration, innovation, multi-stakeholder practices, sustainability, results measurement and communication, process, and communication at all levels, social license to operate, and wealth redistribution so as to improve stakeholder relations (Lin, Li & Bu, 2015; Beatley, 2016). These activities can enhance or undermine the relationships between stakeholders. CCE effectiveness therefore reflects the extent to which the CCE activities can be used to enhance stakeholder relations (Mzembe, 2016). Stakeholder relationship outcomes measure the extent to which stakeholder relations can improve or get worse CCE (Shen & Benson, 2016). Cooperative stakeholder relations therefore reflect that CCE has been effective in managing stakeholder relations while adversarial stakeholder relations reflect that CCE has not been effective in managing stakeholder relations (Jansen, 2016). This study suggests that enhanced stakeholder relations can lead to outcomes such as improved economic, social, and environmental development (James, 2016; Mzembe, 2016; Huang, Faysse & Ren, 2017) while undermined stakeholder relations manifest as negative conflict (Jansen, 2016; Owen & Kemp, 2017).

The extractive sector refers to the prospecting, exploring and mining of metals and solid fossil fuels; quarrying of aggregates and industrial minerals; dredging of marine aggregates; and extraction of oil (liquid fossil fuels) and gas (gaseous fossil fuels) from the earth (Schiffrin & Rodrigues, 2013). Essentially, the extractive sector is concerned with the physical extraction of minerals, oil and gas from the earth (Pedro *et al.*, 2017). The focus on the extractive sector was motivated by the acknowledgment of its overall economic contribution nationally and globally, which could be more; yet it continues to be blighted by conflicted stakeholder relations. It is therefore envisaged that a successful CCE framework will help enhance relations and help the sector achieve its full potential.

Although giant strides have been made in recent years in the field of community engagement, there is no evidence to suggest that similar studies have been conducted in South Africa's extractive sector, and more specifically in the Western Cape Province of South Africa, making this study relevant. Shen and Benson (2016) state that community engagement represents the obligations of firms to be responsible specifically to their communities in a manner that goes beyond financial goals. This paper proposes that in addition, an understanding of context (Crane, Matten & Spence, 2013), group dynamics (Shen & Benson, 2016; Hofman, Moon &

Wu, 2017) and implementation strategy (Arjaliès & Mundy, 2013; Baumgartner, 2014; Hah & Freeman, 2014) are the critical success factors necessary to build, develop and maintain successful relations in the extractive sector. The emphasis of the proposed CCE framework on implementation as one of the key variables is because it denotes action and proactivity, and is merely prescriptive as is the case with current forms of community engagement.

The justification for the study is presented next and it reviews the extent to which company-community-relations in South Africa's extractive sector have been dysfunctional. The section also introduces the Mining Charter as a policy document responsible for maintaining relations in the sector, and the challenges it faces. The Mining Charter is further discussed in detail in the literature review in Chapter 2 under extractive sector developments in South Africa (section 2.2).

1.2 JUSTIFICATION OF THE STUDY

Many scholars agree that to manage stakeholder relations, the extractive sector in South Africa requires transformation from its brutal colonial and apartheid history (Capps, 2012; Davies, 2012; James & Rajak, 2014), which bled into tragedies such as Marikana. On 15 June 2017, the Minister of Mineral Resources, Mr Mosebenzi Zwane, revealed the reviewed Broad-Based Black Socio-Economic Empowerment Charter for the South African Mining and Minerals Industry (the 2017 Mining Charter) (section 2.2.3.3). The focus of the new Mining Charter is to uphold relations in the sector, and one of its key provisions is community development, by allocating 8% shareholding to mine communities and identifying projects requiring priority in line with municipality approved Integrated Development Plans. The Mining Charter states that the shareholding of mine communities' trusts are to be managed by the newly established Mining Transformation and Development Agency (MTDA). Minister Zwane said that "South Africa needs a radical economic transformation push that will act as a catalyst for economic growth, job creation and broader participation in key sectors" (Zwane, 2017).

The Mining Charter has, however, come under immense criticism with communities claiming that it does not elaborate on how the economic transformation agenda will be achieved (White, 2017; Katz-Lavigne, 2017). The proposed CCE framework outlines the processes of and need for ongoing iterative economic transformation (section 3.3.5.8). Other stakeholders also accuse the Mining Charter of lacking clarity as a policy document, specifically on the processes for community development and the role of the Mining Transformation and Development Agency

(Mathews, 2017). For example, the ruling African National Congress party were concerned by the impact this legislation could have on employment in the sector (McKay, 2017; Botha, 2017). The Chamber of Mines complained over lack of consultation by the Ministry of Mineral Resources (Groenewald, 2017) and expressed fears that the new charter could "kill the goose that lays the golden egg". The Board of the Bench Marks Foundation claimed that the new Mining Charter lacked adequate consultation with affected communities and stakeholders which was likely to worsen stakeholder relations in the sector. If companies did not understand or agree to the provisions of the Mining Charter, they would not comply (McKay, 2017; Botha, 2017; Groenewald, 2017; Daily Maverick, 2017). This will consequently affect the quality of community engagement initiatives, further leading to non-compliance with societal expectations, and ultimately resulting in conflicted relations. Given this background, it seems apparent that the Mining Charter requires improvements to be embraced by concerned stakeholders in the extractive sector as a policy document that will address their needs. The adoption of the proposed CCE framework is hoped to improve the processes and content of the Mining Charter, its validity and enforceability, and to improve the general policy development framework in South Africa.

The community engagement pyramid developed by Carroll (1991) depicted an organisation as having four types of responsibilities: economic, legal, philanthropic, and ethical (section 3.2.2). The economic responsibility of the firm is to earn profits; the legal responsibility is to obey society's laws; the ethical responsibility is to do more than what is expected of the firm; and the philanthropic responsibility is for the firm to use its discretion to discharge assistance in priority areas. This study suggests that the legacy of apartheid would require that another layer, which is pertinent to South Africa, be added to Carroll's CSR pyramid, and should be appropriately named, *restitution responsibility*, which essentially should be about payback for the wrongdoings of the past. The proposed CCE framework further advocates that an understanding of contextual background plays a pivotal role in enhancing stakeholder relations. It is hoped that this thesis will contribute to the existing body of knowledge by increasing understanding of the effectiveness of CCE within stakeholder relationship management and the broader strategic management discipline.

The Institute of Directors in Southern Africa (2016) (section 2.2.3.2) supports the concept of community engagement by emphasising the need for organisations to live by the triple bottom line: economy, society and the environment. In this context, the report stresses the importance

of “creating value in a sustainable manner, making more but with less to meet the needs of a growing population and the reality of dwindling natural resources”. King IV builds on its predecessors and continues to promote the concept of sound corporate governance as a critical ingredient in good corporate citizenship (King IV Report, 2016). This study persuades that a good CCE framework should acknowledge that an organisation does not operate in a vacuum but is an important part of society that should be accountable to current and future stakeholders, thereby justifying the need to carry out this study.

Furthermore, communities accuse businesses of profiteering at their expense (Arce & Miller, 2016), unfair royalties (Webster, 2017) and neglecting their duty of care to the environment (Buckler, 2017; Mathende & Nhapi, 2017; Ross, 2017). Acid Mine Drainage (AMD) was cited as a clear indication of negligence on the part of extractive companies and is currently one of the world's biggest environmental threats, second only to climate change (Lema, 2016; Broad, & Fischer-Mackey, 2017). Some local communities view efforts by extractive companies as good public relations activities or mere gestures of philanthropy, rather than genuine attempts at engaging with them (Obisanya, 2017; Akinsulore, 2016; Cheruiyot. & Tarus, 2017). Evidence shown by the monitoring mechanisms on legislation governing the engagement practices of extractive companies with local communities show that there is “more talk than walk” as most companies have not yet fully implemented community engagement programs (Dube & Maroun, 2017; Moomen & Dewan, 2017). Communities also blame government for political interference and corruption, and for not consulting them about policies that affect their livelihoods (Scherer *et al.*, 2016; Joseph *et al.*, 2016). The myriad challenges highlighted above are a clear indication that current community engagement initiatives have not succeed in achieving intended objectives, thereby amplifying the need for the proposed CCE framework.

1.3 PROBLEM STATEMENT

Stakeholder relationship management in the extractive sector is important. However, despite its acknowledged usefulness, both theoretical knowledge and empirical evidence concerning CCE amongst stakeholders remains ineffective (Crane & Matten, 2016). The management of relationships amongst stakeholders in the extractive sector would be effective if CCE were used to achieve stakeholders’ expectations (Waritimi, 2012). Cases such as Marikana would be avoided if community engagement were effective (Lawrence & Weber, 2014). Meeting stakeholders’ expectations is crucial for improved stakeholder relationship management in the extractive sector.

Many developing nations with vast mineral resource wealth are experiencing declining or negative economic growth partly due to the ineffectiveness of relationship management amongst stakeholders (Crane & Matten, 2016). This points to the fact that current community engagement practices have failed to break the impasse. Companies are accused of failing to live by the requirements of the triple bottom-line: economy, society and the environment (King IV, 2016). However, striking a balance is usually a daunting task as communities accuse organisations and government of failure to consult widely and meaningfully (Hirson, 2017), not communicating (Marais, 2013; Manson, 2013), poor CSR implementation strategy (Muthuri, 2013), profiteering (Nattrass, 2014), and neglecting their duty of care to the environment (Zarenda, 2014). Existing research on community engagement has largely focused on the motives for engaging communities, yet the actual effects of such actions remain under-researched and uncovered (Alshareef & Sandhu, 2015). Evidence from the few studies done so far has been at best mixed and inconclusive, partly because studies have not seriously tried to develop a CCE framework that will enhance stakeholder relations in the extractive sector (Crane, Matten & Spence, 2013; Munro, 2013; Athanasopoulou & Selsky, 2015). The limited discussion in the literature on CCE continues to constrain stakeholder relations in the sector, thereby warranting academic interest, and making this study useful, relevant and practical. The study therefore addresses the need for a corporate community engagement framework that would be successful in enhancing stakeholder relations in the extractive sector in Western Cape Province of South Africa.

1.4 AIM OF THE STUDY

The aim of this study was to not only amplify the value of, but also develop a CCE framework that will enhance stakeholder relations in the extractive sector with the Western Cape Province of South Africa as a case-study. In coming up with the research objectives, the researcher considered the *FINER framework*; that is the research objectives had to be feasible, interesting, novel, ethical, and relevant.

1.5 RESEARCH OBJECTIVES

1.5.1 Main objective

To achieve the aim, the study developed a CCE framework aimed at enhancing stakeholder relations between extractive sector companies and their host communities in the Western Cape Province of South Africa.

1.5.2 Sub-objectives

The following sub-objectives were addressed:

1. To understand the meaning of CCE from the perspective of the relevant stakeholders
2. To determine the motives of extractive companies for undertaking CCE
3. To investigate how extractive companies were complying with CCE requirements
4. To investigate the implementation strategy used by extractive companies in conducting CCE
5. To investigate local communities' role in the engagement process
6. To establish the outcomes of an effective CCE framework

1.6 RESEARCH QUESTIONS

Based on the problem statement, these research questions were identified:

1. What is the meaning of CCE from the perspective of the relevant stakeholders?
2. What are the motives of extractive companies for undertaking CCE?
3. How are extractive companies complying with CCE objectives?
4. What implementation strategies are used by extractive companies in conducting CCE?
5. What is local communities' role in the engagement process?
6. What are the outcomes of an effective CCE framework?

1.7 THEORETICAL FRAMEWORK

Several theories have been developed to help understand and explain stakeholder relationships. This study adopted corporate social responsibility (CSR) as the overarching theory guiding development of the proposed CCE framework (section 3.2). According to Bowen (1953), CSR refers to companies' commitments to follow desirable "policies, decisions, or lines of action in terms of society's objectives and values" (section 3.2). The development of CSR is informed

and supported by the pyramid of CSR (section 3.2.2), Corporate Social Performance (CSP) (section 3.2.3), and the stakeholder approach (section 3.2.6). However, scholars opine that CSR in its current form has not succeeded in managing stakeholder relations (Crane & Matten, 2016; Grant, 2016). This has led to the development of CCE (section 3.3), which is viewed as a remedy to the shortcomings of CSR. This research persuades the notion that CCE is a subset within CSR.

Carroll (1979)'s CSR pyramid was used in this study to provide the four layers of responsibilities necessary for the CCE framework to be successful. These responsibilities are: economic, legal, ethical, and discretionary. The economic responsibility meant firms ought to earn profits; the legal responsibility compelled firms to obey society's laws; the ethical responsibility required business to do what is right even when not forced to do so by law; and the philanthropic responsibility directed firms to use their discretion to address priority issues. To understand the Pyramid's true relevance, Crane and Matten (2016) suggested that businesses and scholars should strive to find practical solutions to community engagement. The discussion on Carroll (1979)'s CSR pyramid is important to the development of the context variable for the proposed CCE framework.

Wood (1991)'s Corporate Social Performance model was used in this study to provide a framework that went beyond merely identifying typologies of responsibilities to encouraging responsible business behaviour, focussing on processes and outcomes of performance (Ahmed *et al.*, 2014; Siltaoja, 2014). The CSP model required that "a firm's social responsibility actions be split into three levels, namely: institutional, organisational and individual" (Athanasopoulou & Selsky, 2015). "A firm's social responsibility actions might emanate from the legitimacy principle at the institutional level" which requires it to maintain credibility and legitimacy when dealing with other stakeholders (Young & Makhija, 2014; Thornton, Ocasio & Lounsbury, 2015). Alternatively, the firm should have a "sense of public responsibility, particularly for outcomes related to the firm's primary and secondary activities" (Fowler, 2013). Finally, the firm should be guided by its choice of "individual managers and their personal responsibility preferences and inclinations" (Athanasopoulou & Selsky, 2015). The discussion on Wood (1991)'s CSP model is particularly important to the development of the group dynamics variable for the proposed CCE framework.

The stakeholder theory (Freeman, 1984) was discussed in this study to help explain how companies and communities relate with each other (section 3.2.4). For example, companies

need communities to grant them a social license to operate (SLO) in their area (section 3.3.6). The SLO is a reflection of the acceptance levels of companies by local communities and other stakeholders (Parsons, Lacey & Moffat, 2014; Hall, 2016). The concept is based on the idea that companies need both government and society's permission to operate (De Leaniz & Gómez-López, 2017). In addition, the stakeholder theory provided the guidelines for identifying the key stakeholders for this study, namely companies and communities. For example, in the case of South Africa, most local communities are non-contractual stakeholders and their relevance is only brought to prominence by the potential risks posed by the extractive companies' activities. Freeman (1984) defined a stakeholder to be "any group or individual who can affect or is affected by the achievement of the organisation's objectives". The model stressed the need for organisations to identify who the other stakeholders were, what their interests and expectations were, and how they could be met (Harrison, Freeman & de Abreu, 2015; Mitchell *et al.*, 2015). Several scholars have supported Freeman (1984)'s definition of a stakeholder by stressing the need for any stakeholder to possess a stake or more "stakes, ranging from an interest, right, ownership, or legal title to firm assets" (Carroll & Buchholtz, 2014; Crane *et al.*, 2014; Colvin, Witt & Lacey, 2016). Sen and Cowley (2013) and Harrison, van der Laan and Smith (2015) contend that a stakeholder would have to carry some risk after investing in community engagement projects. Freeman (1984)'s definition of a stakeholder was also supported by Mitchell *et al.* (2015) who perceived stakeholders as those groups who are able to make their stakes known and "have the ability to influence or be influenced by the firm". The discussion on stakeholder theory also helped in the development of the both the context and group dynamics variables for the proposed CCE framework.

1.8 CONCEPTUAL FRAMEWORK FOR CORPORATE COMMUNITY ENGAGEMENT

The ultimate goal for a successful CCE framework is to improve stakeholder relations (Huang, 2010; Zarrella, *et al.* 2010; Wushe, 2014), which is the basis upon which this study was conceived. CCE is about value addition and, as Mathende and Nhapi (2017) rightly put it, CCE "should not be confused with a company's obligations to mitigate or compensate local communities for environmental and social impacts caused by their project". Busacha (2013) and Wushe (2014) concur that CCE can be used as a tool that amplifies the way an organisation practices its ethics. Studies in the US and UK have observed that the focus with CCE was on delivering benefits for both businesses and communities (Zarrella, *et al.* 2010). The argument

is that, when stakeholder relations are good, company productivity and profitability increases (Servaes & Tamayo, 2013; Malik, 2015; Flammer, 2015; Saeidi *et al.*, 2015; Bajic & Yurtoglu, 2016), which leads to development of host communities (Wallerstein *et al.*, 2014; Brew *et al.*, 2015; Mathende & Nhapi, 2017). Accordingly, literature confirms that CCE represents the obligations of firms to be responsible specifically to their communities in a manner that goes beyond earning profits (Grant, 2016; Hopkins, 2016).

The conceptual CCE framework presented in Figure 6.1 (section 6.2) is a culmination of extensive literature review, which revealed that context (Perry, 2012, Yin & Zhang, 2012; Crane, Matten & Spence, 2013; Kim *et al.*, 2013), group dynamics (Yin & Zhang, 2012; Wirl, Feichtinger & Kort, 2013; Shen & Benson, 2016; Hofman, Moon & Wu, 2017) and implementation strategy (Arjaliès & Mundy, 2013; Baumgartner, 2014; Hah & Freeman, 2014) were the critical success factors necessary to build, develop and maintain successful relations in the extractive sector. Literature has further confirmed that developing a successful conceptual CCE framework is an “iterative, multi-step process with some steps taken internally by the company and others requiring engagement, feedback, and multi-stakeholder processes” (Wallerstein *et al.*, 2014, Brew *et al.*, 2015, Mathende & Nhapi, 2017). In view of these relationships, the thrust is on businesses and researchers to test the applicability of the proposed CCE framework to different environments and contexts. This is because the application of CSR in its current forms has largely been unsuccessful in improving stakeholder relations (Pondar & Jancic, 2006; Vivoda, 2013; Wushe, 2014).

1.9 SIGNIFICANCE OF THE STUDY

The unique contribution of this study is in its attempt to develop a corporate community engagement framework which is context specific and considers the group dynamics of the concerned stakeholders. Existing literature shows that previous studies have focused on community engagement as a compliance framework, rather being descriptive in finding solutions that work. The few studies on CCE have tended to focus on the understanding of CCE from the firm’s perspective. This study sought to understand CCE from the perspective of both extractive companies and host communities. It is hoped that the study will assist extractive companies to have an even better understanding of the expectations of the local communities, in order to be able to plan and implement their engagement efforts successfully. The adoption of the proposed CCE framework is hoped to improve the processes and content of the Mining Charter; its validity and enforceability, and to improve the general policy

development framework in South Africa. It is also hoped that the thesis will contribute to the existing body of knowledge by increasing understanding of the effectiveness of CCE within stakeholder relationship management and the broader strategic management discipline.

1.10 METHODOLOGY

Methodology refers to a meticulous practical process of approaching a problem so as to devise a solution (Thomas, Silverman & Nelson, 2015; Sekaran & Bougie, 2016; Creswell & Poth, 2017; Kaplan, 2017). A pragmatic philosophical assumption was adopted because it is concerned more with what works and uses all available approaches to understand and find solutions to the problem (Eriksson & Kovalainen, 2015). The study population consisted of 613 684 employees drawn from the eight (8) major mining communities in the Western Cape Province. Because of the mixed methods nature of the study, sampling strategies for both quantitative and qualitative data collection were used. A sample size of 16 CCE employees from eight (8) companies purposefully selected from each of the major mining communities was used to collect qualitative data and 384 survey respondents were used to gather quantitative data from residents of the host communities. The qualitative data received were transcribed, codified into thirteen themes, and then analysed using the Cohen Kappa method of content analysis. Meanings derived from the 13 key themes were explained in relation to how they addressed each research question, specifically on understanding of CCE by companies, motives for conducting CCE, company CCE compliance, implementation strategy, role of local communities, and outcomes of CCE. Quantitative data were analysed using SPSS, and Cronbach's Alpha statistic was also used to ascertain the internal consistency of the construct items of the quantitative findings.

1.11 CREDIBILITY OF THE STUDY

For this study to be credible and acceptable, validity and reliability are discussed in detail in section 4.7 under content validity and reliability.

1.12 ETHICAL ISSUES

The research adhered to all prescripts of conducting ethically sound research by maintaining, *inter alia*, confidentiality and anonymity of participants. Also, the aims and objectives of this study were communicated to all parties with the view to soliciting their informed consent. Section 4.9 discusses ethical issues in detail.

1.13 DEFINITIONS OF THE KEY TERMS

The following operational definitions were adopted to give clarity and to be understood in the context of this research.

Corporate community engagement

CCE are activities such as assessing the overall context and group dynamics of the communities in which the companies operate using community based participatory implementation (CBPI) strategies that help organisations and communities achieve their objectives and values, thereby improving stakeholder relations.

CCE is described in this study as activities such

Community-Based Participatory Implementation strategy

CBPI must be viewed as a multi-stakeholder approach to planning and implementing community projects in which the community members work in tandem with company representatives, by contributing expertise, decision-making and project ownership.

Extractive sector

The physical extraction of minerals, oil and gas from the earth.

Context

A set of circumstances that influence the business, community and operational setting of a mining (extractive) community.

Group dynamics

The structural, individual and relational dynamics of the actors, institutions, and networks.

Implementation strategy

A method for delivering corporate community engagement.

1.14 LAYOUT OF THE STUDY

The rest of the thesis is laid out as follows:

Chapter 2: South Africa and Global Lessons Learnt - provides an overview of the historical development of SA's extractive sector and lessons from other parts of the world.

Chapter 3: Literature Review - presents a comprehensive literature review of the study, including the theoretical framework. It explores CSR theory in detail, and four other sub-theories essential in laying the foundation for the proposed CCE framework. It also builds on the fundamental philosophy applicable across all chapters of this study. The chapter identifies the gap in knowledge, which therefore forms the motivation for conducting this study.

Chapter 4: Research design and methodology – describes the research philosophy, design and methodology followed in in this study to address the research objectives. The justification for choosing a exploratory sequential mixed methods approach is presented. The methodology used to collect and analyse the qualitative and quantitative data is documented. The study limitations and ethical issues of the applied methodology are also discussed.

Chapter 5: Research findings – presents the qualitative and quantitative results.

Chapter 6: Discussion of results - analyses and discusses the implications of results.

Chapter 7: Conclusions and Recommendations – this is a conclusion of the thesis which presents the summary of research questions and objectives; conclusion based on the literature review, key variables and outcomes, and empirical results; strategic options and recommendations, the value contribution of the study; and research limitations.

1.15 CHAPTER SUMMARY

This chapter has provided a detailed discussion of the justification for the study, research objectives and questions, theoretical and conceptual framework, significance of the study, methodology, ethical issues and study layout. The next chapter reviews literature on historical developments in South Africa's extractive sector, global lessons learnt on CCE, and how these could contribute towards the proposed conceptual framework.

CHAPTER 2

LITERATURE REVIEW: SOUTH AFRICA EXTRACTIVE SECTOR DEVELOPMENT AND GLOBAL LESSONS LEARNT

2.1 INTRODUCTION

Chapter 1 provided an overview of the study. This chapter presents a literature review on historical developments in South Africa's extractive sector to reveal the research background and expose the research problem. Global lessons learnt are also reviewed to help address the research objectives. The literature review on the extractive sectors of Peru, Australia, Ghana and the USA focuses mainly on the nature of conflict, CSR initiatives implemented, and the lessons learnt, and how these help to address the research objectives.

2.2 EXTRACTIVE SECTOR DEVELOPMENTS IN SOUTH AFRICA

This section briefly discusses South Africa's apartheid background and the impact it continues to have on the economy, society and environment. Recent developments in the extractive sector are also discussed, focussing mainly on the new Mining Charter.

2.2.1 Historical developments of CCE in South Africa's extractive sector

The subsection suggests the usefulness of adopting a holistic and historical perspective to addressing South Africa's extractive sector challenges. It also underlines the importance of taking into account the evolving regulatory frameworks within which extractive activities take place in order to consider the changing roles played by both companies and communities. Given this background, it then becomes possible to focus on issues of context, group dynamics, and implementation strategy, which the proposed CCE framework suggests are critical success factors in maintaining stakeholder relations in the extractive sector.

From the 1870s, South Africa went through a phase of rapid industrialisation and economic changes commonly referred to as the "mineral revolution" (Hart & Padayachee, 2013), which saw the country transform from several agrarian states to a unified industrial nation (Marais, 2013). The mineral revolution also led to rapid infrastructure development as masses migrated to urban centres which also resulted in rapid urban growth (Harrison & Todes, 2015). The increasing demand for farm produce in urban centres incited the establishment of South Africa's agricultural sector, transport networks and communications infrastructure (Atkinson, 2014).

The railway and road networks were greatly expanded to link places. Ports such as Durban and Western Cape Province of South Africa expanded significantly to cope with the boom in commercial and immigration activities, which resulted in significant development in South Africa (Freund, 2010; Turok, 2012; Jedwab & Moradi, 2016). This background is critical in highlighting the context of the extractive sector (section 3.3.2).

The mineral revolution and the advent of apartheid impacted on society significantly and the ramifications are still felt today (Stevens, Duncan & Hook, 2013; Bakiner, 2013; Collins, 2013; Mkhize, 2015). The discovery of minerals led to population booms in and around mining towns, which led to major changes in the country's demographics (Weng, 2013; Jones & Muller, 2016). The young black men from the neighbouring African states provided the much needed hard labour for the mines. They earned meagre earnings from working in the mines which would allow them to buy cattle and guns when they returned home, and to pay hut taxes (Mandela, 2013; Carton, 2014; Elphick & Giliomee, 2014). Higher salaries were paid to white workers even if they were on the same level as their black counterparts (Mandela, 2013). Mining communities were predominantly inhabited by black men who were prohibited from living permanently in cities and towns as they were reserved for whites only (Carton, 2014; Elphick & Giliomee, 2014). African men lived in crowded single-sex hostels at the purpose-built mining compounds and were not allowed to bring their wives and children, because these were considered to be superfluous appendages (Mandela, 2013; Carton, 2014; Elphick & Giliomee, 2014). In later years, women were allowed to live in these communities so that they could provide domestic labour for white families (Mandela, 2013; Carton, 2014; Elphick & Giliomee, 2014). The impacts of apartheid on society have remained in South Africa many years after its independence. The sight of white patrons and black waiters at most of Cape Town's hotels and restaurants is a residue of a class society that was created by apartheid. These wealth disparities have been a major source of conflict in most of South Africa's sectors, particularly the extractive sector, leading to tragedies such as Marikana. An understanding of the mineral revolution is also important in understanding the extractive sector context.

The mineral revolution also impacted heavily on the environment and human health and continues to do so even today (Durand, 2012; Kolk & Lenfant, 2013; Goudie, 2013). This again is an assessment of the contextual factors affecting the sector; particularly from an environmental perspective. The increase in number of protests by environmental groups, such as those witnessed at the Mining Indaba in Cape Town in June 2017 are testimony to the

environmental damage caused by extraction. The environmental impact of extractive operations includes air and water pollution, erosion, the formation of sinkholes, loss of biodiversity, and acid mine drainage which is contamination of the soil, groundwater and surface (Byrne, Wood & Reid, 2012; Durand, 2012; Mhlongo & Amponsah-Dacosta, 2016). Again, an understanding of the environment is critical in understanding the extractive sector context.

The social context of the country after the apartheid era was marked with inequalities in all spheres of the triple-bottom-line (Hall & Pfeiffer, 2013; Stewart, 2016). Since 1994, Gostin, Wiley and Frieden (2015) contend, the government has made giant strides in closing the inequality gap through provision of various social, private and public initiatives. Even though the Companies Act of South African does not force firms to conduct community projects, the Mineral and Petroleum Resources Development Act Policy, which is the country's policy document in this regard (discussed in detail in section 2.2.2.4), and the King reports (section 2.2.2.2) address why it is beneficial for companies to appreciate the importance of other stakeholders and to adopt the "triple-bottom line" approach (Osemeke, Adegbite & Adegbite, 2016). In particular, the adoption of the King reports as a guide to best corporate governance practices in South Africa, also helps push the triple-bottom-line agenda.

The preceding discussion on historical developments briefly gave a context to the South African extractive sector, most importantly the reason why community engagement almost always resonates with programs that are intended to benefit black people in South Africa. It is clear from the discussion that purposefully built mining compounds in South Africa, and by extension host communities, are inhabited predominantly by poor black people who almost always rely on the handouts of the extractive companies because of a supremacist apartheid system that gave privileges to a white minority at the expense of the black majority.

The discussion was particularly instrumental in addressing research objective 1: *understanding CCE from the perspective of the relevant stakeholders*. It seems from the discussion that during the apartheid era extractive companies had little understanding of community engagement and were thus not bothered with maintaining relations with other stakeholders, instead choosing a system of separatism for staff and communities in terms of salaries and living conditions amongst races. The discussion also addresses research objective 2, which is: *motives for undertaking CCE by extractive companies*. It seems companies were mainly concerned with reaping higher returns on investments (profiteering) by hiring cheap

labour and providing them with cheap accommodation whilst they made huge profits. Research objective 3: *corporate compliance with CCE*, is also addressed. It is clear that companies had no regard for CCE and therefore did not comply. The three research objectives were critical in assessment of the historical and contextual background.

2.2.2 The extractive sector and CCE in perspective

There is abundant evidence to show that the extractives sector has undergone major transformation over the years. The prominence of the global village and increasing mineral prices have contributed to the growth of the extractive sector (Davis & Franks, 2014). This rapid expansion has resulted in the extractive sector becoming increasingly influential across the globe. The need for firms to engage in community activities beyond what is expected of them has been the driving force behind this increasing influence. Friedman's traditional view of a corporation being only a profit making entity is fast losing credence. The focus currently is on building reputation and sustainable community development (Tiller, 2017).

The invasive nature the extractive sector has the capacity to evoke host community hostilities. This has amplified the need for a CCE framework that can actually be successful in managing stakeholder relations. There has been numerous calls dating as far back as the 1970s for corporations to mitigate the impact of the destructive nature of extractive activities in the communities they operate. Those calls have not been fully heeded and thus CCE has been slow at evolving. However, communities have become actively involved in how resources within their localities are managed and this seems to have been working because in recent times more companies have been seen to be putting in place measures beyond expectations (Kamminga, 2015). Also, the negative publicity and bad reputation attached to alleged human rights abuses by extractive companies comes at a cost, and thus "there has been a proliferation of industry-led codes of conduct based on the principles of CSR in its various forms" (Bice, 2016; LeBaron & Rühmkorf, 2017).

It would seem there is a genuine desire for sustainable development by extractive companies in the sector. However, there is an apparent disconnect in the concerted efforts to do well in the eyes of the communities and the continued allegations of human rights abuses within the sector (Alexander, 2013; Jenkins, 2014; Warner & Sullivan, 2017). Numerous studies have shown that conducting CCE activities will benefit both companies and communities if done properly. Many studies, including this current one are making efforts to change the perception

that CCE is a mere philanthropic gesture intended to appease host communities for gross human rights violations to one where extractive companies are seen as genuine ambassadors of sustainable community development. It would also seem important, and ultimately necessary, for corporations to practically align the proposed CCE framework into their business philosophy if they are to be successful in managing stakeholder relations.

2.2.3 The current status of CSR in South Africa's extractives sector

In fairness, the extractives sector in South Africa has increased foreign direct investment (Anyanwu, 2012; Marino, 2014), export earnings (Kaplan, 2012; Marais, 2013), government revenues, gross domestic product (GDP) and job growth (Campbell, 2012; Gajigo, Mutambatsere & Mdiaye, 2012); but in a way that has not meaningfully enhanced local communities' development (Alexander, 2013). The enactment of the 2017 Mining Charter was an attempt by the South African government to respond to developmental needs of mining communities (Beresford, 2012; Kingma, 2016). Scholars however described these attempts as a light-touch way of correcting deep-rooted market failures of the apartheid system (Barbarin, 2013; Marais, 2013, Tomaselli, 2013).

Even though there have been significant strides towards implementing community engagement initiatives that result in sustainable development in SA's extractives sector, business and scholars agree that government cannot continue to act as the sole "social change agent and problem solver" as companies must also take a larger role in social and community projects. Mandina, Maravire and Masere (2014) contend that companies must realise the importance of working in tandem with other stakeholders in achieving social good. According to Polity (2012), Epstein and Buhovac (2014) and Grant (2016), their vision must shift from focussing on shareholder value to a more encompassing one that seeks to address the interests of other stakeholders. It is this study's view that firms cannot continue to ignore the power of pressure groups that continue to instigate social change (Fowler, 2013). According to Malsch (2013), the considerable pressure on extractive companies has come about mainly because of their perceived lack of consideration for host communities and perceived failure to address the triple-bottom-line (discussed in detail in section 3.3.1).

2.2.3.1 The legal framework for CSR in South Africa

The legal framework in SA compels extractives companies to engage in community development programs. Research has shown that the South African government has played an

instrumental role in persuading for community engagement efforts as firms seek to comply with the Black Economic Empowerment (BEE) legislation. The highlight of BEE is that it forces companies operating in South African to involve stakeholders when conducting CCE. Companies that are not compliant with the BEE scorecard are rated negatively which could stifle their productivity. Busacca (2013) suggests that companies must not view BEE merely as a punitive redress mechanism for managing economic imbalances brought about by apartheid, but also as a tool for empowering affected communities and stakeholders. This study suggests that BEE should seek to promote local community development in terms of the triple-bottom-line. Because of the impact that BEE has had, companies of all sizes and from various sectors are starting to show interest in socially responsible practices (Mparadzi, 2014). The study further suggests that if companies addressed the triple-bottom-line concerns, they would stand a chance of realising increased productivity and profitability as society would want to align with them.

2.2.3.2 *The King Reports – the “Codex” of South African CSR*

The King Reports is the codex of SA’s engagement initiatives. According to De Villiers and Alexander (2014) and Leipziger (2017), King’s reports are a set of guidelines for corporate governance in SA. The discussion on the King reports helps address research objective 4: *implementation strategy*. Although not compulsory, they act as convincing guidelines for good corporate governance in SA and their adoption is highly encouraged (De Villiers & Alexander, 2014). The King I Report came out in 1994 and was aimed at encouraging good corporate governance by boards of directors (Adeoye, 2015). The King II Report came out in 2002 with the purpose of presenting seven key corporate governance elements, namely: “discipline, transparency, fairness, social responsibility, independence, accountability and responsibility”. The King III Report was made available in March 2010 and emphasised the need for corporates to conduct sustainable, ethical and multi-stakeholder community engagement initiatives (Makiwane & Padia, 2013). In November 2016, The King IV™ Report came out with the intention of strengthening previous editions by emphasising holistic corporate governance as being crucial to good corporate citizenship. This study argues that a good CCE framework should acknowledge that companies do not operate in isolation, but is a vital component of society which must be accountable to present and future stakeholders, thereby justifying the need to carry out this study.

2.2.3.3 *Reflections on the prescripts of the SA Mining Charter*

The discussion on the Mineral and Petroleum Resources Development Act (MPRDA) addresses research objective 3: *CCE compliance by extractive companies*. On 26 January 2015, President Jacob Zuma referred back to Parliament the much anticipated MPRDA Amendment Bill and one of the reasons was that the Bill had not been referred to the National House of Traditional Leaders (NHTL) for review in line with the consent principle as enshrined in customary law, which stipulates that extractive companies should consult with communities (Maharaj, 2015). The Bill also failed to address issues regarding housing and living conditions for the extractive sector (Daily Maverick, 2017; Mail & Guardian, 2017).

On 1 November 2016 the MPRDA Amendment Bill No 15 of 2013 (Bill) was passed by the National Assembly and transmitted to the National Council of Provinces (NCOP) for concurrence. However, the Bill was again returned to the Select Committee on Land and Minerals in the National Council of Provinces (NCOP) for further adjustments (Mail & Guardian, 2015). The Centre of Environmental Rights (CER) was concerned that the Bill did not address issues of consultation, compliance, women and community participation (Fin24, 2017). The CER was also concerned that some MPRDA amendments relating to the environment were not aligned to the National Environment Management Act (NEMA) (Mail & Guardian, 2017). The National House of Traditional Leaders (NHTL) on the other hand, wanted the Bill to specifically ensure a minimum unencumbered net value ownership of at least 26% for historically disadvantaged South Africans (HDSA) (Daily Maverick, 2017).

On 15 June 2017, the Minister of Mineral Resources, Mr Mosebenzi Zwane, revealed the reviewed Broad-Based Black Socio-Economic Empowerment Charter for the South African Mining and Minerals Industry (“the 2017 Mining Charter”) titled *An Instrument of Change: Giving Practical Expression to Radical Economic Transformation*. Minister Zwane stated that the new Mining Charter was a key instrument for radical change, designed to address many of the inequalities in the mining and minerals sector prior to 2002. The Minister allocated 8% shareholding to mine communities, to be held through a trust which was to be created and managed by the Mining Transformation and Development Agency (MTDA). The purpose of this provision was to address the plight of host communities and labour-sending areas by ensuring that communities derive meaningful benefit from their mineral wealth (MPRDA, 2015).

As well-intended as the new Mining Charter may have been, a cul-de-sac emerged as other stakeholders did not receive the Charter well (Daily Maverick, 2017; Mail & Guardian, 2017; Fin24, 2017). The lack of clarity on the Mining Charter as a policy document, specifically on the processes for community development and the role of the Mining Transformation and Development Agency have been a source of conflict between government, the extractive sector and various other stakeholders (Mathews, 2017). Ratings agencies Moody's and Fitch warned that the stipulation to raise empowerment ownership within 12 months was credit negative as it meant extractive companies had to use cash reserves or raise debt to facilitate the equity transfer (Fin24, 2017). Moody's felt that current shareholders were unlikely to support a further dilution of their equity interests (Mail & Guardian, 2017). Fitch also warned that the requirement for extractive companies to top up their black ownership levels from 26% to 30% had cost implications for all mining companies that could reduce cash flows for the sector (Daily Maverick, 2017).

If companies did not understand or agree to the provisions of the Mining Charter, they would not be compelled to comply with it (McKay, 2017; Botha, 2017; Groenewald, 2017; Daily Maverick, 2017). This would consequently affect the quality of CCE initiatives (Groenewald, 2017), further leading to non-compliance with societal expectations, and further eroding relations with communities (McKay, 2017; Botha, 2017). It is hoped the adoption of the proposed CCE framework will help improve the processes and content of the Mining Charter, its validity and enforceability. The ensuing discussion reviews experiences from other parts of the world and the lessons learnt, in order to enhance the proposed CCE model.

2.3 GLOBAL LESSONS LEARNT

The literature reviewed on the extractive sectors of Peru, Australia, Ghana and the USA focuses mainly on the nature of conflict, community engagement initiatives implemented, and the lessons learnt, and how they would help address the research objectives.

2.3.1 The nature of conflict

Being able to comprehend the nature of conflict helps reveal the context within which extractive companies operate. This study argues that context is a key variable of the proposed CCE framework. Context can be split into economic, social, and environmental, as informed by the triple bottom-line requirements. Triscritti (2013) and Helwege (2015) reported that Peru's open-pit mines accounted for 80% of Peru's gold production. However, there were

numerous cases of violent resistance to these projects, including taking of hostages and damage to company property because companies were neglecting their duty of care to the environment (Prno, 2013; McDonell, 2015; Burt, 2016). In Ghana, communities were concerned that extractive companies were not implementing sound environmental management practices, leading to protests (Nyame & Grant, 2014; Lawson & Bentil, 2014). Australian communities in the Hunter Valley area also raised significant concerns about the potential effects of underground mining activities on commercial vineyards (Gillespie & Bennett, 2012; Moran & Brereton, 2013; Boutilier & Black, 2013; Higginbotham *et al.*, 2014). Similar environmental concerns were raised in the USA's Michigan's Upper Peninsula with communities complaining about acid mine drainage, further straining relations (Sahoo *et al.*, 2013; Simate & Ndlovu, 2014; Bornhorst & Logsdon, 2016).

Local communities in Peru raised social concerns over the Conga mining project declaring that they would not grant the project a "social license to operate" (SLO) unless their demands were met (Prno & Slocombe, 2012; Owen & Kemp, 2013; Moffat & Zhang, 2014; Harvey, 2014; Syn, 2014). The social system in Ghana, which gives tribal chiefs a great deal of power to administer land and compensation, made it difficult for Newmont to address community issues (Nyame & Grant, 2014; Lawson & Bentil, 2014). The Mineral Council of Australia's (MCA) Enduring Value Framework (EVF) stated that a Social Licence to Operate (SLO) was foundational to its commitment to sustainable development (Australia, 2012; Prior *et al.*, 2012). Similarly, in the USA, communities raised concerns over potential lifestyle impacts of mines building the infrastructure needed to support their mining projects, such as the construction of infrastructure such as paved roads, rail networks and power grid expansions (Hossain *et al.*, Gold, 2017; Yakovleva, 2017).

Local communities in Ghana's Newmont-led project had high economic expectations for jobs and business opportunities from the mining company (Johnson, 2017). There was however conflict when the company wanted to relocate the communities from their land, which they had occupied for decades and relied upon for their very livelihood. The economic concerns arose because communities were not sure if they would be compensated for relocation and lost opportunities, and whether the resettlement would meet international standards (Lawson & Bentil, 2014; Owen & Kemp, 2015; Chuhan-Pole *et al.*, 2015).

2.3.2 CCE initiatives implemented

This discussion addresses research objective 4: *implementation strategy*. Newmont mining company at Barrick in Peru mitigated conflict by implementing onsite communication and community relations teams, community grievance management resolution procedures, cleaning services, and water management systems (Alonso, 2014; Carter, 2015). In the New South Wales province of Australia, about 97% of extractive companies committed to environmental management plans (NSWMC, 2010). Newmont, in Ghana's Ahafo District, carried out infrastructural improvements such as drainages, communication networks, and railroads. In the USA, the Michigan legislature facilitated multi-stakeholder work groups which included "state and local government agencies, Native American groups, environmental organisations, academia, and industry" to address corporate-community issues, such as the potential environmental impact from flaking (Gallagher, 2012; Bhan, 2012; Patterson, 2015). The purpose of the workgroup was to provide socio-economic and environmental solutions that were agreeable to all stakeholders (Dixon, 2013; Hunt, 2015).

2.3.3 Lessons learnt

The following lessons were learnt:

i. Manage environmental concerns

As one of the triple bottom line elements, managing environmental concerns was key in obtaining Social Licenses to Operate from the communities (Alonso, 2014; Carter, 2015). Irresponsible environmental practices led local communities in Peru to protest, forcing companies to enhance investments on water and waste management infrastructures (Quijandria, 2012). Newmont mining company in Barrick reinforced its environmental performance by adopting a strict environmental management system (EMS) which included water maintenance measures which resulted in improved water conservation (Wirth *et al.*, 2016; Ross, 2017; Lukasiewicz *et al.*, 2017). In Australia, extractive companies committed to environmental management plans (NSWMC, 2010). In Ghana, companies implemented numerous context-specific initiatives (Mares, 2012; Dery *et al.*, 2015). In the USA, the Michigan project engaged multiple stakeholders (Cournoyer, 2012; Bhan, 2012; Gallagher, 2012; Patterson, 2015). Lessons learnt for South Africa include the application of permits which are depended on how companies address issues of the environmental medium likely to be affected by the mining activities, such as, water, air, waste, and biodiversity. An example of

the use of such legal regimes used in South Africa include water use licences required for water use activities under the National Water Act.

ii. Manage societal concerns

Another element of the triple bottom line was managing societal concerns. In the USA's Michigan's Upper Peninsula extractive companies conducted various surveys to establish livelihood insights on communities which helped develop more effective community engagement initiatives (Bhan, 2012; Hunt, 2015; Patterson, 2015). The 2017 Mining Charter was a key instrument designed to address many of the inequalities in the mining and minerals sector. The Minister allocated 8% shareholding to mine communities, to be held through a trust which was to be created and managed by the Mining Transformation and Development Agency (MTDA). The purpose of this provision was to address the plight of host communities and labour-sending areas by ensuring that communities derive meaningful benefit from their mineral wealth (MPRDA, 2015).

iii. Manage economic concerns

Economic rent sharing is an important economic concern for extractive sector communities (Lawson & Bentil, 2014; Owen & Kemp, 2015; Chuhan-Pole *et al.*, 2015). Communities often ask the question, '*What is in it for us?*' The Peru government established the Canon Minero to transfer corporate tax collected from extractive companies to local and regional governments (Alonso, 2014; Carter, 2015; Johnson, 2017). Some of the collected revenue was used to fund community projects (Alonso, 2014; Carter, 2015). The South African Government adopted a Reconstruction and Development Programme (RDP) as its national strategy to combat poverty and unemployment.

iv. Time and resources invested in CCE impacts company community relations

In Peru, Newmont mining company adopted two contrasting community engagement approaches at Yanacocha and Barrick aimed at enhancing company-community relations and promoting sustainable community engagement practices (Ross, 2017; Lukasiewicz *et al.*, 2017). At Barrick, the company adopted measures that were in line with what the local communities wanted, resulting in improved relations and reduced cases of conflict. At Yanacocha, Newmont hinged its legitimacy to operate on the mining claims granted it by

government. This backfired as local communities denied them the SLO, thus forcing the company to close (Moffat & Zhang, 2014; Syn, 2014). In another case, good results were achieved in Ghana's Newmont project when it employed a critical mass of experienced and motivated staff and top management (Nyame & Grant, 2014; Lawson & Bentil, 2014). The allocation of 8% shareholding to mine communities under the 2017 Mining Charter was an effort by government to compel extractive companies in South Africa to invest in CCE.

v. Reputation impacts company community relations

Newmont's negative reputation in Yanacocha meant the Conga project would not be accepted by the community. However, the positive reputation it built in Barrick enabled it to be accepted and to last more than two decades in Cajamaraca (Hilson, 2012; Roper & Fill, 2012; Melo & Garrido-Morgado, 2012; Davis & Franks, 2014). Over the years, Newmont has become a signatory to a number of CCE initiatives, such as the International Council of Mining and Metals (2001), the UN Global Compact (2004), and the Voluntary Principles on Security and Human Rights (Ross, 2017, Lukasiewicz *et al.*, 2017). Following the Marikana incident of 2012, the extractive sector has a way to go to rebuild trust among the South African communities that provide the labour force.

vi. Government institutions impact company community relations

The failure by government to act in good faith during corporate community engagements often escalated matters (Epstein & Buhovac, 2014; Carroll & Buchholtz, 2014). In Peru, both companies and communities no longer trusted government to act as a reliable mediator when called upon (Melo & Garrido-Morgado, 2012; Davis & Franks, 2014). The South African government has therefore seen the need to act genuinely when dealing with corporate community issues (Ahmed *et al.*, 2014; Crane & Matten, 2016). The Black Economic Empowerment Legislation and the Mineral and Petroleum Resources Development Act (MPRDA) are examples of efforts made by government promote relations between companies and communities.

vii. Communication has a direct impact on company community relations

The intensity of conflicts forced companies to consult more with their local communities (Kemp & Owen, 2013; Moffat & Zhang, 2014; Cornelissen & Cornelissen, 2017). In Peru,

Barrick's CRMS focused on early and sustained engagement with its host communities, through the establishment of community round tables and other multi-stakeholder development initiatives (Alonso, 2014; Carter, 2015). In Ghana, the company engaged in a process of negotiating and holding dialogue with communities and convincing them that most community projects would eventually be carried out over time (Macdonald *et al.*, 2014).

viii. Transparency and compliant initiatives of companies

The Extractive Industries Transparency Initiative (EITI) is a multi-stakeholder approach involving a tripartite relationship between states, civil organisations and companies aimed at increasing transparency and accountability in the extractive sectors. Through EITI, companies are expected to publish annually what they pay to government (Moffat & Zhang, 2014), and like-wise government is also expected to publish what it received from extractive companies (Patterson, 2015). EITI compliance means that the country has an effective process for annual disclosure and reconciliation of all revenues from its extractive sector. This allows citizens to see how much their country receives from extractive sector companies. South Africa however was not EITI compliant at the time of conducting this study preferring instead the adoption of the Promotion of Access to Information Act (PAIA) No 2 of 2000 at the local level, and the Open Government Partnership (OGP) at the global level, as effective and sufficient alternatives to the EITI (Comparé, 2013). The core difference between the EITI and the OGP centres on the fact that, unlike the EITI, the OGP is general in nature and not specific to the extractive sector. Dominant official discourses have attributed South Africa's absence from the EITI to existing transparency frameworks in the country. While that may be true, this study argues that being EITI compliant would enhance the reputation of extractive companies and thus impact on company community relations positively (Hilson, 2012; Sovacool & Andrews, 2015).

ix. Context impacts on company community relations

An understanding of context is essential in coming up with a successful implementation strategy (Kemp & Owen, 2013; Moffat & Zhang, 2014). Peru's weak state institutions forced companies and communities to adopt informal arrangements (Wirth *et al.*, 2016, Ross, 2017, Lukasiwicz *et al.*, 2017). This has led to the creation of networks of civic groups that advocate for dialogue (Alonso, 2014; Carter, 2015). In the USA, a shared contextual understanding of the political, socio-economic and environmental issues by both companies and communities

from the beginning helped create a sense of shared ownership and cooperation (Cournoyer, 2012; Bhan, 2012; Gallagher, 2012; Patterson, 2015).

x. International cooperation may impact on company community relations

Company community conflicts have led stakeholders to seek international cooperation (Prno & Slocombe, 2012; Esteves, Franks & Vanclay, 2012; Brown, den Heyer & Black, 2014). An example is the establishment of the Political Economy Southern Africa (PESA) which is a SADC regional association that helps to build constructive relationships and high impact partnerships between government and private companies in matters of the economy, society, and the environment.

2.4 CHAPTER SUMMARY

The above narrative clearly illustrates that businesses in the extractives sector in South Africa have benefited from decades of colonialism and apartheid. The result has been the rise in acute cases of unemployment, inequality and poverty, which have been growing over the years, leading to conflict, thereby necessitating the need for an engagement framework that works. In coming up with the proposed framework, literature was also reviewed on the extractive sectors of Peru, Australia, Ghana and the USA, focussing on the nature of conflict, community engagement initiatives implemented, and lessons learnt.

CHAPTER 3

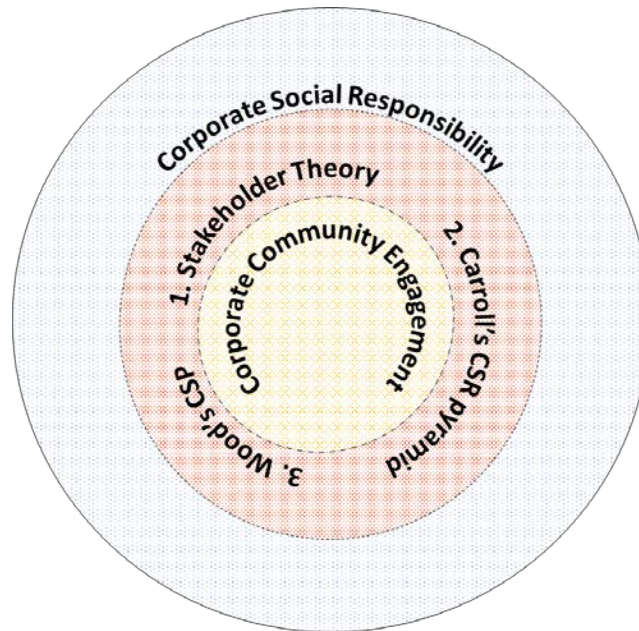
LITERATURE REVIEW: THEORETICAL DEVELOPMENT

3.1 INTRODUCTION

The previous chapters provided an overarching perspective on the study. The aim was to introduce the proposed CCE framework as a tool that can be used to support stakeholder relations in the extractive sector, focussing on the Western Cape Province of South Africa. This chapter provides the broad context of the study by reviewing and synthesising current literature relevant to the influence of CCE on stakeholder relations. The literature discussion in this chapter starts by reviewing Corporate Social Responsibility (CSR) with the intention to highlight the various attempts made at addressing the stakeholder problems afflicting the sector and their shortcomings, thereby demonstrating the need for a new framework. The three sub-theories that inform and support the development of CSR are then discussed namely the pyramid of CSR (section 3.2.2), Corporate Social Performance (CSP) (section 3.2.3), and the stakeholder approach (section 3.2.6). Stakeholder theory is reviewed in detail, starting with its evolution, identification and classification. A review of stakeholder theory was particularly crucial in that it formed the basis of what makes local communities a key stakeholder in South Africa's extractive sector and the issues affecting them that lead to conflicts such as Marikana. Finally, CCE is discussed as a prelude to the proposed framework.

3.1.1 The Link between CSR and CCE

The theory guiding community engagement development is CSR. The development of CSR is informed and supported by three sub-theories namely the pyramid of CSR (section 3.2.2), Corporate Social Performance (CSP) (section 3.2.3), and the stakeholder approach (section 3.2.6). However, scholars opine that CSR in its current form has not succeeded in managing stakeholder relations (Crane & Matten, 2016; Grant, 2016), leading to the development of the proposed CCE framework (section 3.3). CCE can be viewed as a remedy to the shortcomings of CSR. The Triple Bottom Line (TBL) is a key concept supporting the development of the CCE framework. This research argues that CCE should be viewed as a subset within CSR. Figure 3.1 illustrates the relationship between the concepts.



Source: Author's own construct

Figure 3.1: The link between CSR and CCE

3.2 OVERVIEW OF CORPORATE SOCIAL RESPONSIBILITY

3.2.1 Evolution of CSR

CSR can be traced to “*The Social Responsibility of Business Man*” (Bowen, 1953). Bowen (1953) provides the first known definition of CSR by highlighting the social responsibility characteristic of businesses (Swami & Bankar, 2016). According to Bowen (1953), CSR refers to companies’ commitments to follow desirable “policies, decisions, or lines of action in terms of society’s objectives and values”. The social responsibility movement began in America, where various other pressure groups were expanding. In parallel with its explosion, strong opponents to this concept began to arise. Thomas Levitt (1958) feared that the danger was that CSR could detract attention to profits. Friedman (1970) also argued that “there is one and only one social responsibility of business...to use its resources and engage in activities designed to increase its profits so long as it stays within the rules of the game, which is to say; engages in open and free competition without deception and fraud”.

In the following years the attention on CSR focussed on corporate social performance (CSP) (Wood, 1991). According to Wood (1991), CSP is “a business organisation’s configuration of principles of social responsibility, processes of social responsiveness, and policies, programs, and observable outcomes as they relate to the firm’s societal relationships”. This focus on results provided the foundation for studying the potential link between CSR and corporate

return on investment (section 3.2.3). Cases such as the Enron collapse in 2002 attracted attention to the potential costs of irresponsibility (Trevino & Nelson, 2016), encouraging focus on the connection between CSR and competitiveness. Thus, the orientation of CSR was “doing good to do well” (Vogel 2005), which refers to the possibility of reconciling business benefits and social responsibility.

A number of key developments have helped shape the new discourse surrounding CCE. First, government is retreating from corporatism and is less interested in directly providing for the needs of society (Tremewan, 2016). This is, however, contrary to South Africa’s case, where government is being accused of interference in light of its recently launched new Mining Charter. Secondly, companies are increasingly being proactive in their relations with both the government and communities (Kaldor, 2013; Mowforth & Munt, 2015). Third, CCE strategies used by major extractive companies are increasingly focussing on reputation building and having core values that emphasise the brand rather than the profit motive alone (Michelon, Boesso & Kumar, 2013; Tai & Chuang, 2014; Grant, 2016). Fourth, communities have increasingly become aware of their rights and are more powerful and more vocal (Cohen, 2013; Savitz, 2013). And fifthly, there is a growing pressure for businesses to adopt sustainable development practices (Tregidga, Kearins & Milne, 2013; Lankoski, 2016). Given this background, the relationship between government, business and communities has been evolving thereby justifying the development of the proposed CCE framework.

Relationship management are attempts made to manage the state of affairs amongst stakeholders, and CSR is an example (Carroll & Buchholtz, 2014; Schnackenberg & Tomlinson, 2016). The ensuing discussion reveals three traditional conceptualisations of CSR well-grounded in literature, emphasising their prime inclination towards providing unchanging descriptions of CSR. The first is Carroll (1979)’s CSR pyramid. The second is Wood (1991)’s CSP model, which viewed CSR as a thorough framework and emphasised adoption of principles that guide “responsible behaviour, processes of responsiveness and outcomes of performance”. The third is the stakeholder approach which continues to gather momentum in academic and business circles. The purpose of this review is to show that, with their groundbreaking insights, these models remain relevant, which subsequently helps to accentuate the dynamism inherent in CCE as a framework for managing stakeholder relations in the extractive sector. The literature discussion then makes the case for the proposed CCE framework by

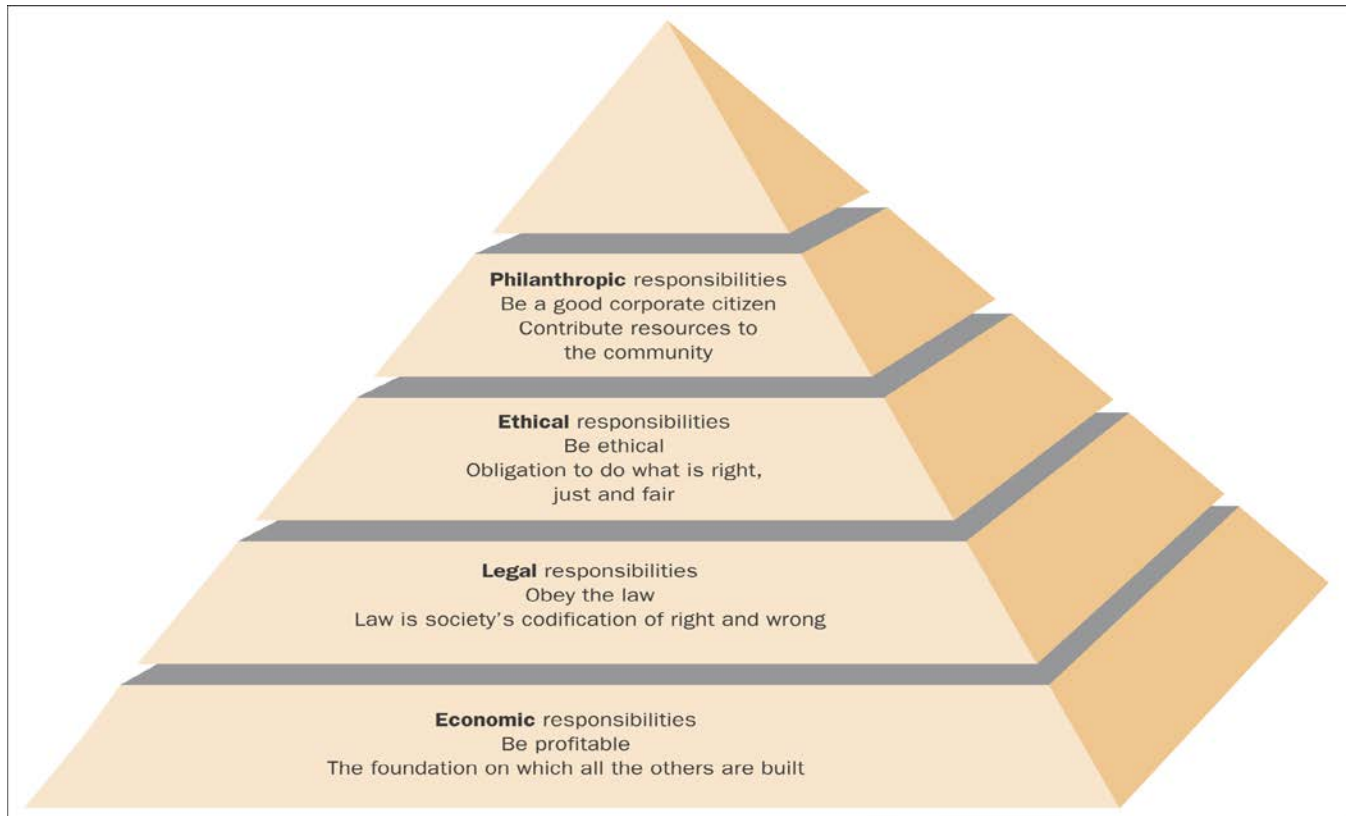
reviewing its intrinsic rationality and specifying how it can be incorporated into business and academic studies.

3.2.2 Corporate Social Responsibility Pyramid

While CSR has been there since the 1950s, in 1979 Carroll distinguished CSR into four layers, namely: economic, legal, ethical, and discretionary (Figure 3.2). The community engagement pyramid developed by Carroll (1991) depicted an organisation as having four types of responsibilities (section 3.2.2). The economic responsibility of the firm is to earn profits; the legal responsibility is to obey society's laws; the ethical responsibility is to do more than what is expected of the firm; and the philanthropic responsibility is for the firm to use its discretion to discharge assistance in priority areas. Crane and Matten (2016) opined that to understand the true value of the Pyramid, businesses and scholars must look beyond the debate and focus more on its practical application, particularly how businesses should pursue each step of the framework with the intention of reaching the top. The discussion on Carroll (1979)'s CSR pyramid is important to the development of the context variable for the proposed CCE framework. But more importantly, the four responsibilities of the CSR pyramid (economic, legal, ethical, and discretionary) are instrumental in the development of the three responsibilities adopted in the proposed CCE framework as informed by the Triple Bottom Line principles namely economic, societal, and environmental.

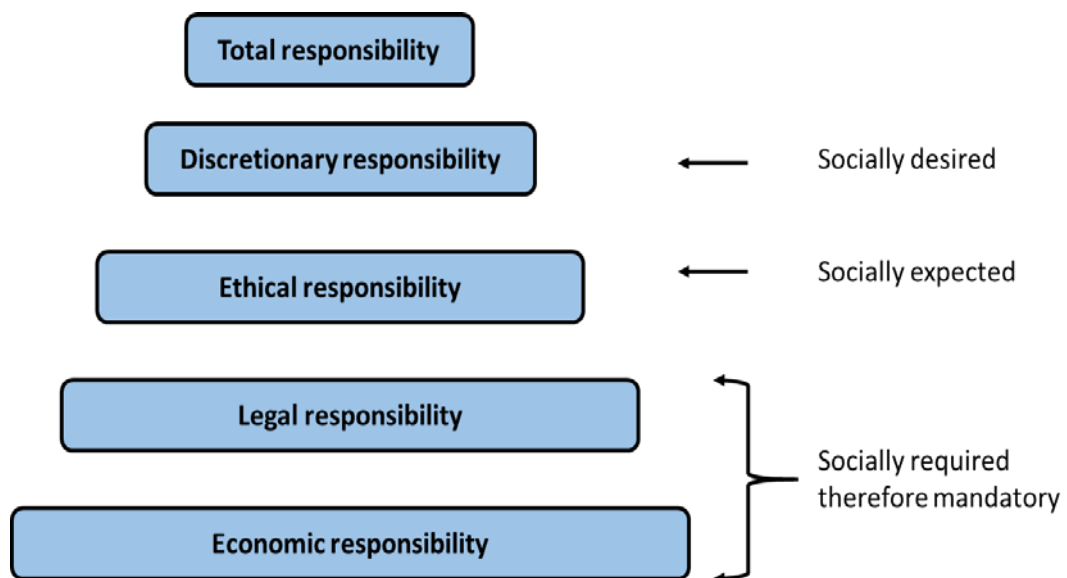
According to Carroll (1991)'s revised pyramid (Figure 3.3), economic responsibility is at the elementary level whilst discretionary is at the summit. The economic responsibility in the CCE framework is also found at the base level, proving that the Carroll (1991)'s Pyramid supports development of the proposed CCE framework. However, the other three responsibilities (legal, ethical, and discretionary) are all socially inclined responsibilities and feed into the social responsibility of the CCE framework. It seems however that Carroll's Pyramid did not consider the environment to be an important social responsibility of firms, and is part of the proposed CCE framework. According to Park and Park (2015), Carroll's Pyramid denotes the four responsibilities as being summated. From this viewpoint, economic and legal responsibilities are socially mandatory; ethical responsibility is socially expected; and discretionary responsibility is viewed as socially desired. Poplawska (2014) posits that each of the responsibilities encompasses a basic function of the whole social responsibilities of firms. The study also adopts and maintains the view that the three responsibilities of the CCE framework are aggregative and mandatory. This study also argues that the legacy of apartheid requires that

another layer, which is pertinent to South Africa, be added to Carroll’s CSR pyramid, and should be appropriately named, *restitution responsibility*, which should compel corporates to pay back for the wrongdoings of the apartheid system, which most of them benefited from.



Source: Suliman (2016)

Figure 3.2: Pyramid of Corporate Social Responsibility



Source: adapted from Kumar (2017)

Figure 3.3: A hierarchy of Corporate Social Responsibility

Further to the CSR pyramids presented in Figures 3.2 and 3.3, Carroll (1979) also conceptualised the ‘*Three Dimensional Conceptual Model of Corporate Social Performance*’ (CSP). Carroll (1979)’s CSP model included identifying social issues that corporates ought to prioritise including methods of responding to those issues (Garriga & Melé, 2013; Andriof, 2017). Social issues are always evolving over time subject to the context, thereby necessitating an effective corporate social performance system (Schaltegger & Wagner, 2017). This study argues that a strategy of responsiveness ought to be identified under the context variable (section 3.3.2). This component was lightly addressed in Carroll’s (1979) conceptualisation, which implies a gap in research. According to Prasad and Holzinger (2013) and Athanasopoulou and Selsky (2015), Carroll (1979)’s conceptualisation was appropriate in that it made significant contributions to the CSR discipline by stipulating the different types of social responsibilities. However, his contribution was criticised for being rigid in outlining possible responsibilities that managers could fulfil (Zhao, 2015; De Bakker, 2016). This study further argues that there seem to have been no attempt to investigate the measurement component of the CSR process. Yüksel (2017) supports this notion by arguing that Carroll’s model was difficult to test because of its three dimensional shape, and difficult to develop as a methodology for collecting, analysing, and evaluating data.

3.2.3 Corporate Social Performance Conceptualisation

Inherent in the proposed CCE framework is an element of iterativeness incorporated to make social responsibility activities proactive. The iterativeness feature in the CCE framework is supported by Wood (1991) who modified Carroll (1979)’s CSP model by making it go beyond merely identifying the different responsibility types and proposing social responsibility that is linked to responsiveness processes and performance outcomes as they relate to the firm and its relationship with society (Pavez & Beveridge, 2013; Wang, 2015; Nathaniel, 2014). This modification viewed CSR from a wider context, not fixated on just one definition, which constituted a significant development in CSR research (Camilleri, 2017). By using Wood (1991)’s CSP model, the CCE framework analysed a company’s social responsibility activities “at three levels: institutional, organisational and individual” (Nathaniel, 2014). This view was adopted in the development of the group dynamics variable of the proposed CCE framework. The impetus for a company’s social responsibility activities could arise at the institutional level from a need to be viewed as credible and legitimate by other stakeholders (Camilleri, 2017). On the other hand, the stimulus could also emanate from a sense of public accountability at the

organisational level (Pavez & Beveridge; Wang, 2015). Furthermore, the motivation could also stem from how individual managers make choices based on their personal and cognitive preferences (Camilleri, 2017). This study argues that flexibility of interaction among these principles was key in successfully motivating for the development of the CCE framework.

Wood (1991)'s model envisaged the outcomes of a firm's activities to be a result of corporate social performance and divided them into three groups namely: social impacts of corporate activities, implementation programs used by companies, and the company policies for handling social matters and stakeholder interests. The model stressed the need to assess the impact of corporate activities, both positive or negative (Servaes & Tamayo, 2013). An assessment of the social impacts of corporate activities under CSP was adopted in building the context variable of the proposed CCE framework. Also adopted from Woods's CSP model was the implementation programs used by companies and the company policies for handling social matters and stakeholder interests which were instrumental in developing the implementation strategy variable of the proposed CCE model. Woods's CSP model however, did not fully consider the significance of stakeholder impacts (Wolf, 2014; Andriof, 2017), which would be the environmental component of the proposed CCE framework. Limited attention was also accorded to responsiveness processes (Andriof, 2017). This study further argues that the model failed to address the interplay of group dynamics, particularly the needs of those company employees responsible for implementing social responsibility programs, as well as assessing the overall context in which they operate. It is also this study's view that both Carroll (1979)'s CSP and Wood (1991)'s CSP models seemed to advance theory rather than proffer practical solutions (Dabic *et al.*, 2016). Most modern day organisations face complex and dynamic social contexts, which require transformational processes that are successful in managing stakeholder relations.

3.2.4 Stakeholder approach to CSR

In the context of this study, stakeholder theory is viewed as a sub-theory that helps explain the development of the broader CSR theory; and is therefore critical in explaining the relationships existing amongst stakeholders used for in the proposed CCE framework. Stakeholder theory has gained mileage in recent strategic management studies, given its multi-stakeholder approach. The origins of stakeholder theory can be traced to the Stanford Research Institute which in 1963 defined it as "those groups without whose support the organisation would cease to exist" (Freeman, 1984). Some scholars have criticised this early definition as being too

general to be meaningfully applied to management studies (Andriof *et al.*, 2017). The insinuation that a firm would cease to exist because of lack of local community support was too far-fetched and could not be substantiated with empirical evidence (Brown, 2013). CSR as a concept gained popularity in the mid-1980s (Freeman & Reed, 1983, Freeman, 1984). Freeman's (1984) ideas assisted in reconstructing the way firms viewed other stakeholders, apart from shareholders, employees, suppliers and customers; thereby encouraging ways for management to understand the context and group dynamics (Zoellick, 2015).

Freeman (1984)'s definition of a stakeholder is generally considered the origin of modern day stakeholder theory. The author defined a stakeholder as "any group or individual who can affect or is affected by the achievement of the organisation's objectives". He emphasised the importance of various stakeholders, both contractual and non-contractual (Mahoney, 2012), acknowledging that each stakeholder had the potential to make decisions that could affect the other stakeholders positively or negatively (Ferrell & Fraedrich, 2015). Freeman (1984) stressed the need for organisations to identify who the other stakeholders were, what their interests and expectations were, and how these could be met. Freeman (1984)'s definition of a stakeholder was central in answering the research objectives set in this study.

In his later works, Freeman (2004) tried to resuscitate the Stanford Research Institute (1963) definition by defining stakeholders as "those groups who are vital to the survival and success of the organisation". With this new definition, Freeman (2004)'s reasoning was that "the principle of stakeholder recourse meant that other stakeholders may bring an action against the directors of an organisation for failure to perform the required duty of care" (Marshall & Ramsay, 2012). However, scholars such as Fontaine, Steinemann and Hayes (2012) argued that this new interpretation was entirely organisation-orientated and did not capture the essence of what a stakeholder is.

Several other scholars supported Freeman (1984)'s understanding of a stakeholder. Carroll (1989) stressed the need for any stakeholder to possess one or various stakes, ranging from an "interest, right, ownership, or legal title to company assets". This study also supports that notion by suggesting that a stakeholder may have real or perceived entitlements. Companies and other stakeholders may have contractual rights, in which case they are said to have "real entitlement". On the other hand, communities may have no legal claims, often relying on "perceived entitlement". This was supported by Carroll (1989)'s assertion that stakeholders

ought to possess at least one stake. The claim to a stake can be implied or explicit (Andriof *et al.*, 2017).

Carroll and Buchholtz (2014) perceive stakeholders as those groups who “can and are making their actual stakes known...or might be influenced by, or are potentially influencers of, some organisation, whether or not this influence is perceived or known”. This view is also relevant to the South African context because most of the loudest protests against extractive companies have been made by pressure groups rather than the affected mining communities. An example is the Mining Indaba held in Cape Town in 2017 where pockets of protests by environmental and other pressure groups were witnessed throughout the conference. The ability of the media, environmental and other pressure groups to influence extractive companies’ decisions shows how broad the definition of stakeholders is.

Harrison and Wicks (2013) claimed that stakeholders were made up of constituents who might have a legitimate claim on an organisation; emanating from an exchange relationship. They stated that each stakeholder had to make a contribution, and expected these to be satisfied by incentives. This definition does not exactly capture the essence of the definition as proffered by Freeman (1984). Whereas there is a legitimate claim on the firm by other stakeholders, it is not entirely true that all stakeholders supply the firm with critical resources. There are some stakeholders who are simply stakeholders by virtue of having been affected by the firm’s operations, either by displacement to alternative locations or by active participation through holding of claims. The Marange people of Zimbabwe for example, were displaced from the tribal trust lands (TTLs) which they had occupied for decades, but remained state land. They had inhabited the area for many years, but did not hold legal claims such as title deeds to the land. Therefore, they did not hold a legal claim to the diamonds and other extractive resources found in the Marange area. The element of legitimacy in that regard falls away, and their role in the engagement process is immensely reduced. The Marange people were displaced to make way for diamond mining in that area, and were given token inducements by the mining companies. This relationship is not symbiotic as the Marange people did not offer much to the firm in return. Nonetheless, the Marange people were in fact considered important stakeholders.

Sen and Cowley (2013) contended that a stakeholder relationship was a matter of give-and-take with each stakeholder expected to carry some kind of risk having invested resources. Andriof *et al.* (2017) corroborates by stating that stakeholders have a claim to the firm,

something of value, which could be lost. The definition by Sen and Cowley (2013) appropriately captures the essence of stakeholders in South Africa's extractive sector. Most local communities in South Africa are non-contractual stakeholders and their relevance is only brought to prominence by the potential risks posed by the extractive companies' activities. Sen and Cowley (2013)'s definition of a stakeholder gave entitlement to local communities. An example was when in January 2015, Shell agreed to pay \$84m (£55m) in compensation to the Bodo community of Nigeria over two oil spills which affected more than 15 000 fishermen in the area.

Warnaby and Medway (2015) defined stakeholders as "all individuals and constituent elements, which contribute deliberately or otherwise to the firm's capacity to create value, who are its main beneficiaries and bear its risks". This definition brought in the value creation dimension which was not so explicit in Freeman (1984)'s definition. This study argues that most local communities around extractive projects provide the bulk of the companies' workforce, helping the companies to achieve their objectives.

Phillips (2003a) viewed stakeholders as being normative or derivative. Phillips (2003a) defined normative stakeholders as "those with a direct interest in the organisation" and for whose benefit the firm should be managed. On the other hand, Phillips (2003a) defined derivative stakeholders as those with the "potential to affect the organisation and its normative stakeholders". This definition concurs with Freeman (1984)'s definition of "can affect and is affected", which is supported in this study.

However, some scholars did not fully agree with Freeman (1984)'s definition of a stakeholder. For instance, Friedman (2006) argued that by defining stakeholders as "those groups who are vital to the survival and success of the corporation" was more reliable, balanced and much broader than the earlier definitions proffered by the Stanford Research Institute (1963) and Freeman (1984). Friedman (2006) argued that the phrase "can affect or is affected by" insinuated that some individuals or groups outside of the organisation could consider themselves to be stakeholders, without the organisation considering them to be such. Friedman (2006) suggested that a firm should be understood to be a collection of stakeholders whose interests are managed by managers to ensure its survival.

Porter and Kramer (2006) also claimed that, whereas "other stakeholders' views are important, these groups can never fully understand a corporation's capabilities, competitive positioning,

or the trade-offs it must make”. It is therefore a challenge for leadership to deal with the moral complexity resulting from a multitude of stakeholder claims. While Friedman, Porter and Kramer (2006) present logical arguments, they ignored the fact that other stakeholders such as local communities may have the power to disrupt the firm’s operations through civil or violent demonstrations, as often witnessed in South Africa.

Other scholars questioned the practicality of Freeman (1984)’s stakeholder theory arguing that broadening of the firm’s stakeholder group to include non-market stakeholders could undermine corporate objectives (Mäkinen & Kourula, 2012; Raelin & Bondy, 2013; Caruana & Chatzidakis, 2014; Ridley-Duff & Bull, 2015). Proponents of the shareholder theory dismissed Freeman (1984)’s stakeholder theory by suggesting that corporate managers should always focus on maximising shareholders’ value (Miles, 2012; Tullberg, 2013; Federica, 2014; Mandina, Maravire & Masere, 2014). Their argument was that, although shareholder theory provided managers with a specific objective, that of value maximisation, the stakeholder theory on the other hand directed corporate managers to serve ”many masters, resulting in potential managerial confusion, conflict, inefficiency, and competitive failure” (Andriof *et al.* 2017). The ensuing sections focus on the key themes developed from the preceding discussion pertaining to the understanding of stakeholder theory and how it is applicable to the proposed CCE framework.

3.2.4.1 Defining CSR by core characteristics

The essential characteristics of CSR are the core features of the concept that academics and practitioners tend to reproduced in one way or the other when defining CSR (Crane, Matten & Spence, 2013). A few descriptions of CSR will tend to capture all of them, but figure 3.5 shows the six core characteristics that are commonly used.



Source: Crane, Matten and Spence (2013)

Figure 3.4: Six core characteristics of CSR and their relevance to CCE

Voluntary - CSR is typically viewed as those voluntary activities which companies engage in over and above those recommended by the law (Hilson, 2012). This study supports the view that CCE should be voluntary and emphasises the need to go beyond expectations.

Managing externalities - Herzig and Moon (2013) argue that CSR is about firm responsibilities to society by recompensing for the negative externalities and aiding to social welfare, by being accountable and exhibiting responsible business conduct to ensure good relations. This view was critical in the development of the environmental responsibility in the proposed CCE framework in line with the Triple Bottom Line principles.

Multiple stakeholder orientation - CSR considers the interests of various stakeholders other than just shareholders (Crane, Matten and Spence (2013). This study supports the view that a multi-stakeholder approach to community engagement must be adopted and this view was critical in the development of group dynamics as a variable for the proposed CCE framework.

Alignment of social and economic responsibilities – just like CSR, CCE must be aligned to local, provincial, national and global development policy frameworks (Hamidu, Haron & Amran, 2015).

Practices and values – as it is with CSR, the focus with CCE is about developing a set of values and practices that a business can deploy to address social issues” (Crane, Matten & Spence, 2013).

Beyond philanthropy – this is when CSR goes beyond community giving or charity (Herzig & Moon, 2013). In order for engagement efforts to be successful in managing stakeholder relations, the CCE framework must be sustainable.

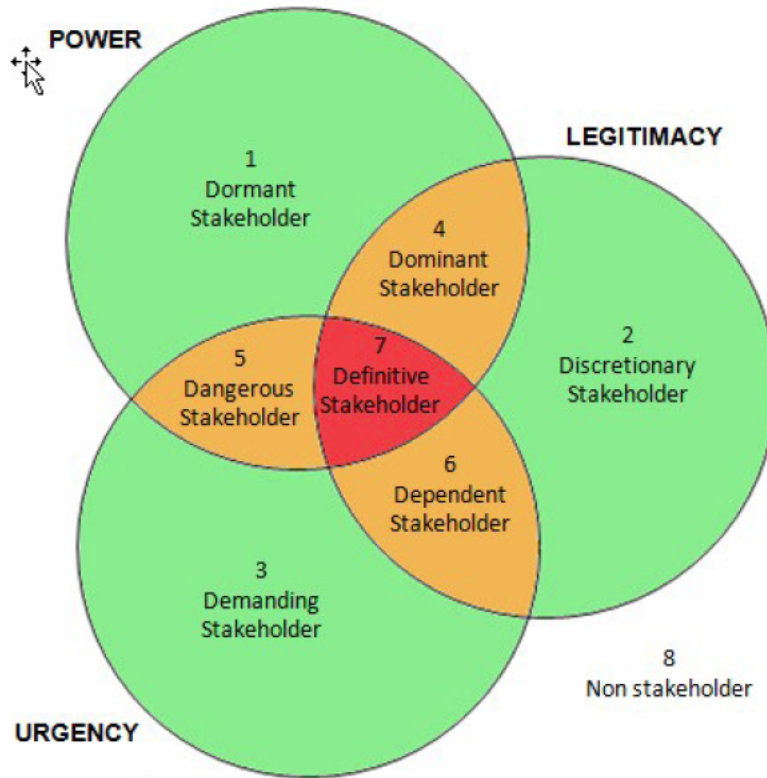
The ensuing discussion highlights two broad methods of stakeholder identification and classification which are critical to the development of the CCE framework: (i) the stakeholder salience model and (ii) the primary and secondary stakeholder identification model. Waritimi (2012) observed that the first step to effective stakeholder management was to identify who the key stakeholders were. The discussion is critical in addressing research objective 5 of this study: *the role of local communities in CCE*. This research objective was instrumental in establishing a key variable for this study, namely: group dynamics. The discussion on group dynamics helps in the understanding of some aspects of the ‘who, why, when, where, what and how’ of the stakeholders identified for this study.

3.2.4.2 Stakeholder identification and classification: Stakeholder salience model

The stakeholder salience model was in response to Freeman (1994)’s “who and what really counts” as a stakeholder (Mitchell et al. 1997, p.853-854). Mitchell et al. (1997) argue that the first question was to be addressed using normative theory, which basically defines who to consider as a stakeholder. The second calls for a descriptive theory, which basically explains what conditions should be in place when managers are considering who to include as stakeholder (Mitchell et al. 1997, p.853). Derry (2012) further argued that even though there were many definitions for stakeholders, most were either “broad and inclusive or narrow and pragmatic”. Furthermore, Freeman (1984)’s definition practically allowed everyone to be incorporated as a stakeholder since anyone can virtually “affect or be affected by an organisation”. The authors proposed three key stakeholder attributes, namely “power, legitimacy, and urgency”. They stated that stakeholders ought to “possess *power* to influence the organisation, a *legitimate* relationship with the company, and an *urgent* claim on the

company” (Wagner Mainardes, Alves & Raposo, 2012). Mitchell et al. (1997) defined power as “the extent to which a party has the potential to impose their will on another through coercive (physical) means, utilitarian (material) means, or normative (prestige) means”. Legitimacy was defined as the level of involvement of each concerned stakeholder throughout the entire project (Garrod *et al.*, 2013). Finally, Mitchell et al., (1997) defined urgency as “the degree to which stakeholder claims call for immediate attention”.

From this stakeholder typology, Mitchell et al. (1997) developed a stakeholder salience model to deal with issues of manager perceptions. They defined salience as the process by which decision makers prioritised contending stakeholder claims. Stakeholders were perceived to have higher salience the more power, legitimacy, and urgency attributes they had, and in that regard, greatest priority would therefore be given to those stakeholders. As a result, the stakeholder salience model suggested three stakeholder groups to be: *latent stakeholders* being those groups possessing “only one of the three attributes of power, legitimacy and urgency; *expectant stakeholders* being those groups with two attributes; and *definitive stakeholders* being those all three attributes”. The main finding by Mitchell et al. (1997) was that the status of each stakeholder was not permanent, but evolved and depended on the views of the company decision maker. This study supports the notion by suggesting that, in cases of conflict, as often happens in the extractive sector, it is imperative that company managers not only identify the crisis type, but also identify and attend to those stakeholders with the most impact on the firm. Mitchell et al. (1997)’s stakeholder salience model is particularly instrumental to the development of the group dynamics variable in the proposed CCE framework. Group dynamics (section 3.3.3) is a product of many factors, including demographics, cognitive attributes of the stakeholders involved, and the context (economic, social, environment) (section 3.3.2).



Legend

Green	Latent stakeholders: one attribute, low salience. Managers may do nothing about these stakeholders and may not even recognise them as stakeholders.
Amber	Expectant stakeholders: two attributes, moderate salience. Active rather passive. Seen by managers as 'expecting something'. Likely higher level engagement with these stakeholders.
Red	Definitive stakeholders: all three attributes, high salience. Managers give immediate priority to these stakeholders.

Source: Adapted from Mitchell *et al.* (1997)

Figure 3.5: A stakeholder salience model

3.2.4.3 Stakeholder identification and classification: Primary and secondary stakeholders

Another criterion for classification is one that describes stakeholders as either primary or secondary. Primary stakeholders can be said to be those with a direct stake and on whom the organisation depends on for its very survival (Buchholtz & Carroll, 2012; Waligo, Clarke & Hawkins, 2013; Zehr, 2015). The nature of the company-stakeholder relationship is often

contractual (Epstein & Buhovac, 2014). Examples of primary stakeholders include shareholders, managers, investors, employees and customers (Waligo, Clarke & Hawkins, 2013; Carroll & Buchholtz, 2014). On the other hand, secondary stakeholders have an indirect stake in the organisation, yet can still be influential, but are not critical to the survival of an organisation (Castka & Prajogo, 2013). In this study, examples of secondary stakeholders include host communities, government, civic organisations, social pressure groups, the media, and academic commentators, (Buchholtz & Carroll, 2012).

3.2.5 Barriers to community engagement

The following discussion focusses on some of the challenges affecting community engagement efforts.

3.2.5.1 *Traditional laissez faire approach*

A common sentiment shared by most extractive companies is that they “spend lots of money on community engagement, but relations with communities do not improve...and sometimes even deteriorate”. Zandvliet and Anderson (2017) state that companies felt that there were endless requests from communities, and it seemed as if they were having to take over government’s role. Others still complained that they were “doing all these good things for the community, but no one gives us any credit” (Cohen, 2013; Von Mises, 2016). According to and Metaxas and Tsavdaridou (2014), it is often difficult to conduct community engagement activities that achieve sustainable community development. A lot of these programs fail to deliver on their promises for both the “company or the community despite the considerable time, goodwill, and resources invested” (Scruggs, 2013). Poorly planned and executed community engagement activities which create dependencies can lead to local communities developing negative attitudes towards the company and ultimately conflict (Agrawal, Catalini).

This study argues that a lack of understanding of the often complex local context was one of the reasons why companies often failed in their quest for sustainable community development. It meant that companies were responding to community priorities in an ad hoc manner. This is a view shared by Goldfarb (2014) who stated that companies lacked clear objectives due to a limited comprehension of the local context. This study also argues that a lack of understanding of the group dynamics of host communities often led to resistance, insufficient participation and ownership of developmental projects by local stakeholders. Rowe (2014) supports the notion by stating that a perception of giving or donating rather than investment was another

reason for failure. Provision of free goods and services was viewed by host communities as an act of wanting to be seen to be doing good rather than a genuine attempt at sustainable community development. This study further argues that community projects that have no exit or handover strategies are prone to be seen as mere gestures of philanthropy rather than honest developmental projects.

Overall, the study critiques the traditional laissez faire approach of corporate social responsibility for its glaring failure in effectively addressing the conflict between companies and host communities in South Africa's extractive sector. Increasingly CCE initiatives have taken a paradigm shift from mere "involvement" to investment (Campbell, 2012). The proposed CCE framework emphasises the need to adopt a holistic approach to community engagement which involves analysing the context, group dynamics, and implementation strategy that will be successful in achieving the triple bottom line targets and thus manage stakeholder relations.

3.2.5.2 Co-ordination and co-operation

Extractive companies fail to coordinate and cooperate with other relevant stakeholders at the local level (Alves, 2012; Ray, 2013; Nasrullah & Rahim, 2014). It seems extractive companies have been implementing community engagement activities due to increased competition amongst themselves (Arjaliès & Mundy, 2013). This study is of the view that because of the competition, extractive companies have failed to conduct joint community development programs. The competition driven approach was also observed by Besharati (2014) while studying Anglo American Platinum's CSR projects focussing on provision of education programs in the Limpopo and North West provinces. While competition may be a sign of a strong desire to develop communities, it must be done in ways that are coordinated and coherent and involve all concerned stakeholders in order to achieve the greater good.

3.2.5.3 Alignment with development policy frameworks

Doppelt (2017) opine that "companies have generally failed to consult, co-ordinate and align their actions" with the development policy frameworks of government at all levels: local, provincial and national. This study argues that companies should plan and consult widely and should adopt a bottom-up approach which promotes lower level planning and consultation between company officials and local authorities. Further, communication must be done at all levels and in all forms.

3.2.5.4 *Monitoring and evaluation of CSR programmes*

This study argues that extractive companies should monitor continuously to ensure projects remain on track, for example, every month; review occasionally to check whether each level of objectives leads to the next one and whether there have been any changes that need to be made to the project plans, for example, done once every six months; and evaluate the project, usually done at the end of the project to assess its impact. The purpose for monitoring, reviewing and evaluation is usually to check for relevance (does the project address needs), efficiency (are resources being used wisely), accountability (to all stakeholders), any lessons learnt and where to improve, impact (has the wider goal been achieved), sustainability, and effectiveness (are the desired outputs being achieved). In the Anglo American Platinum case, due to monitoring, reviewing and evaluation, it was learnt that the company's infrastructure project for building schools in Limpopo had not been properly thought through (Besharati, 2014). The company build structures that did not have running water. Even though water provision services are the responsibility of local municipalities, "this challenge would have been addressed had the company engaged in shared planning ahead of implementing the project and undertaken the necessary follow-up with the municipal authorities responsible for providing water to the schools" (Poocharoen & Ting, 2015; Farrell, Hamann & Mackres, (2012).

3.3 OVERVIEW OF CORPORATE COMMUNITY ENGAGEMENT

This section discusses Corporate Community Engagement (CCE). The concept of CCE emanates from the continued study of the wider, older, and better established concept of Corporate Social Responsibility (discussed in detail in section 3.1.1). In this study CCE is viewed as a process involving assessment of the context, group dynamics, and implementation strategy, and is best explained by the use of the Triple-Bottom-Line theory (section 3.3.1), the pyramid of corporate social responsibility theory (section 3.2.2), corporate social performance theory (section 3.2.3), and stakeholder theory (section 3.2.4), as well as Community-Based Participatory Implementation theory (section 3.3.4.1). CCE can be summarised as activities that companies involve themselves in to improve stakeholder relations with and enhance, in sustainable ways, the general well-being of communities in which they operate, in sustainable ways (Dare, Schirmer & Vanclay, 2014; Lin, Li & Bu, 2015; Beatley, 2016). The motivation for studying CCE arose from the need to redress the shortcomings of current CSR forms.

3.3.1 The Triple Bottom Line approach to CSR

The Triple Bottom Line (TBL or 3BL) is a term borrowed from the accounting discipline and refers to a firm's economic, social, environmental obligations. It is used in this study because it binds the three processes of context, group dynamics, and implementation strategy. Many organisations have “adopted the TBL framework to evaluate their performance in a broader perspective so as to create greater business value” (Savitz, 2013). Coined by John Elkington in 1994, TBL has been adopted in strategic management as a form of community engagement, compelling corporate leaders to report on the bottom-line results. Bini, Bellucci, and Giunta (2018) argued that the three responsibilities (economic, social, and environmental) must be kept separate, with results being reported independently or collectively. The focus with TBL is to achieve sustainable results. The TBL is particularly important in the development of the proposed CCE framework in that it emphasises oversight of the three elements of the TBL at each stage and aligns the whole CCE process, from assessment of the context, group dynamics and implementation strategy, to the outcomes. The TBL was particularly crucial in addressing all six sub-objectives of this study.

The TBL has however, been criticised as reductive, which means the environment gets to be treated as a miscellaneous consideration after economic and social responsibilities have been addressed. Scholars such as Sadri and Tara (2014) and Carby-Hall (2016), claim that the difficulty of achieving global agreement policy may render such TBL as advisory at best, and thus unenforceable. Others accuse TBL of being future oriented at the expense of short-term problems (Crane & Matten, 2016; Roszkowska-Menkes, 2017). This study argues that the TBL notion is important for aligning the entire CCE framework, from context, group dynamics and implementation strategy to outcomes. Equal importance ought to be placed on all three elements of the TBL. The next paragraphs discuss the three measures of the TBL in detail.

3.3.1.1 Economic measures

The focus with economic sustainability is on the long-term. Decisions must be geared towards achieving long-term economic success rather than short-term windfall gains (Stoddard, Pollard & Evans, 2012). This study supports the notion by adding that communities must continue to enjoy the benefits of CCE long after the company has stopped its operations. Measurement variables such as size of the project will be determined by the company and other concerned stakeholders. This study identified a gap in knowledge and suggests that while there is significant literature on the appropriate measures to adopt in measuring sustainability at the

national level, methods of measurement at the local levels ought to be devised. The following are however examples of the traditional economic sustainability measures in use today: income and expenditure measures, employment, taxes, business climate, and business diversity factors.

3.3.1.2 *Social measures*

According to Van Rooy (2013) and Mander (2014), social sustainability requires that companies maintain healthy relationships with other stakeholders. This study argues that companies have an obligation to do the right thing and uphold ethical values. Further, the study argues that reputation is key in order for companies to obtain trading licenses to operate from government. The study suggests that a long-term commitment to community engagement enhances a company's reputation. Proponents of the social license to operate (SLO) concept argue that this is an unsigned agreement by local communities that extractive companies have complied with certain community expectations. Heledd (2012) agrees with Abu-Saifan (2012) by referring to the social license reasoning as the legitimacy theory. The concerns of the extractive local communities in South Africa include wealth redistribution, employment opportunities, education, health and wellness, and infrastructure development. The failure by extractive companies to come up with community engagement activities that are socially inclined and lack sustainability often lead to a breakdown in stakeholder relations, resulting in conflict.

3.3.1.3 *Environmental measures*

Finally, the requirement of environmental sustainability stems from the recognition that resources are finite, and therefore recklessness will deprive future generations (Sterman, 2012). Companies should ensure that they do not engage in activities that damage the environment. The question of how much environmental degradation is acceptable is one that must be answered, and therefore may require future studies to focus on the topic. According to Heck, Rogers and Carroll (2014), business cannot operate in a world that is infected, and thus efforts should be made to renew the environment. Tai and Chuang (2014) and Armstrong (2014) have opined that environmental sustainability refers to the “duty of care to the environment”.

3.3.2 **Context**

Context is the first variable in the CCE framework. Baumgartner (2014) describes context as the circumstances that form the setting. The author further states that they help shape the nature

of relationships between stakeholders. The overview of Carroll (1979)'s Pyramid of Corporate Social Responsibility in section 3.2.2 of this study was relevant as it helped explain the context that is applicable to the extractive sector. Carroll's pyramid depicted an organisation as having "four types of responsibilities namely: economic, legal, philanthropic, and ethical" (section 3.2.2). The economic responsibility of the firm is to earn profits; the legal responsibility is to obey society's laws; the ethical responsibility is to do more than what is expected of the firm; and the philanthropic responsibility is for the firm to use its discretion to discharge assistance in priority areas. The discussion on context is at all times glued to what the outcomes of CCE are expected to be. This further narrows the discussion to three forms of outcomes as informed by the TBL: economy, society and environment; and these are discussed below.

3.3.2.1 Economic context

The first in Carroll (1979)'s CSR Pyramid is the economic responsibility to be profitable. Assessing economic context is about ascertaining the company and community's capacity and readiness to carry out community engagement programs (Gheorghe, 2016). According to Carroll (1991)'s revised pyramid (Figure 3.3), economic responsibility is at the elementary level whilst discretionary is at the summit. In the same breadth, the economic responsibility of the proposed CCE framework is also found at the base level, proving that the Carroll (1991)'s Pyramid supports development of the proposed CCE framework. Rahim postulates that the Triple-Bottom-Line approach (section 3.1.1) suggests that economic responsibilities are at the entry level of each model and socially required, therefore mandatory. Companies that have adopted the TBL framework "to evaluate their performance in a broader perspective" hope that it would help them create greater business value (Owen, 2013; Crane & Matten, 2016).

Assessing economic context of the extractive sector is also about ascertaining the company's support for CCE (Ante, Danijela & Mirjana, 2013). Several scholars have stated the need to build a business case as part of assessing the economic context assessment (Nasrullah & Rahim, 2014; Ajide, 2017). This would include checking if the firm's vision and mission statements speak of the need to conduct responsible business, and whether there is a genuine willingness to conduct CCE articulated in its strategic and operational plans and captured in its budget plans (Wushe, 2014). According to Owen and Kemp (2013), "there is a direct link between a company's CCE objectives and its business objectives". Gibbs and Humphries (2015) state that company managers are expected to give a clear business case for embarking on CCE programs. Evidence suggests that if a business aligns its objectives with CCE programs, it is likely to

produces desired outcomes for both the firm and host communities (Rotter, Airike & Mark-Herbert, 2014).

Numerous scholars suggest the need to link CCE framework to business drivers as part of evaluating the economic context of the extractive sector (Khan, Muttakin & Siddiqui, 2013; Capaldi, 2013). According to Snyman and Spenceley (2012) and Wang (2012), this entails channelling development benefits to local communities to generate direct and indirect business benefits. Huang and Zhu (2016) and Alexander (2017) also state that the pursuit of economic benefits should be sufficient to motivate support of CCE programs by companies. Several scholars believe that “once a company identifies the key business drivers to which CCE can contribute, such as gaining a Social License to Operate”, these can then be used to drive the strategy (Prno & Slocombe, 2012; Owen & Kemp, 2013; Savitz, 2013). Constant interactions with communities by companies is critical in the development of the overall CCE framework; which may provide a platform for assessing the economic context. Ajide (2017) postulates that an understanding of economic context creates buy-in for CCE strategies from functional units such as community engagement departments, including assignment of roles and accountability. This will in turn help make resources available for community projects.

The economic context of the extractive sector can also be assessed through an understanding of the “three main sectors of modern economies, namely, the private sector, public sector, and civil society”, commonly referred to as the third sector (including not for profit organisations and charitable organisations) (Ridley-Duff & Bull, 2015). The important contributions of CCE are often viewed from the contributions made by large corporations (Khan, Muttakin & Siddiqui, 2013; Carroll & Buchholtz, 2014). Therefore, an issue that comes to prominence when dealing with CCE in the context of large companies is that: whose interests are companies run by managers addressing when conducting CCE?

According to Yin and Zhang (2012), the economic context of the extractive sector can also be assessed through the economic development stage of the country in which the company operates. The level of community engagement involvement is different depending on the economic development of a country, in other words whether a country is developed, developing or emerging / transitional (Julian & Ofori-dankwa, 2013). In this respect, European countries judge the success of community engagement in terms of its positive effect on the natural environment. In South Africa, there are considerable expectations on CCE to redress the apartheid imbalances by contributing to their economic empowerment.

3.3.2.2 *Social context*

Asif *et al.* (2013) postulate that assessing social context is about ascertaining the community's capacity and readiness to carry out community engagement programs. This claim is supported by Carroll (1979)'s CSR Pyramid which viewed the other three responsibilities (legal, ethical, and discretionary) as being socially inclined responsibilities and therefore feed into the social responsibility aspect of the proposed CCE framework. The notion is also supported by Green and Haines (2015), who state that both company and community should first ascertain what resources the community has at its disposal so that the company can know how much is required for CCE in terms of resources and skills. This study argues that to understand fully the social context, both the company and community must assess their respective capacities to carry out community activities. An assessment of community capacity therefore is about measuring the capabilities of host communities in terms of their human, material, physical, and financial resources to solve their own problems. This way, companies are better equipped to appropriately assist the communities to “develop, implement and sustain their own solutions to problems in a way that helps them shape and exercise control over their physical, social, economic and cultural environments” (Leigh & Blakely, 2016).

The process of community capacity building entails investing in an appreciation of the traits and intricacies of the local landscape and to use the information to plan for CCE (Roseland, 2012). Marc (2012) supports this notion by stating that assessing the historical background of a community is essential in revealing the actions that created mistrust among the local members. This is particularly relevant to this study given the social imbalances that were brought about by apartheid. The study further argues that assessment of the social context is also vital as it shows which demographic groups are mostly affected. Any meaningful community capacity building exercise should include women, youths and vulnerable groups, especially in those areas where they are excluded from decision making processes by cultural practices and value systems.

An assessment of the social context for CCE entails investing in processes of engaging with local communities, as well as the spirit in which it is done (Waibel, 2017). Zandvliet and Anderson (2017) support this idea by stating that companies should know that communities have rights too, including traditional land rights, which must always be respected. According to Yakovleva (2017), host communities should form part of the company's most valuable local resource, as employees, sources of indigenous knowledge and as partners in the industry. If

CCE is to be successful, communities must be consulted and engaged in a meaningful way at every stage of development so that they can understand how they will be affected by operations, plan for the changes, and contribute their knowledge to the design of mitigation strategies (O'Faircheallaigh, 2013). Tai and Chuang 2014 believe that local governments have an important role to play as they know their communities and what they need. Government at all levels needs to enhance monitoring of company operations and enforce compliance with laws that protect communities surrounding extractive sites from harmful social and environmental impacts (Epstein & Buhovac, 2014).

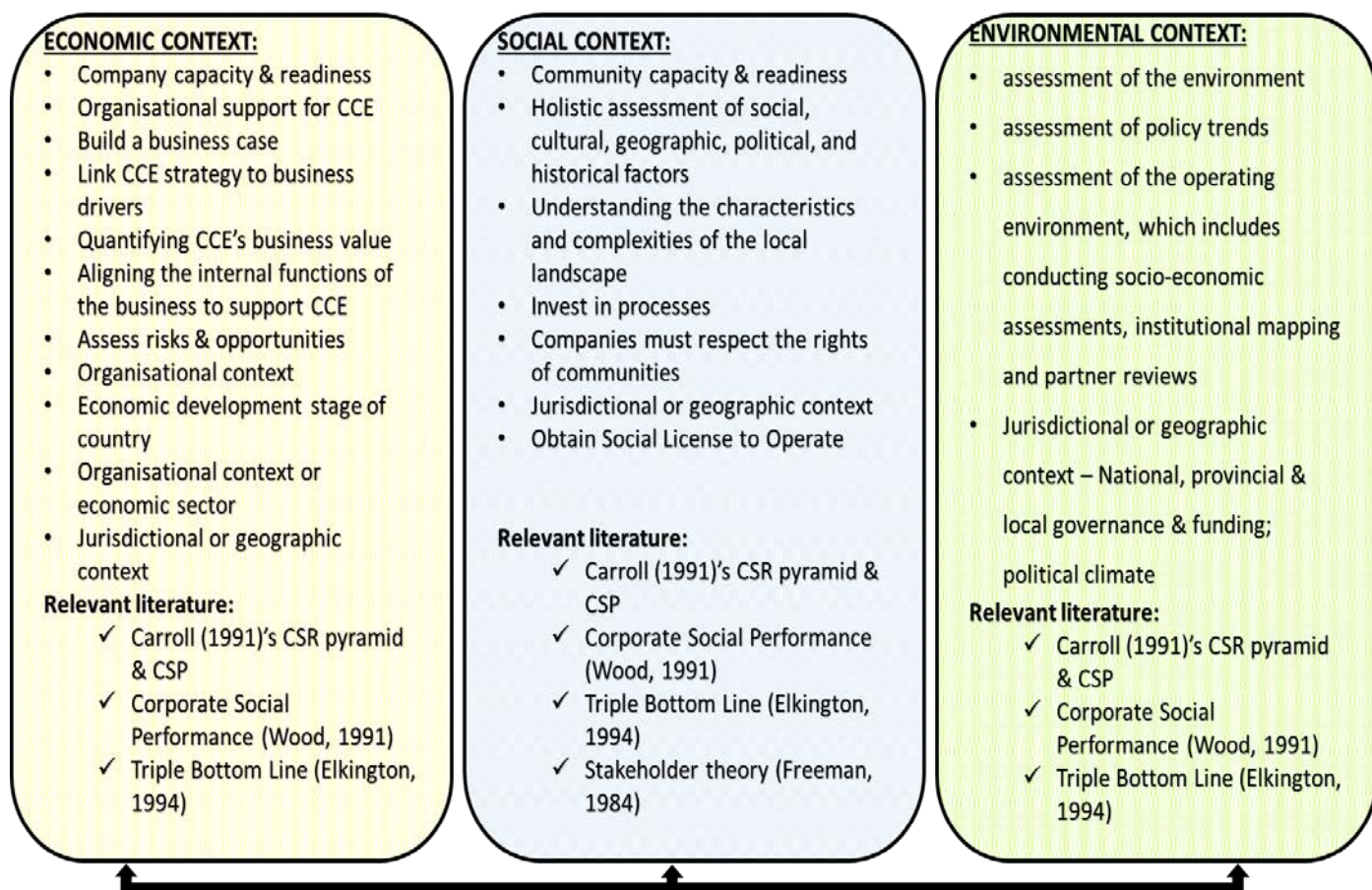
3.3.2.3 *Environmental context*

Assessing the environmental context of the extractive sector is used specifically in this study to refer to the assessment of the ecological environment, policy trends, jurisdiction or geographic context, and the operating environment under which the company operates (Franks, 2014; Harvey & Bice, 2014). It seems however that this is not a view shared by Carroll (1979)'s CSR Pyramid in which the author suggested the legal, ethical, and discretionary responsibilities to be socially inclined. Assessing the state of the environment allows organisations to have an awareness of how to manage it. Scanning the environmental context of the extractive sector is necessary to assist in decision-making (Bice & Moffat, 2014). Esteves, Franks and Vanclay (2012) state that organisations are therefore compelled to assess their environment so that they can understand the external influences that may threaten their operations.

Assessing the environmental context can also be viewed as a process of policy setting for the organisation (Crane, Matten & Spence, 2013). Davern *et al.* (2017) state that economic and social context evaluation requires long-term effort that is augmented by sound policy application. According to Knudsen, Moon and Slager (2015), policy context for CCE refers to the environment in which policies are set and implemented. The idea is supported by Owen and Kemp (2013), who state that the continued political instability may affect affects the extractive sector's attractiveness for capital. Environmental assessment can also be done by reviewing the operating environment and the process may include conducting socio-economic assessments (Crane, Matten & Spence, 2013), institutional mapping (Waibel, 2017) and partner reviews which allow companies to direct community engagement activities with purpose (Epstein & Buhovac, 2014). This study argues that doing so would reduce the risk of unintended outcomes and increase the chances for achieving CCE objectives.

According to Civera and Musso (2012), economic, social and environmental contexts may all be assessed on a jurisdictional or geographic level that is at the global, national, provincial or local levels. The meaning of CCE differs from sector to sector, and from country to country (Freeman & Hasnaoui, 2011). It should be noted that “the notions of developed, developing, and transitional or emerging countries are not definitive” (Skeldon, 2014). In particular, the rise to prominence of the ‘BRICS’ economies – Brazil, Russia, India, China and South Africa - has brought in a state between developing and developed. But even then, the BRICS countries are fundamentally different from each other despite being economically comparable. As such, Busacha (2013) posited that the implementation of CCE programs should address the specific needs of a country. For instance, Chinese CCE programs emphasise safe and high quality products, the Germans emphasise secure employment, and in South Africa and many other parts of the world, it is a company’s contribution to economic, social and environmental needs.

Figure 3.6 summarises the assessment of context for CCE.



Source: Author’s own construct

Figure 3.6: An assessment of context for CCE

3.3.3 Group dynamics

Host communities affected by extractive activities in South Africa exhibit some of the following traits: high alcohol and substance abuse; high unemployment and unemployable rates, dysfunctional family setups, and high teenage pregnancy rates, amongst others (Alexander, 2013; Frankel, 2013; Taylor, 2013; Butler, 2017; Hirson, 2017). Group dynamics is therefore a system of analysing interrelationships and behaviours “occurring within a social group (*intragroup dynamics*), or between social groups (*intergroup dynamics*)” (Yin & Zhang, 2012; Avetisyan & Ferrary, 2013; Bartel & Wiesenfeld, 2013).

Group dynamics can be a useful tool in understanding and aiding decision-making behaviour, particularly in South Africa where protests and aggravated crime are a common occurrence. Understanding the group dynamics of a community “is a process that requires knowledge of the community’s social and economic history, culture and collective character, current composition, community assets, and the physical, biological and functional attributes of the natural ecosystem(s) in which its members interact” (Gibson, 2016; Wozniak-Brown, 2017). This study argues that assessment of the group dynamics is vital in understanding the community’s problems and expectations. An understanding of group dynamics also helps in articulating the priorities and vision of a community, to which a successful CCE framework should be able to respond.

Factors such as population and demographic characteristics, important sites from a local and regional context, unemployment rate, age distribution rate, poverty rate, languages spoken, and special community situations are all topics covered by group dynamics. An example is a booming population size versus static resources. Social background also makes the company aware of sensitive populations such as children, women of childbearing years, single parent headed households, and vulnerable members of the community such as orphans and the elderly. Factors such as voter participation are also essential indicators of expected level of community involvement. Social networks such as churches also important for communication planning purposes. It is also critical to identify community leaders in their various forms. It is also paramount to gain an appreciation of how the community deals with its internal conflict.

The discussion on stakeholder theory in section 3.2.4 was instrumental in that it brought to the fore the idea that company management not only deals with shareholders, but other groups or stakeholders. It was also important in that it revealed the different classification methods used

in identifying the concerned stakeholders for extractive projects. Group dynamics is therefore a subset within the broader stakeholder theory. According to Wallestein *et al.* (2014), group dynamics can be analysed from a three dimensional perspective: the individual, structural and relational dynamics of partnerships. At the individual level, focus is on the individual members and the assessment includes demographics factors such as age, marital status, education levels and employment status and economic factors such as income levels and savings, as well as social factors including religious and cultural beliefs (Wilson , 2012; Stewart & Shamdasani, 2014). Individual dynamics also addresses issues of an individual's core values, participation motivation towards CCE, personal relationships, cultural identities, and personal beliefs and spirituality (Beck & Cowan, 2014; Keohane & Olmstead, 2016). According to Johnson (2012), two types of individuals exist: the formal and informal, and for this study, these are company management employees and community members respectively. An understating of each type of individual is critical in explaining why members may have differing levels of motivation and belief about their own self-efficacy about CCE, and these levels may also change over time. The collective traits of the individuals define the overall identity of the group (Herman & Chiu, 2014).

Structural dynamics on the other hand, refers to the nature of the team, its composition, extent of diversity, and level of complexity of membership or issues addressed and to the rules and resources used to guide corporate community engagement (Scott, 2017). Diversity in values influences the way that individuals communicate in teams (Herrmann & Herrmann-Nehdi, 2015), and partnerships may face challenges because of cultural distance in values, ethnic or racial group identities, or even differences in professions and sectors among partners (Ting-Toomey, 2012). According to Gray and Stites (2013), partnerships differ in their structural agreements, with tribal partners, for example, requiring formal tribal resolutions of memoranda of agreement whereas other partners may have rules that are more informal. Other factors, such as the closeness of alignment among partners' principles and expectations and the length of time the partnership has existed, may also influence the need for formal agreements (Perry & Towers, 2013).

Relational dynamics on the other hand, are the core interactive or communicative processes used to negotiate work, relationships, and identities during the partnership (Ting-Toomey, 2012). Although group dynamics can be both problematic and positive, effective CCE dynamics might well include reflection on core values to enhance mutual respect and

congruence, dialogue, and mutual learning, and, as recommended by Galvin, Braithwaite, and Bylund (2015), recognising power dynamics. The notion is further supported by Gallois and Giles (2015) who claim that self and collective reflection, especially about the group processes, participatory decision making, integrating local beliefs into group process, and the company's involvement with the community, are all processes of relational group dynamics, such as when extractive companies hold meetings in community locations and participate in community social and cultural events. The Community Based Participatory Research (CBPR) model discussed in section 3.3.4.1 is particularly useful in describing relational dynamics. According to Wallestein *et al.* (2014)'s CBPR model, other factors affecting relational dynamics include having an understanding of the "community voice, language, trust, dialogue, listening, and mutual respect". It also includes factors such as learning, "flexibility, leadership or influence, power dynamics, self and collective reflection, participatory decision-making and negotiation, local knowledge integration, group process, task roles and communication".

According to Thompson (2017), an understanding of the historical background of a community helps in finding out about the past of the concerned groups within the community in order to explain the present and help map out the future. Flint (2012) further states that community history gives companies an appreciation of the overall picture of the community including the economic (e.g. community assets, income distribution patterns), social (e.g. existence of racial, tribal, ethnic conflicts) and environmental issues (e.g. acid mine drainage). Community history is also credited with bringing to the fore vital statistics such as community employment levels, income levels, zoning, public transportation, educational backgrounds, and government developmental policies for the community (Carley & Smith, 2013). On the other hand, a company's history gives local communities knowledge of previous community projects that the company has been involved in, whether or not they were successful, what issues were experienced, and how they were resolved (Kemp & Owen, 2013).

Group dynamics also assists in the process of capacity building (capacity building was also discussed under social context in section 3.3.2.2). Building capacity entails enhancing the community's skills, resources, and organisational structures in affected communities (Green & Haines, 2015). O'Leary and Vij (2012) supported the notion by stating that building capacity includes "fostering shared knowledge, leadership skills, and an ability to represent the interests of one's constituents". This study argues that, because capacity building influences the triple-

bottom-line elements, it is imperative to understand the group dynamics of the stakeholders concerned.

3.3.4 Implementation strategy

The discussion on implementation strategy has over the years progressed towards including theoretical approaches that provide better comprehension of how and why implementation may succeed or fail (Nilsen, 2015). This section discusses the process, determination, and evaluation of the Community-Based Participatory Implementation (CBPI) strategy adopted for this study. Process models describe the process of converting research into practice (Creswell, 2013; Schaffer, Sandau & Diedrick, 2013). Nilsen (2015) states that the early research-to-practice models depicted “linear processes in which research was simply transferred from data gatherers to users”. Subsequent models have evolved and emphasise the contexts in which the research is to be implemented (McKenney & Reeves, 2013; Nilsen, 2015). This study argues that attention should shift from production to the implementation aspect.

On the other hand, determinant frameworks involve identifying the determinants that influence implementation outcomes. Each type of determinant can either have individual barriers or enablers, which are factors that may affect implementation outcomes (Flottorp *et al.*, 2013). Nilsen (2015) supports the notion by stating that “many frameworks are multilevel, identifying determinants at different levels, from the individual user or adopter” to the organisation and beyond. This study argues that implementation takes different dimensions which cause multiple interacting influences.

Finally, “evaluation frameworks provide a structure for evaluating an implementation strategy” (Nilsen, 2015). Bertram, Blase and Fixsen (2015) suggested eight distinct outcomes to use in evaluating: “acceptability, adoption, appropriateness, costs, feasibility, fidelity, penetration and sustainability”. The implementation strategy adopted in this study is Community-Based Participatory Implementation, which seeks to combine process models, determinant frameworks and evaluation frameworks; and is discussed next.

3.3.4.1 Community-Based Participatory Implementation

Community-Based Participatory Implementation is a term borrowed from Community-Based Participatory Research (CBPR). The Community Health Scholars Program, which is a WK Kellogg Foundation-funded post-doctoral fellowship program defines CBPR as:

“A collaborative approach to research that equitably involves all partners in the research process and recognises the unique strengths that each brings. CBPI begins with a research topic of importance to the community and has the aim of combining knowledge with action and achieving social change...”

The essence of CBPI in this study is captured by the following key words: “collaborative,” “equitably,” “partners,” “combining knowledge with action” and “achieving social change.” According to Böschen and Pfersdorf (2014), Tom (2015), and Wabano (2015), the purpose of carrying out CBPR is to alter the approach on research from a “relationship where researchers act upon a community to answer research questions to one where researchers work side by side with community members to define the questions and methods, implement the research, disseminate the findings and apply them”. Stringer (2013) and Wates (2014) opined that in such instances, members of the local community must then be integrated into the research team, and likewise, researchers become involved in community activities. This study proposes the adoption of CBPI as an implementation strategy. CBPI must be viewed as a multi-stakeholder approach to planning and implementing community projects in which the community members work in tandem with company representatives, by contributing expertise, decision-making and project ownership (Castleden, Morgan & Lamb, 2012). CBPI builds on capabilities and resources of the community, which enhances capacity building of both companies and host communities (section 3.3.2.2 - social context - and 3.3.3 - group dynamics). This is a notion also shared by Hacker (2013) and Guta, Flicker and Roche (2013) who contend that strengths include the “skills and assets of individuals and families” and social networks, faith-based organisations, and civic organisations, which allow community members to work together.

3.3.4.2 Responsibility sharing

According to Julian and Ofori-dankwa (2013) corporate community engagement activities lack appropriate resource support (human, material, financial, supervision) which present major difficulties for implementing companies. Ducharme et al. (2013) state that it is crucial for project roles and responsibilities to be defined at the onset of a project to avoid confusion later on. This study supports the notion by suggesting that community engagement projects must clearly define management structures that specify roles and responsibilities and indicate accountability for carrying out and supervising project activities in order to achieve objectives and results. The study further suggests that project resources must be clearly assigned by allocating adequate budgets to specific project activities.

3.3.4.3 Building trust between community and company

As part of developing the Community-Based Participatory Research concept, Tobias, Richmond, and Luginaah (2013) suggested that there were two levels of trust. The first level of trust is between the business and community, and the following recommendations were proffered: (i) recognise individual and institutional histories, (ii) appreciate the historical context of the community, (iii) be present in the community, consult and listen to community priorities, (iv) appreciate the expert contributions of all stakeholders, and (v) state in advance the expectations and targets. The authors provided the following recommendations for the second level of building and maintaining trust: (i) not to assume that people know what implementation approach has been adopted, (ii) ensuring that new people to the project are aware of the first-level recommendations, and (iii) matching plans with actions. Lucero et al. (2013) supported the notion by stating that the second level of trust may include adding other people to work closely with the project (e.g., employees responsible for CCE activities in their companies or community members) or who will be associated with it more distally (e.g., traditional leaders from the community).

3.3.5 Reinforcement elements

This study identified nine latent elements that are critical for the success of the proposed CCE framework and they are referred to as reinforcement elements. They include strategy, alignment, integration, innovation, multi-stakeholder practices, sustainability, results measurement and communication, process (ongoing iterative and transformational), and communication at all levels (Formentini & Taticchi, 2016). The ensuing discussion focusses on how the presence of each of the reinforcement elements may affect each of the independent variables identified for this study (context, group dynamics, and implementation strategy) individually and collectively.

3.3.5.1 *Strategy*

A strategy implies that something has been “planned, preconceived, or deliberate on” (Grant, 2016). In this regard, CCE strategy should be viewed as a series of plans intended to achieve a desired outcome (Rangan, Chase & Karim, 2012; Arjaliès & Mundy, 2013). Modern day companies are therefore advised to have a functional CCE department that is in charge of the community engagement strategy. One of the reasons why companies formulate community engagement strategies is to ensure that planning is not undertaken based on the personal whims

of the responsible people. Accordingly, Buller and McEvoy (2012), Cummings and Worley (2014), and Grant (2016,) suggested that strategic CCE must reflect the value system of the company. Asif *et al.* (2013) defined a strategic community engagement as a CCE initiative that is incorporated in the business core values, objectives and competencies to achieve benefits for both company and community. This study further adds that strategic CCE should be measured by the firm's ability to effectively assess the different contexts in which it operates: group dynamics and the implementation strategy available to it in order to achieve intended outcomes. The study also suggests that a company should address both short and long-term objectives when using strategic CCE.

3.3.5.2 *Alignment*

Scholars such as Asif *et al.* (2013), Epstein and Buhovac (2014), and Grant (2016), postulate that the engagement plans of a company must align “with the development priorities of local communities and government to create a shared sense of value”. Franks (2012), Crane, Matten and Spence (2013), Davis and Franks (2014), and Deresky (2017) concur by stating that companies must coordinate engagement plans with the company's other policies and activities that may have an impact on the communities, such as local hiring, procurement and impact management. This study argues that all three variables of the proposed CCE framework (context, group dynamics, and implementation strategy) must be aligned to the company's strategic plans and objectives and that ownership, visibility, and oversight of CCE must be maintained.

The National Planning Commission (2013) stated that CCE must be aligned according to national, provincial and local community needs. This study supports the notion by proposing that a company must therefore act as a catalyst in the alignment process. However, Bass and Dalal-Clayton (2012) argue that companies should not be expected to respond to everything, further stating that some roles should remain government's responsibility. The authors elaborate further by stating that the aim is to create common values by “investing selectively in areas that are high priority for company, communities and government, and that make good business sense”. This may not always be practical as communities may have other priorities that may not fit perfectly within the broader scheme of the company's operations, but would still need to be attended to.

3.3.5.3 *Integration of CCE into strategy*

This study postulates that companies should must ensure that they have processes to integrate economic, social, and environmental concerns into their business modus operandi with the aim of maximising value creation for all concerned shareholders, and making attempts to identify and mitigate any potential adverse impacts. This notion is supported by Baumgartner (2014) and Goetsch and Davis (2014), who posit that CCE plans must be integrated with the vision, mission, values, corporate objectives, key business strategies and business plans. This study argues that integrated CCE should anticipate the possible impacts of decisions taken and transform this awareness to better decision-making processes.

3.3.5.4 *Innovation*

Fischer and Sawczyn (2013) empirically demonstrated that community engagement and innovation were positively correlated. Innovation may take different forms and should be tailored to adapt to the ever-changing contexts. According to Rothwell (2015), innovation calls for “technology, talent identification, institutional reforms and competency development”. Damanpour and Aravind (2012) described CCE innovation as “that process where new ideas are established and implemented”. Autio (2014) supports the notion by stating that innovation should play a major role in multi-stakeholder CCE initiatives. (Smit et al, 2013). This study argues that being equipped with the right knowledge, training, and experience enhances the cognitive skills of key decision makers. An example of innovative CCE is the link-pin support, which is an idea borrowed from Likert (1976) and Korontz (1980) that continues to involve. The concept is based on the easing of communication channels between stakeholders to improve efficiency and do away with bureaucracy (Cummings & Worley, 2014).

3.3.5.5 *Multi-stakeholder practices*

Crane, Matten and Spence (2013) argue that CCE activities should promote multi-stakeholder practices in local community development. This study supports the notion by stating that a successful CCE framework is one that encourages a multi-stakeholder approach and ensures that the company does not become the sole problem solver of community problems. Doing this will dilute company control by involving other stakeholders (Gyrd-Jones & Kornum, 2013; Gereffi & Lee, 2016). Dodman and Mitlin (2013) supports the notion by stating that multi-stakeholder practices should support community participation, planning and decision-making. Dentoni and Bitzer (2015) support the idea further by arguing that extractive companies must

institute multi-stakeholder CCE mechanisms that converge various stakeholders through formal and informal decision-making. This study also supports the notion by suggesting that multi-stakeholder practices must build consensus amongst stakeholders and should devise methods for diffusing potential concerns or conflicts. The study further suggests that the multi-stakeholder practices should ensure integration of gender perspectives, vulnerable, minority and queer groups. Empirical evidence suggests that participation in community engagement programs by women tend to enable community development with wider positive outcomes (Mansuri & Rao, 2012). The study further argues that multi-stakeholder practices must also facilitate talent identification. Wuim-Pam (2014) supports this idea by stating that talent identification is a process of appropriately identifying and matching the right staff to certain positions. To this end, a clear staffing strategy will ensure that community engagement initiatives are successful.

3.3.5.6 *Sustainability*

As the cliché goes, "Give a man a fish, and you will feed him for a day. Teach a man to fish, and you've fed him for a lifetime" (Confucius, undated). Both company and community should first ascertain what resources the community has at its disposal so that the company can know how much is required for CCE in terms of resources and skills (Crane & Matten, 2016; Grant, 2016). Malik (2014) opined that CCE activities should encourage self-sufficiency in order to realise permanent benefits that can outlive company sustenance. According to Nuer (2015), the company should commence CCE activities with a viable exit or handover strategy in place. This way, the company is forced to plan for what will happen to the CCE project long after it has left. Plummer (2013) proposes that the company should invest heavily in inclusive processes that allow local communities and other stakeholders to take greater roles in the engagement process. This study underscores the need for CCE activities to reinforce indigenous processes rather than replace them.

3.3.5.7 *Results measurement and communication*

According to Epstein and Buhovac (2014), CCE activities should devise ways to measure return on community investment for all concerned stakeholders. This notion is supported by Rahman and Post (2012), who state that CCE activities should "use outcome and impact indicators to measure the quantity and quality of change". In the same vein, Seele (2016) contends that CCE activities must be able to track variations in community perceptions about CCE in order to obtain current and relevant feedback on performance. Theisohn and Lopes

(2013) support the idea by claiming that CCE activities should adopt participatory monitoring and evaluation methods in order to build local community trust and ownership of outcomes. Phillips and Phillips (2016) listed the following as measures that can help companies improve the success of their CCE reporting so that they can create more impact: (i) identify key indicators for measuring outcomes; (ii) Learn from others who have succeeded in finding indicators and improving the impact of their programs; (iii) Listen to your stakeholders and establish their needs and expectations; (iv) use both qualitative (subjective) and quantitative (objective) values to report on outcomes; (v) continuously improve and evolve your measurement. This study argues that companies should at all times communicate the benefits generated by CCE to all stakeholders in order to be accountable and generate trust.

3.3.5.8 Processes

The company should also ensure that CCE activities evolve with the project life cycle and that different approaches are used at different stages of the project cycle to meet current demands. According to Wickson and Carew (2014), CCE must be an “iterative process involving monitoring, research, evaluation, learning and innovation to reduce risks”. In this regard, CCE is said to be transformational, involving “learning over time and the ability to understand the specific context and confluence of stakeholder expectations” (Martinuzzi & Krumay, 2013), hence organisational learning. This means focusing on consistently monitoring and tracking program activities to see what is working and what is not in the short to long-term. It is helpful also to include a series of feedback loops outside of formal evaluations, and these could include ongoing, general feedback for the program, as well as, avenues for feedback about specific initiatives (Barnett *et al.*, 2012). This study argues that the process allows companies to recognise and mitigate issues and challenges timeously. Further, designing feedback loops allows companies to address challenges and reframe issues in real time, creating programs built on meaningful iterations.

3.3.5.9 Communication with concerned stakeholders at all levels

According to Amaladoss and Manohar (2013), the emphasis on CCE should be about communication at all stages. The authors elaborate that the success of CCE programs hinge on needs endorsement and acceptance by all stakeholders, including management, employees and community members. Communication should be done frequently and should report on progress and accomplishments in line with the triple bottom line principle (Mafemba, 2015; Diamastuti & Prastiwi, 2016). Epstein and Buhovac (2014) point out that company management should

inspire subordinates and other stakeholders to buy-in on CCE. Austin and Pinkleton (2015) support the idea by stating that it is imperative to track and share program outcomes with everyone so as to be able to build “program recognition, loyalty, and momentum”. This study argues that effective communication can be a tool for transforming corporate behaviour and reputation.

3.3.6 CCE outcomes

Hopkins (2012) questioned the widespread notion that CCE will bring something good for everyone. The reality is that the actual outcomes of CCE remain under-researched and businesses often find it difficult to measure the qualitative benefits of CCE (Lu *et al.*, 2014). Existing studies on the outcomes of CCE suffer from several empirical limitations, such as omission of variables that determine CCE project success and firm profitability (Braga & Weisburd, 2012). Aguinis and Glavas (2012) further claim that the existing literature is deficient in that it ignores the fact that different CCE types produce different outcomes (Brammer, Jackson & Matten, 2012). This has led to the development of the social license to operate (SLO) concept as the primary motive for conducting CCE by companies.

The SLO is a reflection of the acceptance levels of companies by local communities and other stakeholders (Parsons, Lacey & Moffat, 2014; Hall, 2016). The concept is based on the idea that companies need both government and society’s permission to operate (De Leaniz & Gómez-López, 2017). At the individual level, the notion of a SLO is driven more by the perceptions that local communities and other stakeholders hold about the project (Prno, 2013). According to Makinodan *et al.* (2012), a social license is obtained on a site basis. Hence, a company may not use a SLO obtained in one project area to conduct its business in another. This study argues that once a SLO has been granted to the company, CCE outcomes, which are informed by the triple-bottom-line principles, will be realised by both companies and communities. The study argues that CCE outcomes may further be broken down into intended, unintended but positive, or unintended (and negative). The ensuing sections discuss the economic, social and environmental outcomes of CCE.

3.3.6.1 *Economic outcomes – ‘wealth redistribution’*

Intended outcomes of CCE are the direct benefits accruing to both companies and communities as a result of CCE initiatives. Most literature discusses in greater detail the numerous potential intended economic outcomes of CCE. Scholars are keen to highlight the good that comes with

CCE projects such as increased employment to local community members, donations in areas of food packages, healthcare and education, and general infrastructure and economic uplift of the communities (Torugsa, O'Donohue, & Hecker, 2013). However, an area that is not sufficiently covered in the literature is the unintended but positive economic impact of CCE (Lin-Hi & Müller, 2013). These are the spinoff benefits resulting from the successful implementation of CCE programs by the company (Davey, Plewa & Muros, 2014). They are not exactly planned for, but may or may not come with the successful implementation of CCE projects. An example is the influx of other investors into the community, such as retail shops attracted by the population boom in these communities. The linkages formed with local businesses are another example of the unintended positive benefits resulting from CCE. There is also increased effort by local community members to enhance themselves through education, training and learning new languages so that they can be employable by the companies operating in their areas. The following have also been reported as unintended and positive economic outcomes of CCE (Epstein & Buhovac, 2014): greater job satisfaction, ability to attract better talent, and investor preference for compliant firms.

Scholars have also discussed in detail the unintended and negative economic outcomes of CCE. These are the negative economic externalities resulting from the company's CCE programs (Orlitzky, 2013). Small businesses such as township spaza shops may be driven out of business by the entrance of bigger competition such as Pick 'n Pay or Shoprite. According to Mondoloka (2017), there is also a general tendency to want to depend more on companies by local communities for services that should ordinarily be offered by government or local authorities. This leads to inefficiencies on the part of government. The following were also observed to be unintended and negative economic outcomes of CCE (Epstein & Buhovac, 2014): reduced profits, increases in consumer prices, decreased productivity, and increased government regulation.

3.3.6.2 Social outcomes

Intended social outcomes of CCE refer to the expected potential societal outcomes of CCE. Chernev and Blair (2015) concluded that research in the area of CCE impact assessment has largely been left unexplored, particularly in the area of what companies are doing to benefit the society that they operate in, that is assessing the societal effects of CSR activities. Ameer and Othman (2012) also stated that it seemed there had been more attention paid to corporate financial performance than to corporate social performance. Carroll and Buchholtz (2014)

further state that not much effort has been directed towards investigating the value of CCE for various societal stakeholders, particularly women and children. This study argues that a successful CCE project must consider and measure social outcomes, including vulnerable groups in society, such as “increasing job-skills and employment opportunities for women, disabled women, and rehabilitated drug-users”. This idea was also supported by Bryman and Bell (2015) who went further to state that the relationship between the “social performance and the financial performance” of a company has been of interest in academic research although the societal benefits have not been well articulated. This study supports the argument by calling for researchers to improve the precision of measurement of the social returns of CCE.

The unintended and positive social outcomes of CCE activities include risk reduction (Hoi, Wu & Zhang, 2013). Deresky (2017) opined that “in a society where global communication takes place at the push of a button, stakeholder engagement can provide an early warning signal for potential risks such as apprehension regarding products and social and environmental impacts” Bocquet *et al.* (2013) supports that view by stating that CCE also drives innovation. This is a view shared by this study by suggesting that organisations are more likely to obtain more business opportunities by engaging other stakeholders because there will be a larger pool from which information flows. The study further suggests that CCE helps build social capital. Social capital is defined by Rouxel *et al.* (2015) “as networks together with shared norms, values and understandings that facilitate co-operation within or among groups”. At the basic level, social capital includes tapping into the full spectrum of local community networks such as churches, school and civic organisations to enjoy the benefits of “greater access to information, improved influence and community support” (Merriam, Caffarella & Baumgartner, 2012).

There are also unintended and negative social outcomes resulting from CCE activities. Orlitzky (2013) suggests that scholars and businesses bury the myth that CCE guarantees positive social outcomes. The relationships between CCE and economic performance are complex and scholars should synthesise objective data rather than dwelling in wishful thinking. The author urges businesses to become more rational about what they perceive to be socially responsible actions. This study argues that financial prudence ensures success of CCE programs

3.3.6.3 *Environmental outcomes*

Intended environmental outcomes of CCE are the reduction of any damaging effects on the environment from business' processes. Baumgartner (2014) contends that CCE's environmental value is about the protection of the environment. This study further states that a sound CCE framework is one that helps organisations to direct resources, time and effort towards environmental value outcomes that can make a difference to both the community and environment.

3.4 GAPS IN THE LITERATURE REVIEW

Overall, there has been compelling arguments by both scholars and practitioners on the need and benefits of community engagement. However, there are gaps in the literature pertaining to the provision of a controlled approach directing organisations to have a better appreciation of the basis upon which a successful community engagement framework can be build, particularly one that fully addresses issues of context, group dynamics, and implementation strategy. The literature is also silent on the concept of reinforcement elements and their application. The following paragraphs reveal the nature and extent of gaps in literature.

3.4.1 Gaps pertaining to context, group dynamics and implementation strategy

A lack of adequate comprehension of the context, group dynamics and implementation strategy are critical factors contributing to the gap between research and practice. Policy makers and experts are often faced with difficult challenges in making decisions about project planning, designing, implementation, monitoring, reviewing and evaluation. In the absence of CCE framework, it is even more difficult to establish what community priorities require intervention. The complexity of determining what interventions measures work have led to the failure of current community engagement approaches. Furthermore, literature does not exclusively address the issue of contextual factors, which are critical in shaping the overall nature of the engagement process. Companies should have a clear outline of the economic, social and environmental contexts before embarking on community engagement interventions. The literature is also silent on how to assess the group dynamics of the concerned stakeholders. No mention is made of the structural, individual and relational dynamics of the actors, institutions, and networks. There are also gaps in the literature pertaining to effective implementation strategy of community engagement projects.

3.4.2 Gaps pertaining to reinforcement elements

The literature does not fully address the issue of how the reinforcement elements actually affect context, group dynamics, and implementation strategy. It seems scholars and businesses face the difficult challenge of understanding how such variables may be applied.

3.5 CHAPTER SUMMARY

This chapter presented a review of CSR as it provided the main theoretical guidance for this study. CCE was also discussed to build on the conceptual framework for the study. The key concepts discussed in this chapter are presented in Figure 3.1 below to help illustrate how those concepts relate to each other. The next chapter will discuss the research design and methodology of the study.

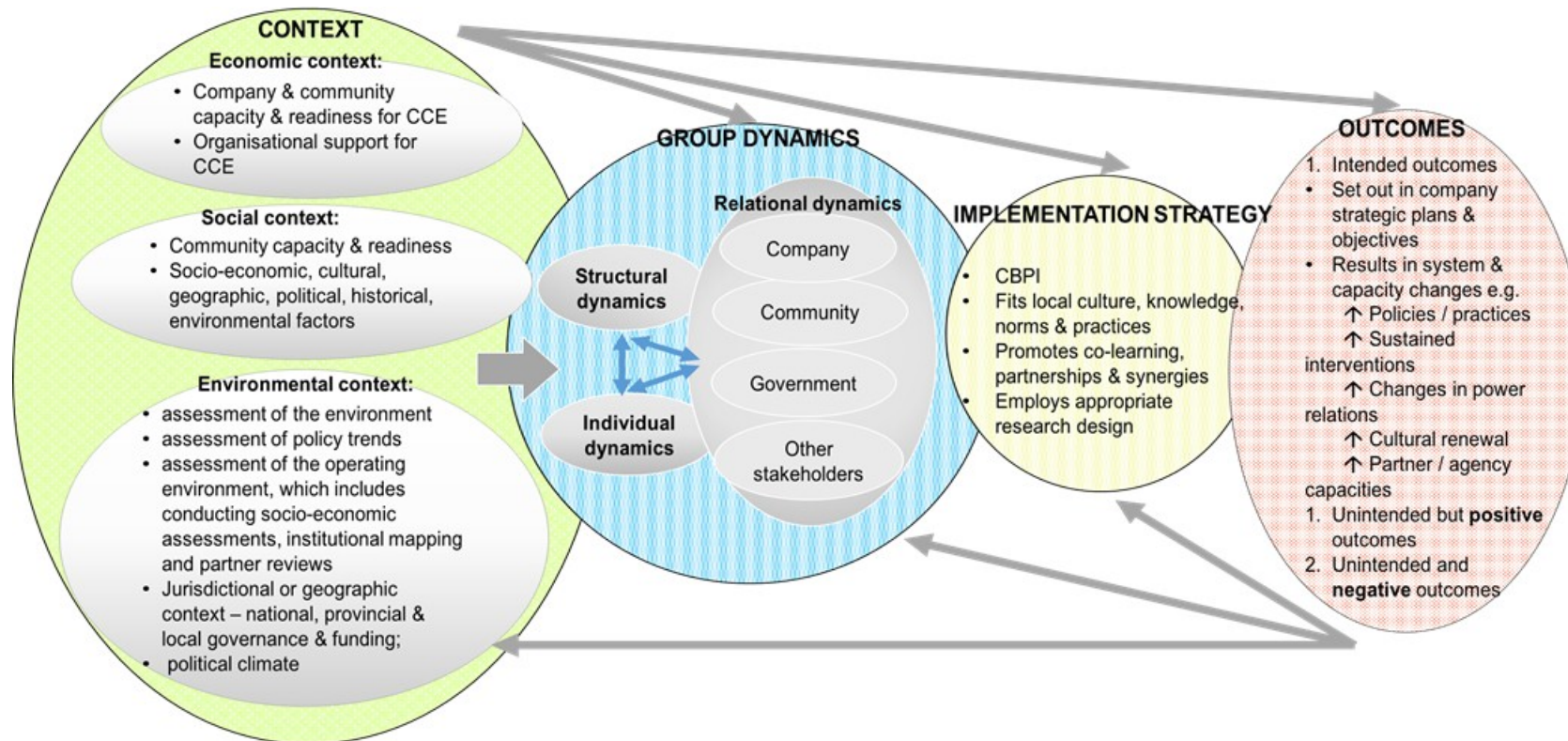


Figure 3.7: Overview of key concepts for the proposed CCE framework

Source: adapted from Wallerstein *et al.* (2014)

CHAPTER 4

RESEARCH DESIGN AND METHODOLOGY

4.1 INTRODUCTION

Chapters 2 and 3 lay the groundwork for the proposed framework by critically analysing and reviewing related literature. Chapter 2 was particularly important in reviewing South Africa's extractive sector developments and global lessons learnt. Chapter 3 was instrumental in revealing literature pertinent to the proposed conceptual framework, namely contextual factors, group dynamics and implementation strategy. This chapter focuses on the design and methodology of the study that was followed in researching the impact of CCE on stakeholder relations in the extractive sector in the Western Cape Province of South Africa. Research methodology is a strategy of action by which the researcher charts out an approach to solving the problem at hand (Jamshed, 2014, Liedtka, 2015, Bestley & Noble, 2016). According to Pycszak (2016), research methodology is a strategy for profiling the choice and use of specific methods relating them to anticipated outcomes of a research problem. Research methods is the approach used to undertake the research problem (Stringer, 2013, Pawson, 2013).

4.2 RESEARCH PHILOSOPHY

Research philosophy is the beliefs that guide action (Creswell, 2013; Corbin, Strauss & Strauss, 2014; Herr & Anderson, 2014; Mertens, 2014; Moon & Blackman, 2014; Eriksson & Kovalainen, 2015; Creswell & Poth, 2017). They are a product of the researcher's academic background, discipline orientations, the inclinations of the researcher's advisors or mentors, and past research experiences (Corbin, Strauss & Strauss, 2014, Boehe, 2016, Creswell & Poth, 2017). A pragmatic research philosophy was adopted to answer the research questions set in this study. Instead of focusing on methods, pragmatism emphasises the research problem and uses all available approaches to understand and find solutions to the problem (Creswell & Poth, 2017). Pragmatism offers the following advantages (Corbin, Strauss & Strauss, 2014, Boehe, 2016, Creswell & Poth, 2017):

- The freedom by the researcher to choose procedures that best address the purpose of the study without being restricted to any one system. This allows researchers to freely draw from both quantitative and qualitative assumptions.

- Pragmatism permits the mixed methods researcher to establish a purpose and rationale for their mixing. For this study, qualitative data (section 4.4.3.1) were collected through in-depth interviews with 16 CSR employees, whereas quantitative data were collected through an online survey of 384 community respondents (section 4.4.3.2).

4.3 RESEARCH DESIGN

Research can be viewed as a process of planned and “systematic collection, analysis and interpretation of data” for arriving at dependable solutions to problems (Best & Kahn, 2016, Ott, & Longnecker, 2015, Creswell & Poth, 2017). Using the words “planning” and “systematic” suggests that research should be conducted in an organised fashion and should follow a definite plan of action (Zikmund *et al.*, 2014). The search for answers to research questions is best served by having a blueprint which can be used as a guide through the research process by outlining how a study ought to be organised and conducted (Riff, Lacy & Fico, 2014, DePoy & Gitlin, 2015, O’Leary, 2017). Such a blueprint for the research is referred to as the ‘research design’. Designing the research with forethought allows researchers to anticipate fundamental issues around data collection and interpretation, specifically issues such as the the type of data needed to address the research questions, where the data will be found, how the data will be obtained and how the data will be interpreted (Salmons, 2015, Fisher, 2017, McCormick *et al.*, 2017).

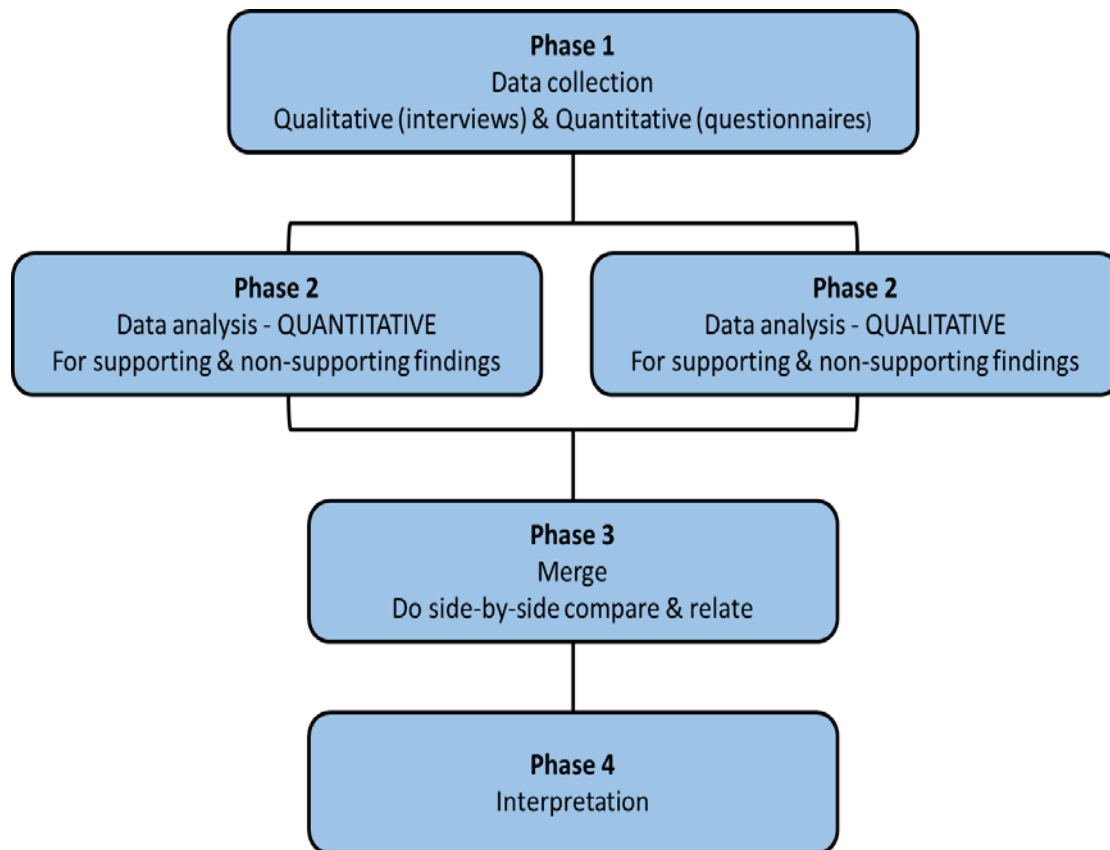
Numerous definitions of research design exist, but none captures the full range of important features. Even though these definitions may differ in detail, most however capture the critical elements of research design as being (Robson & McCartan, 2016):

“an activity and time-based plan; always based on the research question; a guide to the selection of sources and types of information; a framework for specifying the relationships among the study’s variables, and an outline of procedures for every research activity”.

The design thus addresses issues of data gathering techniques, sampling methods used, and time and cost constraints (Bryman, 2015, DePoy & Gitlin, 2015, Robson & McCartan, 2016). Bryman and Bell (2015) further describe a research design as “a plan for identifying participants and collecting information from them, with a view to arriving at conclusions about the research problem”. This study adopts a mixed methods approach. According to Creswell

and Poth (2017), mixed method research allows the researcher to “combine quantitative and qualitative research techniques, methods, approaches, theories and or language into a single study”.

The exploratory sequential mixed method design adopted allowed the researcher to merge qualitative and quantitative data so as to comprehensively analyse the research problem (Creswell, 2013, Brannen, 2017). The researcher started by collecting qualitative data through in-depth interviews. The data collected from the in-depth interviews together with the literature provided in Chapters 2 and 3 were then used to design the questionnaire that was used to collect the quantitative data through an online survey. Qualitative data were collected first, followed by the quantitative data, the two data forms were analysed separately, the results were compared to see if the findings confirmed or disconfirmed each other, and then the information was combined in the interpretation of the overall results (Creswell, 2013). The mixed methods approach adopted leaned more towards a quantitative approach than the qualitative approach. The method was instrumental in validating the qualitative data through the quantitative data through comparing and contradicting of the two data forms. Contradicting findings were further probed and / or explained (Heyman & Moors, 2014). Figure 4.1 presents a diagrammatic map of the research methodology used in this study.



Adapted from: Creswell, 2013

Figure 4.1: Diagrammatic map of the research methodology

4.3.1 Qualitative methods

The choice of qualitative method was motivated by the need to gain an in-depth insight from the perspective of extractive companies about their CSR initiatives, what it is they were doing, and whether or not they were doing it correctly. The results were then compared to the sentiments of host communities. Thus, the qualitative research method was critical in addressing the study objectives through techniques that allowed the researcher to provide an elaborate interpretation of the phenomena, without depending on numerical measurement (Zikmund *et al.*, 2014). By adopting a qualitative methodology, the researcher hoped to fine-tune pre-conceived notions of CCE, particularly from extractive companies' perceptions, and then extrapolate by analysing and estimating the issues from an in-depth viewpoint (Silverman, 2013). The qualitative research was conducted through in-depth interviewing because this research method is said to be more subjective, implying that different researchers may have different outcomes from the same interview (Creswell, 2013). The results of qualitative methods are said to reveal higher levels of validity, but lower levels of reliability when the research is replicated (Merriam & Tisdell, 2015; Glaser, 2017).

Qualitative research is an encompassing concept that includes several research strategies (Creswell, 2013; Flick, 2014; Mertens, 2014; Merriam & Tisdell, 2015). Research strategies are combinations of techniques used to obtain valid and reliable data (Zohrabi, 2013). Qualitative research deals with a phenomenon that occurs in its natural settings and complexity (Ormston *et al.*, 2014; Marshall & Rossman, 2014). Qualitative methods emphasise aspects of “meaning, process and context by addressing issues of why and how, rather than the how many” (Ormston, Spencer, Barnard & Snape, 2014). The kind of data produced by qualitative research has “richness, depth, nuance, context, multi-dimensionality and complexity” (Njie & Asimiran, 2014, Rudestam & Newton, 2014). Research questions are formulated to investigate topics of interest in all their complexity (Altrichter *et al.*, 2013, Bryman, 2015). It is necessary to analyse the contexts and narrate the meanings attached to particular processes, situations and events by participants (Bryman & Bell, 2015; Eriksson & Kovalainen, 2015).

The researcher was the primary agent for the gathering and analysis of the data. Based on Creswell and Poth (2017)’s definition of qualitative research above, this study can be said to be descriptive because it aimed at revealing company-community needs. In the same breadth, the study can be said to be interpretive, given that it sought to gain insights into causes and impacts of stakeholder conflict. Therefore, in this study, qualitative research serves both descriptive and interpretative purposes.

4.3.2 Quantitative methods

On the other hand, a survey design was used to capture a shallow band of information from a large number of people so as to objectively measure and predict the influence of CCE on stakeholder relations. The researcher started by designing a questionnaire and then exporting the questionnaire onto an online tool called LimeSurvey. The survey provided a “numeric description of attitudes and opinions” of the population towards CCE by reviewing a sample of that population. The purpose of using the survey design was to generalise from a sample to a population so that interpretations could be drawn about the attitude of this population towards CCE initiatives by extractive companies (Creswell & Poth, 2017; Eisner, 2017). The survey was cross-sectional in that it “collected data at one point in time”, and not longitudinal, where data would be collected over time (Figure 5.2).

Because of the relatively large sample size, it would have been difficult to physically hand out copies of the questionnaire to each and every respondent. The researcher therefore had to rely

on the use of a survey. Survey research entails “acquiring information about one or more groups of people about their opinions, characteristics, attitudes, or previous experiences” (Almond & Verba, 2015; Mai, 2016). The goal with a survey is to learn about a large population by surveying a sample of it (Hancock & Algozzine, 2016). A survey is the research method used to collect and analyse standardised information from a defined population using a representative sample of that population (Mertens, 2014, Palinkas *et al.*, 2015). A major limitation with surveys is that it is usually impossible to probe further into insights relating to the causes or processes relevant to the issue being investigated due to the pre-defined nature of the questions. The pre-defined questions also appear to be shallow in covering complex topics. This limitation is one of the reasons the researcher adopted the mixed methods approach so that use of other appropriate methods of data collection such as interviews could be employed whenever required.

4.4 POPULATION AND THE SAMPLING PROCEDURE

4.4.1 Population

This section describes the population that participated in this study. A population is “the entire group of people, events or things of interest that the researcher wishes to investigate” (Hancock & Algozzine, 2016; Moser & Kalton, 2017). The population is key in that it highlights all the subjects about whom the study is meant to generalise (Bryman & Bell, 2015). The target population for this study consisted of all active extractive companies in the Western Cape and their host communities. In that regard, the population was made up of two sets: (a) employees directly involved in the community engagement activities of the extractive companies in the province, and (b) residents of the communities that host those extractive companies.

According to unconfirmed reports obtained telephonically from an official of the Department of Mineral Resources in Western Cape Province of South Africa, there were 146 active mining companies in the Western Cape at the time of this study. A company was said to be active on the basis of having been granted prospecting and mining rights via Magisterial Districts. The DMR official went on to say that it was difficult to state a population figure for the affected communities because this figure was fluid, as it included people that came from labour sending areas as far as the Eastern Cape. He however mentioned that major mining communities in the Western Cape Province included Dunoon, Macassar, Khayelitsha, Vredenburg, Knysna, Beaufort West, Laingsburg and Malmesbury. These areas were selected for use in this study

on the basis of the scale of extractive operations conducted in the areas as well as the size of host communities in terms of population. According to data drawn from Census 2011 these areas had the population figures presented in Table 4.1.

Table 4.1: Population for the major extractive areas in the Western Cape

Extractive area	Major extractive activity	2011 Population Census
Khayelitsha	Building sand	391 749
Knysna	Uranium	51 078
Vredenburg	Phosphate	38 382
Malmesbury	Building sand	35 897
Beaufort West	Limestone	34 085
Macassar	Stone aggregate	33 225
Dunoon	Quarry	29,268
Laingsburg	Uranium	5 667
Total population of affected host communities		613 684

Source: Population Census 2011

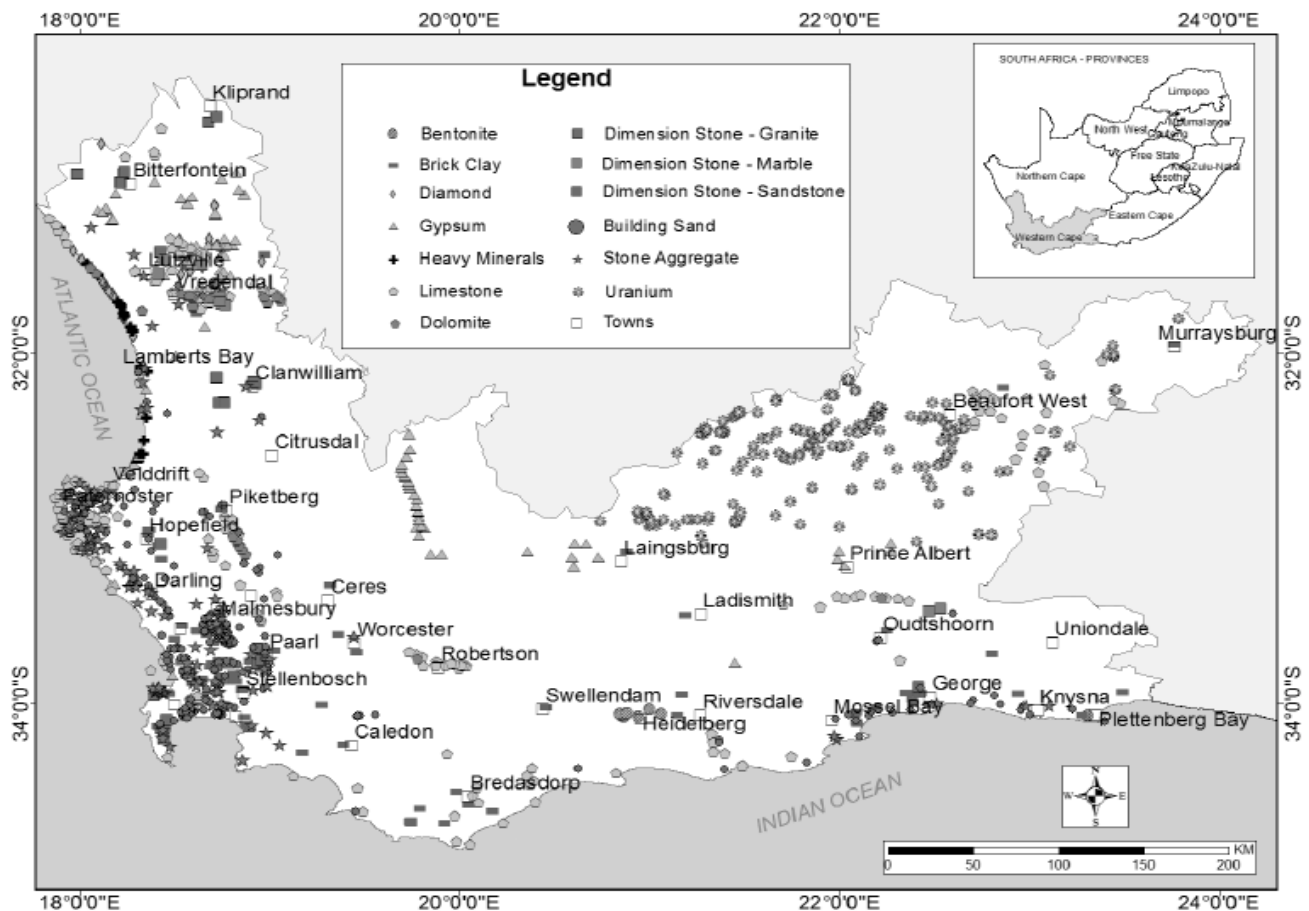
Figure 4.2 below shows the geographic spread of extractive activities in the Western Cape Province and the impact that they have on host communities. The researcher observed that most extractive companies contacted had CCE departments manned by at least two employees. It can therefore be inferred that the total number of CCE employees for extractive companies in the Western Cape Province was 292. The total population for the study was therefore 613 976 people made up of the 292 CSR employees and 613 684 residents of the affected host communities.

4.4.2 Sample size

A sample is a subset or some part of a larger population from which population characteristics are estimated (Coale, Demeny & Vaughan, 2013, Fowler, 2013, Levy & Lemeshow, 2013). The need for a sample arises from the inability of the researcher to test all individuals in a given population (Farrokhi & Mahmoudi-Hamidabad, 2012, Schmidt & Hunter, 2014, Mertler & Reinhart, 2016, Moser & Kalton, 2017). Fleiss, Levin and Paik (2013), Levy and Lemeshow (2013), and Denscombe (2014) stress the need for the sample to be representative of the population from which it was drawn and to be a good size to warrant statistical analysis. While

different studies use different sample sizes, the following factors were identified as crucial in determining sample size: (i) representativeness, (ii) population size, (iii) data analysis, (iv) finance, (v) time availability, (vi) population characteristics, (vii) research objectives, (viii) non response factor, (ix) statistical precision, (x) sampling error, (xi) objectivity, (xii) validity, and (xiii) reliability (Blair, Czaja, & Blair, 2013, De Vaus, 2013, Rea & Parker, 2014).

Because of the mixed methods nature of the study; sampling strategies for both quantitative and qualitative data collection were used. A sample size of 16 CSR employees from eight (8) purposively selected participating companies was used to collect qualitative data and 384 randomly selected survey respondents were used to gather quantitative data from residents of the host communities situated around the extractive companies. The sampling procedures followed are described in section 4.4.3.



Source: Ngcofe (2014)

Figure 4.2: Distribution of economic mineral resource potential in the Western Cape

4.4.3 Sampling procedures

This section describes the sampling measures used for selecting the respondents, and the key attributes of the respondent samples. Sampling procedure refers to the process of selecting elements to be observed (Levy & Lemeshow, 2013, Bryman & Bell, 2015, Best & Kahn, 2016). The section starts by discussing the sampling procedure for the qualitative sample, and then for the quantitative sample.

4.4.3.1 *Qualitative sampling design*

The researcher purposefully selected one extractive company from each of the eight major host communities discussed above. The researcher then interviewed two CSR employees from each of the companies. This means that 16 CSR employees were interviewed in total. The decision to interview company CSR employees was motivated by the fact that these would provide helpful insights about CSR from a practical level. All of the interview participants held middle management positions and thus were involved in the formulation of the companies' CSR policies. The selection of the participating companies was meant to ensure adequate representativeness in terms of geographic spread and variety of extractive activities, which significantly improved reliability of the results. Since there is no statistical determination for qualitative sample size (Richie & Lewis, 2013), the researcher anticipated that thematic saturation would be achieved by interviewing at least 16 participants from the deliberately chosen companies. Another justification was that, in order for the researcher to address the research problem in depth, a smaller number would facilitate the researcher's close association with the respondents, and thus enhance the validity and reliability of results (Crouch & McKenzie, 2016). The researcher also reached a point of saturation at participant number 16, which implies that all data were reduced, filtered and sampled through the process of analysis (section 4.8.1.1.1).

4.4.3.2 *Quantitative sampling design*

According to Lampard and Pole (2015), two groups of quantitative sampling procedures exist namely, probability and non-probability sampling and these are based on randomisation and non-randomisation respectively. This study used stratified random sampling. Stratified random sampling is a probability sampling technique in which the population is divided into mutually exclusive and exhaustive homogenous subsets and each element is chosen from each subset (Cohen, Manion & Morrison, 2013, Uprichard, 2013, Rea & Parker, 2014, Bryman, 2015,

Lampard & Pole, 2015). This meant that the researcher could deal with a large sample, thereby enabling the results to be generalizable (Bryman, 2015). This sampling technique was also chosen to ensure that all residents from the participating communities were selected proportionately. With probability sampling, subjects were drawn from the study population in such a way that there was an equal probability of each member of the population being selected. Fowler (2013), Denscombe (2014), Hopkins (2017), and Moser and Kalton (2017) contend that this type of sampling is conducted to provide estimates of what is true for a population efficiently from a smaller group of subjects. Given the target population of 613 684 households, a sample size of 384 was derived using survey tables shown in Table 4.2. Note that the sample size increases very little in response to increases in population size.

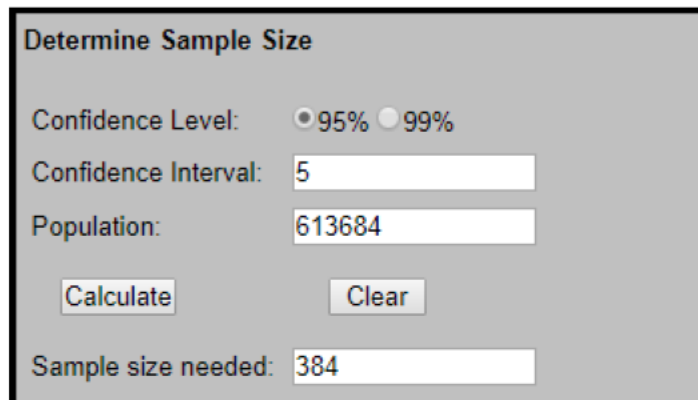
Table 4.2: Sample size for a given population

N	S	N	S	N	S
30	28	400	196	4500	354
40	36	420	201	5000	357
50	44	440	205	6000	361
60	52	460	210	7000	364
70	59	480	214	8000	367
80	66	500	217	9000	368
90	73	550	226	10000	371
95	76	600	234	15000	375
100	80	650	242	20000	377
110	86	700	248	30000	379
120	92	750	254	40000	380
130	97	800	260	50000	381
140	103	850	265	75000	382
150	108	900	269	100000	384
160	113	950	274		
170	118	1000	278		
180	123	1100	285		
190	127	1200	291		
200	132	1300	297		

N	S	N	S	N	S
210	136	1400	302		
220	140	1500	306		
230	144	1600	310		
240	148	1700	313		
250	152	1800	317		
260	155	1900	320		
270	159	2000	322		
280	162	2200	327		
290	165	2400	331		
300	169	2600	335		
320	175	2800	338		
340	181	3000	341		
360	186	3500	346		

Source: Sekaran and Bougie (2016)

The sample size was also confirmed using a sample size calculator (Figure 4.2), which is available at <http://www.macorr.org>.



Source: <http://www.calculator.net/sample-size-calculator.html>

Figure 4.3: Sample size calculator

According to Yin (2013) and Mertens (2014), a good test of a sample design is how well the “sample represents the characteristics of the population it purports to represent”. A sample must be valid, and validity of a sample depends on accuracy and precision (Fowler, 2013). A sample size formula is used to determine how large the sample from a particular population is

in order to estimate the required degree of precision (Fowler, 2013, Levy & Lemeshow, 2013, Denscombe, 2014).

The balancing of the under-estimators and the over-estimators among the members of the sample make the sample size unbiased. Patten and Newhar (2017) however, argue that there is no systematic variance with a precise sample. Buenrostro *et al.* (2015) defines systematic variance as “the variation in measures that occur due to some known influences that cause the scores to lean in one direction more than another”.

Precision of estimate is another criterion of a good sample design (Olofsson, 2014). Levy and Lemeshow (2013) claim that there is no sample that can fully represent its population in all aspects. Further, the authors state, “numerical descriptors that describe samples may be expected to differ from those that describe populations because of random fluctuations inherent in the sample process”. They call this a sampling error because it reflects the impact of chance in drawing the sample members. “Sampling error is what is left after all known sources of systematic variance have been accounted for” (Little & Rubin, 2014). Fowler (2013) and Denscombe (2014) further state that in theory, “sampling error consists of random fluctuations only, although some unknown systematic variance may be included when too many or too few sample elements possess a particular characteristic”. According to Patten and Newhar (2017), “precision is measured by the standard error of estimate, a type of standard deviation measurement; the smaller the standard error of estimate, the higher is the precision of the sample”. The ideal sample design is expected to produce a small standard error of estimate. However, “not all types of sample design provide estimates of precision, and samples of the same size can produce different amount of error variance” (Rao, 2015).

4.5 DATA COLLECTION

Data collection is a means by which researchers attempt to address their research objectives (Zikmund *et al.*, 2013; Bryman & Bell, 2015; Hancock & Algozzine, 2016; Sekaran & Bougie, 2016; Creswell & Poth, 2017). In fulfilment of the mixed methods approach adopted for this study, qualitative and quantitative data were collected. The research questions set out in section 1.6 informed the formulation of interview questions and development of the questionnaire for this study. Data collected from the literature review chapters 2 and 3 were also instrumental in shaping the interview and questionnaire questions. The ensuing sections discuss how data were collected using the two approaches.

4.5.1 Qualitative data collection: Interview protocols

Punch (2013), Mertens (2013), Saldaña (2015), and Creswell and Poth (2017) state that “qualitative research uses narrative and descriptive approaches for data collection” and understanding of “the way things are and what they mean from the perspective of the research respondents”. Guest, Namey and Mitchell (2012) assert, “to collect qualitative data requires a data collection instrument that is sensitive to the underlying meaning”. This research used in-depth interviews to elicit information necessary to achieve a holistic understanding of the community engagement employees’ point of view so as to ascertain the overall perspective of extractive companies regards CCE. According to Bowling (2014), the purpose for using interview instruments is “to explore the views, experiences, beliefs and motivations of individuals on specific matters”. Interviews are viewed as instruments that provide more depth in understanding a social phenomena under investigation than would be attained using purely quantitative methods, such as questionnaires (Bryman & Bell, 2015). Best and Kahn (2016) also claim that interviews may also be “particularly appropriate for exploring sensitive topics, where participants may not want to talk about certain issues in a group environment”, such as when a CCE employee feels that the company is not doing enough towards community engagement. Interviews were thus used in this study to obtain more detailed data, clarify elusive statements, allow further exploration, and add on to the qualitative findings from the reviewed literature, so as to produce a detailed account of the extent of the impact of CCE on stakeholder relations in the extractive sector.

During the interview process, notes were taken and the entire interview process was audio recorded. Literal transcripts of the interviews were gathered for analysis and interpretation. In order to make sure that reliability and validity of the data maintained, the transcribed notes of the interviews were given to the respondents to verify and confirm that the contents of the interviews in fact correct. All the sixteen respondents gave permission allowing interviews to be recorded by means of a tape recorder and an additional backup recorder. Furthermore, the notes taken during interviews were to be used as alternative backup for the recording procedure.

The in-depth interviews focused on the individual by addressing complex issues around CCE by focussing and investigating each employee’s personal perspectives using a range of probing techniques to achieve in-depth understanding. This data collected using this method added depth and richness to the study. According to Rowley (2012), three types of research interviews exist: “structured, semi-structured and unstructured”. Structured interviews comprise a list of

predetermined questions. There is no scope for probing when responses are unclear. Although they are fairly easy to administer, they only allow for limited participant responses, which rendered them unsuitable for this study due to the depth of information required (Bryman, 2015). Conversely, unstructured interviews require little to no organisation and usually start with an opening question and will then progress based on the initial response (Corbin, Strauss and Strauss, 2014; Bryman & Bell, 2015). Unstructured interviews are quite time-consuming and are often difficult to manage given the lack of structured interview formats to provide guidance; which also rendered them unsuitable for this study. This study used semi-structured interviews. Babin and Zikmund (2015) state that semi-structured interviews consist of numerous key questions that provide guidance on what to ask and allow the interviewer or interviewee to diverge whenever necessary in order to follow an idea or response in greater detail. This interview format was ideal for this study because it provided respondents with guidelines about what issues to address. The semi-structured interview also gave the researcher and respondent the freedom to explore additional points and change direction, where necessary.

The interview protocol was designed in a way that allowed the researcher to capture the indicators that formed the baseline for capturing the variables of CCE which were perceived to have an influence on stakeholder relations. The list of the indicators and the formulation of the interview protocol were a culmination of the researcher's extensive review of literature on the subject. The research instrument consisted of six questions which were informed by the research questions, for example: "*What is your understanding of CCE?*"

This was an in-depth semi-structured question that intended to obtain words or phrases that featured prominently from the responses given by extractive companies' CSR employees and those responses would then be assumed to imply an understanding of CCE from the companies' perspective. The question was designed to address the issue of context. Context is described as the circumstances that form the setting (Richard, 2014, Moosa, 2016, Kent, 2017). Muti (2015), Baloyi (2015), and Rose (2017) attest that the classification of context is based on three major aspects, namely (i) economy, (ii) society and (iii) environment. In that regard, this question was designed to obtain an understanding of CCE from an economic context. Follow up questions were asked depending on the responses given by each interviewee.

4.5.1.1 *Administering the interviews*

The data collection took the following sequence:

1. Visits were made to participating companies following telephone enquiries requesting permission, firstly for a face-to-face appointment with the responsible person and explaining the intention of the study, and secondly, to come up with a workable way of carrying out the interviews without disturbing company operations. Contact numbers for these companies were found on the internet.
2. After meeting HR personnel for the different companies telephoned, the researcher asked to meet the community engagement employees for each company.
3. All companies had at least two CSR employees, hence the researcher decided to interview two representatives from each company.

In conducting the actual interviews, the researcher prepared “good questions and used familiar language” (Doody & Noonan, 2013, Zohrabi, 2013, Bell, 2014, Mackey & Gass, 2015). Davies and Hughes (2014) caution against using leading questions such as “*what challenges have you faced as a result of the company not including local communities?*” Leading questions expose a bias or an assumption that the researcher is making (Creswell & Poth, 2017), which may not necessarily be shared by the participants. The author goes further to explain that leading questions manipulate the respondents to accept the researcher’s point of view, which may defeat the essence of conducting research. Even though the researcher asked ‘yes-or-no’ questions in some instances to establish a respondent’s overall position or feelings about an issue, he also asked follow-up questions. According to Creswell and Poth (2017), yes or no questions provide hardly any useful or relevant information. Finally, the researcher observed good interview etiquette by explaining to the respondents the purpose of the interview; defining some terms such as CCE; creating a good interview atmosphere; not interrupting; not being judgmental; being neutral, respectful, natural and nonthreatening; creating rapport; and providing interviewees with scope to express their opinions (Zohrabi, 2013, Bell, 2014, Mackey & Gass, 2015, Creswell & Poth, 2017). The researcher audio-recorded the interviews; took down notes; and wrote down every detail of the interview immediately after the interview (Creswell & Poth, 2017). The interviews lasted between 45 minutes to one hour per respondent.

4.5.2 Quantitative data collection: Questionnaire

This section describes the questionnaire as the measuring instrument used in this study. Reference to established measures could not be sufficiently done in South Africa, as there were no adequate documented cases on measurement of the variables to be found. In this instance, as was recommended by Harzing, Reiche, and Pudelko (2013), use was made of measuring

instruments used in other countries, although this required substantial adaptation. The questionnaire can be described as an instrument for executing the measurement process (Daley, 2012). The choice of the questionnaire as a measurement instrument for this study was influenced by the need to fully address the research objectives (section 1.5). Punch and Oancea (2014) argue that the chosen method is influenced by “the nature of variables under study; the nature of the target population; and the resources available”.

The questionnaire was designed in a way that the items would address the research objectives. The questions were made up of classification and target or measurement questions as suggested by Daley (2012). The classification questions were those on demographic variables as a means to group participants’ answers so that patterns would be revealed and studied (Bowling, 2014, Mertens, 2014, Creswell & Poth, 2017). The measurement or target questions were structured to provide the participants with a fixed set of choices (Creswell & Poth, 2017). The questions were formulated in an easy way to facilitate participants’ understanding (Punch & Oancea, 2014).

The researcher varied the questioning style into some of the seven question types suggested by Baxter *et al.* (2006), namely: quantity or information, category, scale, ranking, and close-ended. A Likert scale was used to rate questionnaire issues, for example; strongly agree = 5; agree = 4; neither agree nor disagree = 3; disagree = 2; and strongly disagree = 1. The collection of data was causal in nature, which enabled the researcher to “explain the attitudes and behaviour of the respondents on the basis of data gathered at any point in time” (De Vaus, 2013, Bell, 2014, Sekaran & Bougie, 2016). The advantage of a causal study is that it allows “the researcher to explain relationships among variables, such as between CCE and stakeholder relations”. The structured questionnaire was made up of four sections as follows:

Section A: These were general information questions designed to measure demographic factors. They were very easy and good for correlation analysis purposes.

Section B: These were questions concerned with measurement of Corporate-Community Engagement strategies used by extractive companies to engage with local communities. They focused mainly on contextual issues as a key variable for the proposed CCE framework, specifically an understanding of CCE from the community’s perspective, measuring compliance of extractive companies from the community’s perspective, and gauging whether the motives for embarking on CCE initiatives by extractive companies were in accord with the

expectations of the community. An example of the way questions in this section were phrased is:

To what extent is the company involved in the following community engagement issues?

The following options were then provided and respondents were expected to score them on a scale of 1 to 5, with a score of 1 implying that the company was involved in CCE “to no extent” while 5 was “to a very large extent”: 1. “Responsibility sharing in decision-making”; 2. “Frequency of communication between community and extractive company”; 3. “The nature of the communication”; 4. “Trust between community and company”; 5. “Learning of new skills and greater awareness of other stakeholders’ needs”; 6. “Control of processes”; 7. “Control of benefits and impacts”; 8. “Creation of local networks of community members”; 9. “Setting grievance and resolution mechanisms”.

Section C: This section sought to establish the role played by local communities in the engagement process. An example of how questions in this section were phrased is:

Do you agree the following are important roles of the community in the engagement process?

The following options were then provided and respondents were expected to score them on a scale of 1 to 5, with a score of 1 implying that the company was involved in CCE “Strongly disagree” while 5 was “Strongly agree”: 1. Identifying and prioritising their needs; 2. Identifying the barriers to engagement; 3. Identifying who to represent them in the engagement processes; and 4. Establishing peaceful conflict resolution mechanisms.

Section D: These were meant to establish the outcomes of an effective CCE framework, particularly on the measuring and communication of results. An example of how questions in this section were phrased is:

To what extent is the company involved in the following community engagement issues?

The following options were then provided and respondents were expected to score them on a scale of 1 to 5, with a score of 1 implying that the company was involved in CCE “to no extent” while 5 was “to a very large extent”: 1. Improved stakeholder relations; 2. Reduced conflicts; 3. Increased sustainable socio-economic development; 4. Improved social and environmental benefits.

The survey questions were quantitative in nature. However, each topic-related set of questions was followed by at least an open-ended question with unlimited comment field; which was overtly related to the preceding question. In many instances, the open-ended questions would ask: “*what additional information would you like to provide to explain these responses?*” Linking of the open-ended questions to the preceding structured responses, facilitated connection by both “the participant during data collection and by the researcher in relating the structured and unstructured responses”. Further, the questionnaire was structured in such a way that each section would address a specific research question, thereby allowing for logical thought by both respondents and researcher, and in the process addressing the research objectives set out in Chapter 1.

Having completed designing the questionnaire, the researcher loaded it onto LimeSurvey, which is “a free open source online survey application which enables users to develop, publish and collect responses to surveys”. LimeSurvey offered numerous advantages to the researcher such as “unlimited number of questions in a survey; unlimited number of participants to a survey; custom preferred layout and design using a web template system”; ready-made importable questions; easy to send simultaneously to a large number of people using *sms* and emails; “sending of invitations, reminders and tokens by email; the option for participants to buffer answers to continue the survey at a later time; enhanced import and export functions to text”, CSV, PDF, SPSS, R, queXML and MS Excel formats; the “economy of the design, the rapid turnaround in data collection, and basic statistical and graphical analysis of survey results; efficient means of collecting data on a large-scale basis; cost and time-efficient way of collecting data from many people; and fairly easy to analyse the results”.

The online survey was administered to the selected local community respondents with the purpose of ensuring: (i) “greater completion rates, (ii) control over order of questions, and (iii) greater information gathering from people who cannot read or write” (Bowling, 2014, Mertens, 2014, Creswell & Poth, 2017). The primary concern of administering questionnaires is usually the low return rate when sent by post (Bowling, 2014, Mertens, 2014, Creswell & Poth, 2017). The researcher mitigated the use of posted mail by adopting LimeSurvey. The use of LimeSurvey and questionnaires in general created an additional challenge; it meant that the researcher had no control over who actually responded to the questions (Punch & Oancea, 2014). The researcher tried to mitigate this challenge by conducting as many face-to-face surveys as possible while capturing the data onto an electronic device. “Ambiguity and

unclearness of some questions could lead to inaccurate and unrelated responses” (De Vaus, 2013, Bell, 2014, Sekaran & Bougie, 2016). Respondents that faced problems of ambiguity and unclearness were encouraged to seek clarity from the researcher via LimeSurvey. LimeSurvey has an interactive platform that allows respondents to contact the researcher should there be need.

Community profiling on the local community of Dunoon had revealed that there would be a low response rate from the community if the researcher attempted to collect data by distributing hard copies of the questionnaire to potential respondents. People were generally disinterested in reading through and responding to many questions. Some wanted to know if they would be paid for participating in the survey. Community profiling also helped establish that most of the local community respondents had email addresses and were active social media participants through platforms such as WhatsApp, twitter and Facebook. To improve on responsiveness, the researcher assisted by having the online survey downloaded onto an electronic device and personally administering some of the survey to the respondents. Community profiling also established that most respondents’ educational levels were below matric level, but they could all read and write English. The researcher therefore sent the survey links either through sms, WhatsApp, twitter or Facebook.

4.6 PRETESTING

Dillman, Smyth and Christian (2014) state that pretesting is important in that it helps in identifying and maybe reducing some measurement errors that may misrepresent statistical estimates of the population. Richey and Klein (2014) further state that pretesting “involves a variety of activities designed to evaluate research instruments’ capacity to collect the desired data, the capabilities of the selected mode of data collection, and the overall adequacy of the field procedures”. Pretesting refers to the “collection of the qualitative and quantitative techniques and activities that allow researchers to evaluate survey questions and survey procedures before data collection begins” (Bowling, 2014, DePoy & Gitlin, 2015). Because of the mixed methods nature of the study, pretesting was done for both interview protocols and questionnaires as discussed below.

4.6.1 Pretesting interview protocols

Pretesting is highly recommended as it improves the validity of the collected qualitative data and the interpretation of findings (Hurst *et al.*, 2015, Rubin & Babbie, 2016). Pretesting is an

attempt to correct the design before implementation and ensures that reliability and rigour in qualitative inquiry are attained (Hurst *et al.*, 2015, Sekaran & Bougie, 2016). Pretesting therefore involves a process of “formal data collection on a small scale to identify practical problems with regard to data collection instruments, sessions, and methodology” (Bowling, 2014, DePoy & Gitlin, 2015). According to Rubin and Babbie (2016), the process of pretesting can actually lead early detection of errors such as language relevance, word ambiguity, and instrument measurement variables.

For this study, the first level of pretesting was researcher pretesting, which involved testing conducting the interview on the supervisor and co-supervisor. This was meant to solicit their opinions and suggestions for improvement to the interview protocol. The second level of the pretesting was participant pretesting where the interview protocol was field-tested on three respondents from non-participating extractive companies. The primary objective of conducting the pretesting was to “reveal errors in the research designs; to identify inadequate control over extraneous or environmental conditions; and to refine the interview protocols prior to the main study” (Edwards & Talbot, 2014, Campbell & Stanley, 2015).

4.6.2 Pretesting questionnaires

Pretesting is generally defined as the “testing of a set of questions or a questionnaire on subjects from the target population” (Mertens, 2014, Elo *et al.*, 2014, Hurst *et al.*, 2015, Bryman & Bell, 2015, Rubin & Babbie, 2016). The objective of pretesting the questionnaire was to “reveal errors in the research design, to identify inadequate control over extraneous or environmental conditions, preparation and training of the researcher, and to refine the measures and appearance of the questionnaire prior to the main study” (McKenney & Reeves, 2013, Rudestam & Newton, 2014, Edwards & Talbot, 2014, Campbell & Stanley, 2015). Similarly, Creswell and Poth (2017) contend that pretesting should be “performed on a number of respondents from the population who do not form part of the sample”. The purpose was to ensure that participants fully understood the instructions and questions (McKenney & Reeves, 2013). The pretest was further used to determine if responses provided were easy to use (Rudestam & Newton, 2014); and if there were other necessary changes to be made (Edwards & Talbot, 2014, Campbell & Stanley, 2015). This process was necessary to ensure reliability and validity of the results (Rudestam & Newton, 2014, Edwards & Talbot, 2014, Campbell & Stanley, 2015).

The need for pretesting the questionnaire in this study was amplified by the absence of previous questionnaires on the topic of CCE in South Africa's extractive sector. The study adopted an approach recommended by Coulter (2012) and McGlade and Pierscionek (2013); that of researcher pretesting and participants pretesting. The first level of the pretesting was researcher pretesting and involved testing the questionnaire on the researcher's supervisor and co-supervisor in order to solicit their opinions and suggestions for improving the questionnaire since they are strategic management experts. The second level of the pretesting was participants pretesting where the interview protocol was field-tested on 8 non-participating community members randomly selected. The third level of testing, was instrument testing. LimeSurvey was used for pretesting the eight non-participating community members to check issues such as whether the questionnaire could be sent by the researcher and be received by the respondents in full; whether it allowed the respondents to open it, complete it, and submit successfully without technical glitches; and whether it was capable of analysing data as intended without problems.

4.7 VALIDITY AND RELIABILITY OF THE MEASURING INSTRUMENT

Measurement refers to assigning numbers to observations so as to quantify phenomena (Avery & Burkhart, 2015; DeVellis, 2016; Maranell, 2017). In relationship management, some of these phenomena, such as context, group dynamics, strategy, alignment and integration are abstract concepts useful only as theoretical constructs. Measurement therefore entails putting these constructs in "defined variables and the development and application of instruments or tests to quantify these variables" (Schmiedel, Vom Brocke, & Recker, 2014). DeVellis (2016) and Maranell (2017) opine that reliability and validity are the key indicators of the quality of a measuring instrument. Speklé and Verbeeten (2014) echo the sentiments by pointing out that the responsiveness of the measure to change is has relevance to social studies such as this one where improvement in outcomes as a result of CCE is one of the objectives for carrying out this research. According to Stacks (2016) and Beins (2017), credibility deals with how believable the findings from research activities are, and how valid the research is. Beattie *et al.* (2014) further explain that credibility is about the practicality, reliability and validity of the measuring instrument. Therefore, for this study to be credible and acceptable, validity and reliability are discussed.

4.7.1 Validity

Validity refers to “the degree to which an instrument accurately measures what it purports to measure” (Franzen, 2013; Lakshmi & Mohideen, 2013). Much of the research conducted in strategic management, and more specifically stakeholder relationship management, involves giving numeric values to attributes that cannot be measured directly, such as strategy and alignment (Bond & Fox, 2015). Maraun and Gabriel (2013) note that hypothetical constructs such as those making up CCE for this study should be inferred from observations of specified behaviours and not measured directly. According to Zikmund *et al.*, (2013) “measurement of a construct requires translating the conceptual definition into an operational definition”. In addition, DeVellis (2016) noted that “constructs cannot be defined only in terms of operational definitions but must also have demonstrated relationships to other constructs or observable phenomena.”

Internal validity and *external validity* are two key concepts dealing with the credibility of the study. Internal validity refers to the “absence of the errors in the design of the research” (Mitchell & Jolley, 2012; Pedhazur & Schmelkin, 2013). While validity is “a concept from quantitative research, it still has relevance in qualitative research, and this study provides guidelines, procedures and protocols to assist in the execution of the qualitative research”. External validity refers to the ability to generalise the findings from a small group to a range of people (Pedhazur & Schmelkin, 2013). This measure is therefore generally viewed as being relevant to quantitative rather than to qualitative research. In support of this, Campbell and Stanley (2015) asserted that, “the traditional view of generalisability limits the ability of the researcher to reconceptualise the role of social science in education and social science”.

The quantitative measuring instrument used in this research, that is the questionnaire was designed by the researcher with no adaption to instruments from previous studies as there were few previous research findings on the topic. This then amplified the need for validity of the instrument to be done. Validity using the exploratory sequential approach adopted for this study relied on establishing both quantitative and qualitative validity for each database. Creswell (2013) suggested that “unequal sample sizes could provide less of a picture on the qualitative side than the larger N on the quantitative side”, thereby posing a potential threat to validity. In conducting interviews, conditions for reliability were increased through the use of standardised interview schedules (Brinkmann, 2014). Even though the study adopted a mixed methods approach and used both interview protocols and questionnaires to gather data; the use

of reliability and validity are common in quantitative research (Riff, Lacy & Fico, 2014, Hussein, 2015), and the ensuing discussion focusses mostly on the reliability and validity of the questionnaire as a measuring instrument.

Hoffman et al (2015) mention three types of measuring instrument validity, namely: “*content validity, construct validity and criterion-related validity*”. For the purpose of this study, content validity and construct validity seemed more applicable, because as DeVellis (2016) points out, criterion-related validity is usually used for a study which already has existing information to work with. The three types of measuring instrument validity are discussed next.

4.7.1.1 Content validity

According to Bhattacharjee (2012), content validity indicates “the extent to which items adequately measure or represent the content of the property or trait that the researcher wishes to measure”. The researcher started by carrying out a subject matter expert review as the starting point to developing the instrument to be used to assess content validity, in relation to the CCE. Due to the absence of statistical test to ascertain whether a measure sufficiently covers a content area or sufficiently represents a construct, content validity used in this study at times depended on the judgment of the researcher and knowledge in the field of community engagement. Streiner, Norman and Cairney (2015) describe content validity as “a measuring instrument which provides adequate coverage of the investigative questions guiding the study”. Hancock and Algozzine (2016) further postulate that “if the instrument contains a representative sample of the universe of subject matter of interest, then content validity was said to be good”. Bryman and Bell (2015) also contend that content validity is established by consulting researchers with rich experience and expertise in ascertaining whether the measure appears to replicate the concept concerned.

This study meets the content validity requirements in terms of provision of coverage of the investigative questions, representative sample, and consultation of researchers who were experienced and experts, including the researcher’s supervisors and statistician. In terms of coverage of CCE and stakeholder management, issues such as multi-stakeholder inclusion in decision-making, frequency and nature of communication between community and extractive companies, control of processes, and control of benefits and impacts were some of the elements included in the questionnaire. The sample of 384 was considered to be fairly representative. In section 4.6.2 pretesting of the questionnaire involved researcher pretesting done on the

researcher's supervisors who are well versed in the field of research to also check for content validity.

4.7.1.2 Construct validity

Construct validity shows the degree to which a measurement method precisely denotes a construct (Podsakoff, MacKenzie & Podsakoff, 2012; Carlson & Herdman, 2012), for instance a latent variable or phenomena that cannot be measured directly, for instance, attitudes, values, or beliefs, and yields an observation different from that which is produced by measuring another construct. Some examples of common approaches used to assess construct validity include, correlation tests, factor analysis, and item response theory (Yukl, Mahsud, Hassan & Prussia, 2013; Henseler, Ringle & Sarstedt, 2015; Neuendorf, 2016). The researcher explains that it affirms to how well the results from the use of the measure matches with the theories from which the test was designed.

4.7.1.3 Criterion-related validity

According to Oluwatayo (2012) and LoBiondo-Wood and Haber (2014), “criterion-related validity shows the degree to which an instrument's scores correlate with an external criterion, usually another measurement from a different instrument, either at present (concurrent validity) or in the future (predictive validity)”. Oluwatayo (2012) further states that “a common measurement of this type of validity is the correlation coefficient between two measures”. In the current study, the researcher pursued authenticity rather than an absolute truth, as suggested by Myers (2013). Wimmer and Dominick (2013) define authenticity as “giving a fair, honest, and balanced account of social life from the viewpoint of someone who lives it.” In ensuring the validity of the qualitative research, the researcher used member checks and audit trails. An audit trail refers to the careful documentation of the conceptual development process of the project for the purposes of preserving evidence that interested parties can refer to reconstruct the process so as to reach the same research conclusion (Tracy, 2012). In the present study, the documentation of the data collection process, that is questionnaires and interviews, the statistical software used to analyse data, and the manner in which it draws its conclusions, fulfils this validity requirement. This researcher further ensured that there was careful documentation of the stages in its development, which allowed for a reconstruction.

4.7.2 Reliability

According to Lakshmi and Mohideen (2013 and LoBiondo-Wood and Haber (2014), reliability is the degree to which an instrument produces consistent results. Hancock and Algozzine (2016) describe instrument reliability as involving approximations of “the degree to which a measurement is free from random or unstable error”. They say that the reliability of the measuring instrument impacts on the credibility of the research findings. Hulley *et al.* (2013) and Bird *et al.* (2014) concur by identifying subject error, subject response bias, observer error, observer bias, and information collection bias as being the major causes of instrument unreliability. Denscombe (2014) and May *et al.* (2014) describe *subject error* as the type of error that emanates from a situation where participants of the research do not represent the population the study is investigating. For instance, the researcher may provide a population specification, especially with the choice of community participants. This has the effect of providing little value and misrepresenting what the measuring instrument intended to achieve. In order to reduce subject error, extractive companies and local communities were aptly defined. There was however no risk of subject error in this study because all community members were affected by the companies’ operations in one way or the other.

Cooper and Schindler (2011) describe *subject response bias* as “don’t know” questions which could emanate from the respondent’s reluctance to answer those question, providing dubious answers, incorrect answers due to lack of knowledge of that topic for the question or evading those questions as unimportant. In this light, the questions in the questionnaire were adequately scrutinised to avoid any misgivings and suspicion of invasion of privacy of the respondents. Apart from this, questions were rephrased on sensitive issues in a positive way and respondents were assured of the confidentiality of their information. Finally, the purpose of the study was clarified to them and the LimeSurvey tool used had a feedback mechanism that would allow respondents to seek clarity from the researcher on questions they were unsure of.

According to Fink (2012), *observer error* is bias that can occur when conducting observations or conducting individual interviews. A data collector “will only see or hear things in which they are interested in” (Ary, 2013; Denscombe, 2014) or will omit information that is vital to the research (Ott & Longnecker, 2015). The researcher pretested to solicit views and suggestions from the supervisors, who are experts in the field, and attention was paid to the questioning style, uniformity of questions, and the basic level of the English language to be used to avoid misunderstanding by the respondents.

Ott and Longnecker (2015) and Sekaran and Bougie (2016) describe *information collection bias* as the “distortion in the data collected so that it does not represent reality” as a result of defective instruments, such as closed questions on topics about which not much is known, open-ended questions that have no instructions on ways to ask or respond, or unclear questions. In light of the above an attempt was made to avoid too many open-ended questions, questions were rephrased and the questionnaire was pretested. Qualitative data collected from interviews were transcribed through a meticulous and time-consuming exercise. Quantitative data collected from the online LimeSurvey were automatically processed and further processed using SPSS.

According to Shultz *et al.* (2013), Vaz *et al.* (2013) and Csikszentmihalyi and Larson (2014), reliability estimates are helpful in evaluating (1) “the stability of results obtained at different times by the same individuals or by employing the same standard (*test-retest reliability*) or (2) the similarity of sets of items from the same test (*internal consistency*) or of different observers scoring a behaviour or event using the same instrument (*interrater reliability*)”. Reliability coefficients fall within a scale of 0.00 to 1.00, with higher coefficients indicating higher levels of reliability.

4.7.2.1 Stability

Shultz *et al.* (2013) elucidate that “test-retest measures the correlation between scores from one administration of an instrument to another, usually within an interval of two to three weeks”. They further explain that, “unlike with pre-post-tests, no treatment occurs between the first and second administrations of the instrument, in order to test-retest reliability. A similar type of reliability called *alternate forms* involves using slightly different forms or versions of an instrument to see if different versions yield consistent results” (Vaz *et al.*, 2013). For this study, stability of measurement (test-retest reliability) was established by conducting the test at two different time periods to the same individuals and determining the relationship or strength of relationship between the two score sets. Both the questionnaire and interview protocols were tested for stability on the two supervisors, and the results were consistent. The timing of the second administration was critical in that the interval between administrations had to be long enough, approximately three weeks apart, as suggested by Shultz *et al.* (2013) “so that values obtained from the second administration would not be affected by the previous measurement”; for instance, the respondents recalling their previous responses.

4.7.2.2 Internal consistency reliability

LoBiondo-Wood and Haber (2014) and DeVellis (2016) clarify that “internal consistency reliability looks at the consistency of the score of individual items on an instrument, with the scores of a set of items, or subscale, which typically consists of several items to measure a single construct”. *Cronbach’s alpha* is a common method for checking internal consistency reliability (Dunn, Baguley & Brunsten, 2014). DeVellis (2016) points out that “group variability, score reliability, number of items, sample sizes, and difficulty level of the instrument can also impact on the Cronbach’s alpha value”. According to Dunn, Baguley and Brunsten (2014), internal consistency estimates the equivalence of sets of items from a similar test; for instance, questions meant to assess contextual factors affecting stakeholder relations. Cronbach’s alpha was thus employed in this research to approximate internal consistency reliability.

4.7.2.3 Interrater reliability

Charalambous (2014) and Gulgin and Hoogenboom (2014) state that “inter-rater reliability checks the degree of agreement among raters, that is those completing items on an instrument. Common situations where more than one rater is involved may occur when more than one person conducts classroom observations, uses an observation protocol or scores an open-ended test, using a rubric or other standard protocol” (Gisev, Bell & Chen, 2013). “Kappa statistics, correlation coefficients, and the intra-class correlation (ICC) coefficient are some of the commonly reported measures of inter-rater reliability” (Hallgren, 2012; Graham, Milanowski & Miller, 2012). For this research, Cohen’s Kappa and *Atlas.ti*TM were used to determine the coefficient of agreement, as suggested by Streiner, Norman and Cairney (2015). Cohen’s Kappa is used “when two raters or observers classify events or observations into categories based on rating criteria” (Hallgren, 2012). In this research, the researcher developed precise operational definitions of variables being measured (context, group dynamics, and implementation strategy) and was trained by a competent statistician to use the instrument, apply the criteria, make decisions about whether an event has occurred, and how to select a point on a scale measuring strength or degree of the issue under investigation should be applied.

4.7.3 Responsiveness

Responsiveness is the ability of a score to detect variations over time in the construct under investigation (Wyrwich, 2013). For outcome measures intended to estimate the effects of

community engagement, reaction to changes that result from the engagement was established. Wuang, Su and Su (2012) opine that reliability was critical to responsiveness. Differences arising from measurement error can unearth variations that may be attributable to the community engagement efforts (Wyrwich, 2013). Blair, Czaja and Blair, (2013) went on to state that responsiveness to change may in fact be different amongst different populations, and that is the reason why the measure that was used for this study was deemed appropriate to the subjects being investigated. For example, a measure of job requirements in a host community may be deemed more responsive to change among a young population than it would to an older population within the same community. In concluding reflection on validity and reliability, the researcher incorporated into the research design a *feedback loop* as a mechanism to periodically check on issues of validity and reliability at different stages of the research.

4.8 DATA ANALYSIS

The mixed methods research design adopted for the current study was meant to attain an empirical overview of corporate community engagement and stakeholder relations in South Africa's extractive sector. As was clearly outlined in section 4.3, a combination of qualitative and quantitative research methodologies was applied to obtain comprehensive responses from respondents. Furthermore, a theoretical framework based on an extensive literature study in Chapters 2 and 3 assured the validity (section 4.7.1), reliability (section 4.7.2) and responsiveness (section 4.7.3) of the measuring instruments. This section presents the data analysis.

Neuendorf (2016) describes data analysis as “the process of bringing order, structure and meaning to the mass of collected data”. According to D’Allura (2015) data analysis in research may be complex and time-consuming, but also fascinating (Bryman & Bell, 2015). Ragin (2013) postulates that qualitative and quantitative analyses of data are similar in that they both involve:

- “Inference - the use of reasoning to reach a conclusion based on evidence
- A public method or process - revealing their study design in some way
- Comparison as a central process – identification of patterns or aspects that are similar or different
- Striving to avoid errors, false conclusions and misleading inferences”

Ragin (2013) further observed the following to be the main differences between qualitative and quantitative data analysis:

- “Qualitative data analysis is less standardised given the numerous approaches to qualitative research matched by the countless approaches to data analysis. On the other hand quantitative researchers select from a standard set of data analysis procedures.
- The results of qualitative data analysis often lead to further data collection. Qualitative data analysis is therefore not the final stage of the research process as opposed to quantitative data analysis. With qualitative data, analysis does not start until all data have been collected and condensed into numbers.
- Qualitative research entails creating new concepts and theory by mixing experiential and abstract concepts. In contrast, quantitative research manipulates figures to test hypothesis with variable constructs.
- Qualitative data analysis comes in the form of words, which in most cases will be comparatively vague, verbose and context based. On the other hand, quantitative research uses statistical relationships to analyse”.

4.8.1 Analysis of qualitative data

Qualitative data analysis is described by Merriam and Tisdell (2015) and Saldaña (2015) as a process of deriving meaning from the views of the research participants. Kuckartz (2014) supports this notion by stating that qualitative data analysis is an ongoing and intertwined process involving data collection, processing, analysis and reporting. The author however says that the process is iterative and not necessarily linear or successive. Eriksson and Kovalainen (2015) observe that qualitative data analysis is time consuming as it involves a great deal of comparison and contrasting. Ragin (2013) and Tesch (2013) call it “a search for general statements about relationships among categories of data”. In contrast with quantitative methods, (section 4.8.2) which focus on examining cause and effect, Creswell and Poth (2017) posit that qualitative methods are more suited to deriving meaning of events or circumstances. Maluleke and Mofokeng (2016) also argue that the process involves “reducing the volume of raw information, sifting significance from trivia, identifying significant patterns and constructing a framework for communicating the essence of what the data reveal”. In summing up, one could say that qualitative data analysis uses explanatory frameworks to derive a report that includes participants’ voices and is reflective of the researcher’s views in attempting to

solve the research problem and contributing to literature. The ensuing discussion helps reveal the process that are critical to qualitative data analysis.

4.8.1.1 Content analysis processes for qualitative data analysis

Content analysis was used on the interview data. Content analysis is a form of semiotics used to draw valid references from empirical data to instances of management actions (Myers, 2013; Bryman & Bell, 2015; Ngulube, 2015; Neuendorf, 2016). This kind of analysis allowed the researcher to search for uniform patterns of actions by extractive companies, so that valid references could be drawn to determine problem areas within CCE. An additional semiotics analysis used in in this research was conversation analysis. Conversation analysis entailed engaging in discussion with responsible community engagement employees for the selected companies before the actual interviews, which was helpful in providing insights into the background information on companies' community engagement activities and strategic objectives. Content and conversation analysis helped refine the understanding of CCE practices by respective extractive companies and provided useful insights on relevant issues addressed in this thesis. This study used two approaches to qualitative data analysis, namely: Cohen's Kappa and Atlas.ti™. The reason for using both methods was to compare and merge common themes to come up with more conclusive findings for the proposed CCE framework. It was also to increase reliability of findings. The ensuing discussion first outlines Cohen's Kappa content analysis and then Atlas.ti™ content analysis.

4.8.1.1.1 Cohen's Kappa

Flick (2014) notes that it was often difficult to standardise the qualitative data analysis process where there are no absolute values regarding a certain qualitative data type. Cooper (2015) further states that there are many variations in terms of number and description of the steps of the same process of data analysis by different researchers. In light of the above, it can be concluded that each qualitative data analysis is unique. With that in mind, the qualitative data analysis used for this research was done according Cohen's Kappa qualitative content analysis process.

Cohen's Kappa provided a clear model to conduct content analysis of huge volumes of textual data that are explicit, understandable, and inclusively useful to this study. As suggested by Gelman *et al.* (2014), this understanding helped to formulate data collection strategy – the link between interview, data and analysis in advance. Cohen's Kappa model of content analysis is

used to identify the degree of themes' agreement from data received (Neuendorf, 2016). This was done through classification and coding of data into themes of frequently recurring management terms and concepts. These terms and concepts were then placed into first and second order constructs. The classifying of data into first and second order constructs produced 13 themes referred to in this study as the Key Words in Context (KWC). These KWC were the most frequently occurring themes from interviewees and this is a term used by Onojaefe (2008). With pragmatic data collection and analysis, the researcher was able to refine questions, and adjust the research focus to produce more instances of CCE actions (Khangura *et al.*, 2012; Gómez-Galán, 2016). Content analysis requires replicable techniques to compress data, so that the findings and outcomes can provide an important understanding to support the design of the proposed CCE framework.

The qualitative content analysis for this study therefore involved the following procedures:

- Data recording via audio recording on a digital voice recorder was carried out. Backup recording was also initiated using a second voice recorder as a preventative measure against electronic failure and faults, and to ensure that all voices were captured. Jotting down notes served as further backup and was instrumental in contextualising the interviews. Notes were transcribed and meanings derived were systematically assigned to the final groups. Having established the main components, the focus of the discussion was on verbatim responses.
- Verbatim transcription of responses was done and, to ensure consistency of analysis and interpretation, the recorded interviews were listened to again. Transcription signs, comments and field notes “were used to capture non-transcribable text to gain as much of the complete picture as possible” as suggested by Saldaña (2015). In order to maintain high reliability and validity of the data (section 4.7), the transcribed notes were given to participants for verification.
- The complete transcribed text and field notes were meticulously read to first obtain a holistic and thorough impression of the content and context before the process of coding started where units of meaning were identified or labelled.
- *Codes* were labelled and allocated to specific units of linked meaning from the transcribed notes (Neuman, 2011; Saldaña, 2015). The transcribed notes were organised in themes and categories of meaning using Cohen's Kappa and supported by Atlas.ti™ Version 8. Sub-themes and sub-categories were developed to narrow down on meanings, links,

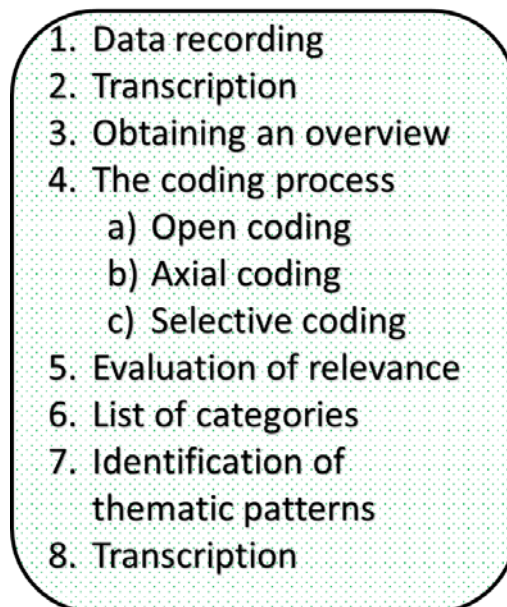
relationships and inclinations. The process of coding for the field notes and transcripts adopted for this study consisted of three steps described by Thiétart (2007:139) and Neuman (2011:510-514), namely: “open coding, axial coding and selective coding”.

- *Open coding* entailed identifying sections of meaning from the field notes and transcripts in relation to CCE, which were then labelled in a descriptive manner. Emphasis with open coding was placed on the “wording, phrasing, context, consistency, frequency, extensiveness and specificity of comments”.
 - *Axial coding* entailed examining the initial codes derived from open coding process above. Patterns were recognised and organised according to “causality, context and coherence”.
 - *Selective coding* involved scanning the codes identified for the purposes of comparing and contrasting; as well as establishing linkage between central themes developed with the research topic.
- The codes were then assessed for relevance to the research aims (section 1.4).
 - Related codes were listed in classes according to research aims (section 1.4) and theoretical framework from the literature study (section 1.7).
 - From the discussion this far, the process of data analysis was further guided by probing questions that sort to identify relationships between and focus was placed on the following, amongst others (Henning *et al.*, 2004): relationship(s) in meaning between all the categories, meaning deduced from the categories as a whole; and missing meaning.
 - The “process of qualitative analysis employed in this study was resolved by describing thematic relationships and patterns of relevance to the research. So, the thematic relationships and patterns identified during the interpretation process contributed towards the development of an appropriate instrument for the quantitative phase of this research” (Kornbluh, 2015) (section 4.3.2). The process identified the “prevalence of prominent responses and continued with an evaluative and interpretive discussion in relation to the research aims. Given the extent of the current research, a brief account should be provided about the observation list” (Mertens, 2014).

The qualitative analysis process outlined above was helpful as a framework for thematic organisation of initial data gathered. The analysis of responses received was carried out simultaneously to locate the gaps between community engagement frameworks and relationship management. There are different models that can be used to analyse these types of data, including grounded theory, Bayesian, and Cohen’s Kappa. However, Cohen’s Kappa

appeared to be more suitable for the qualitative aspect of this particular study. Figure 4.4 gives an outline of the qualitative analysis process adopted in the current study.

This process allowed the researcher the opportunity to extract short and clear sentences from the responses based on their importance and understanding of their meaning in relation to the key words extracted. The extraction of data was followed by the identification of sentences that are closely aligned in terms of meaning. The alignment of key words with carefully selected sentences produced 291 instances of possible scenarios conducive for CCE action. Since the key words were identified as the most frequently used words or phrases by the respondents, the 291 instances represent areas of CCE requiring action. These are referred to as the Key Words in Context (KWC) because they show signs of consistencies and commonalities. Table 5.1 shows the research findings using Cohen's Kappa (section 5.2.1.1).



Source: Author's own construct

Figure 4.4: Qualitative content analysis process for the semi-structured interviews

4.8.1.1.2. Utility of computer-aided research and procedures followed using Atlas.ti™

This study also made use of Qualitative Data Analysis Software (QDAS), which is in essence the use of computer-aided design and techniques for thematic content analysis known as *Atlas.ti™*. The purpose for using both Cohen's Kappa and *Atlas.ti™* was to ensure that the results were similar or near-similar so as to increase validity and reliability of the findings (section 4.7). The merit in using *Atlas.ti™* is that it automates processes such as classification of primary documents, generating and organising codes, and notation qualitative findings

(Zhang & Wildemuth, 2009; Atlas.ti, 2011). Menter *et al.* (2011) argues that Atlas.ti™ also enables the researcher to derive meaning quickly and easily. Zhang and Wildemuth (2009) supports the notion of using Atlas.ti™ further, by stating that it simplifies the process of generating linkages between “codes, categories and sub-categories, as well as the creation of networks”.

4.8.2 Analysis of quantitative data

The quantitative data are the recorded data derived from the structured questionnaires and are usually presented in numerical, tabular, charts and graphical format in order to present data visually for easy of comprehension. The data gathered from the questionnaire were statistically converted using LimeSurvey, which is an online statistical software program for gathering, organising, analysing and interpreting data. LimeSurvey is an interactive free online software application that is easy to use even by non-technical and non-statistical people. Data gathered from LimeSurvey were then statistically converted by means of the SPSS software program. SPSS enabled the researcher to present data visually and graphically. In short, the collected data were initially analysed using LimeSurvey, and then further analysed using SPSS to produce reliable inferential and descriptive statistics. The data were statistically analysed using frequency counts, means, percentages, Cronbach Alpha coefficient, and correlation and regression models to establish relationships between and amongst variables. The research findings (chapter 5) and discussion of results (chapter 6) are discussed following the same arrangement as the questions appear in the questionnaire (Annexure J). Firstly, biographical and demographical information about the respondents and their involvement with the extractive companies, as organised in the questionnaires, were analysed. This information allowed the researcher to acquire a picture and overview of the study population.

4.9 ETHICAL ISSUES

Respect for privacy. The approach employed in this study was exploratory and interactive, allowing for face-to-face interviews with informants, which could give rise to many ethical concerns. The main ethical consideration that arose from collecting data through interviews was in trying to ensure that respondents were not impaired in any way by the research, either physically, spiritually, religiously, culturally, politically or socially (Desposato, 2015). Qualitative data obtained relied on the participants’ personal views, which might mean risking them being exposed, embarrassed or viewed in bad light by their peers (Denzin, 2012). The

researcher mitigated those issues by explaining in detail the purpose and nature of the research and assuring participants that it was safe to participate in the research. The researcher also gave the respondents a consent form.

Informed consent. In the context of the specific research sites, permission was obtained through signed consent letters from the responsible local community leaders and municipal authorities where possible, extractive company management, and selected government officials. Rothman (2017) explains that informed consent means that “a person knowingly, voluntarily and intelligently, and in a clear and manifest way, gives his consent”. Further, the researcher adopted Corey *et al.* (2014)’s guidelines to ethical considerations which included fully explaining the research aims and objectives to participants, explaining and seeking authority to use audio-visual equipment, emphasising to participants that participation in the research was voluntary, emphasising to participants that information they provided would be treated as confidential at all times, and that confidentiality would also be adhered to at all times, which in turn allowed respondents freely express themselves.

Beneficence - do not harm. Beneficence refers to the concept of “*be of benefit, do not harm*” (Desposato, 2015). Morrison (2015) suggests that beneficence as a principle includes “*the professional mandate to do effective and significant research so as to better serve and promote the welfare of our constituents*”. Cohen, Manion and Morrison (2013), Yin (2013), and Robson and McCartan (2016) concur that if research findings are found not to have been as valuable as expected, this could pose serious ethical considerations for researchers.

Respect for anonymity and confidentiality. The researcher made sure that permission was sought from potential participants and granted them confidentiality regarding the information they would be provide (Appendix A — the covering letter). This was done by writing the cover letter on a University letterhead. Permission was eventually given after the participants satisfied themselves with the contents of the covering letter.

Vulnerable groups of people. Fisher (2012), Giddens (2013), and Blaikie *et al.* (2014) classify the vulnerable as “people unable to protect their own rights and welfare”. According to DuBois *et al.* (2012) and Welch *et al.* (2015), vulnerable participants or vulnerable populations are individuals who lack the ability to fully consent to participate in a study, and they include pregnant women and fetuses, minors, prisoners, persons with diminished mental capacity, and those who are educationally or economically disadvantaged. Shivayogi (2013) further state that

the term “vulnerable population simply implies the disadvantaged sub-segment of the community requiring utmost care, specific ancillary considerations and augmented protections in research”. Nevertheless, there were no instances that required dealing with issues of vulnerability during the entire research process.

Voluntarily participation. Creswell and Poth (2017) raise key ethical considerations to be followed by the researcher, such as the need to inform participants that their participation is voluntarily and making sure that they comprehended the reasons for conducting the study, that they were entitled to get a copy of the results, that “they understood the potential benefits of the study; and that their privacy will be respected”.

4.10 CHAPTER SUMMARY

This chapter focused on the research methodology that was followed to answer the research objectives set out in chapter 1 (section 1.5). Firstly, the various stages of the research process were described. This was followed by re-statement of the problem as a recap of what was stated in Chapter 1 (section 1.6). Thereafter, specific research questions were highlighted followed by the research philosophy and design, population and sampling procedures, data collection, validity and reliability, and data analysis. Finally, ethical issues of the research are discussed.

CHAPTER 5

RESEARCH FINDINGS

5.1 INTRODUCTION

Chapter 4 discussed and examined elements of the research process, data collection instruments, and pertinent issues in applied research methods within the context of this research project. The outcome of examined research issues forms the backbone of the summary of findings presented and discussed in this chapter. Because of the mixed methods nature of the research, both qualitative and quantitative results were presented and discussed. The documentation and analysis process was aimed at presenting data in a comprehensible and easy to understand manner so as to be able to address the research aims (section 1.4). In turn, the identified trends allowed the researcher to develop a CCE framework for stakeholder relationship management in line with the varied needs of the South African extractive sector.

5.2 QUALITATIVE RESULTS AND DISCUSSION

This section discusses the findings of the in-depth interviews on the eight case study companies. It should be emphasised that interviews were done with company employees only, and not with community residents. The discussion provides a detailed explanation of extractive company perceptions about CCE based on the views of company employees responsible for community engagement activities (objective 1). The meanings derived from the 13 key words and phrases are explained in relation to CCE. Tables of normal frequency, normal probability and expected probability of the 13 key words are presented. The discussion also presents the motives for undertaking CCE by extractive companies (objective 2). The discussion on qualitative findings is concomitant to Cohen's Kappa method of data analysis. The successes and failures in conducting CCE activities by the eight companies are also discussed to show compliance levels of extractive companies (objective 3). Results from the qualitative research were also instrumental in answering research objective 4, which was to investigate the implementation strategy used by extractive companies in conducting CCE. Qualitative results for the local communities' role in the engagement process (objective 5) and the outcomes of an effective CCE framework (objective 6) were also obtained. The following questions were asked to extractive company employees:

1. *What is your understanding of corporate community engagement?*
2. *What are the motives for undertaking CCE by extractive companies?*
3. *How are extractive companies complying with CCE objectives?*
4. *What implementation strategy are used by extractive companies in conducting CCE?*
5. *What is the role of local communities in the engagement process?*
6. *What are the outcomes of an effective CCE framework?*

5.2.1 Content analysis

5.2.1.1 Objective 1: Understanding of CCE by extractive companies

A valid question to ask pertaining to research objective 1 would be: *how is the understanding of CCE by company management employees relevant to the proposed CCE framework?*

The responses given by interview participants to research question 1 provide an overview of the context and the rationale for adopting certain engagement strategies. In section 3.3.2, context is described as the circumstances that form the setting, and it is also one of the key variables for the proposed CCE framework. Therefore, research question 1 is an attempt at understanding context from a qualitative view. The words or phrases that featured prominently from the responses given by interview participants were a reflection of what companies understood CCE to be.

Table 5.1 presents the thirteen key words referred to as the Key Words in Context (KWC) in section 4.8.1.1.1 of the research methodology chapter. These KWC reveal the general understanding of CCE by extractive companies. The analysis of these KWC was based on the following assumptions:

- **Sampling units:** the interpretation of KWC that describe CCE actions as they relate to individual companies.
- **Context units:** the KWCs were identified within the context of CCE adoption. The rating of KWC was limited to instances of CCE action in each company.
- **Recording units:** the impact of CCE on stakeholder relations is examined in the recording unit.

Table 5.1: Keywords and phrases

N	Key Word in Context (KWC)	Normal Frequency	Weight %
1	Social license to operate (SLO) – benefits to companies (section 3.3.6)	43	15
2	Wealth redistribution — benefits to communities (sections 3.3.6.1; 5.2.1.1; 5.2.1.6)	68	23
3	Strategy (section 3.3.5.1)	29	10
4	Alignment (section 3.3.5.2)	34	12
5	Integration (section 3.3.5.3)	10	3
6	Innovation (section 3.3.5.4)	14	5
7	Multi-stakeholder practices (section 3.3.5.5)	30	10
8	Sustainability (section 3.3.5.6)	6	2
9	Results measurement and communication (section 3.3.5.7)	17	6
10	Process (section 3.3.5.8)	15	5
11	Communication at all levels (section 3.3.5.9)	20	7
12	Responsibility sharing (section 3.3.4.2)	2	1
13	Relationship management (section 3.2; 3.3)	3	1
	Total	291	100

Source: Author’s own construct

The original evidence received from the in-depth interviews was transcribed and manually coded into concepts and themes. The manual coding provided a better understanding of KWC and enhanced the analysis of data. Table 5.2 below illustrates the process of determining the 13 KWC from the participant responses.

Table 5.2: Sample of empirical results

N	Original evidence (1 st order construct)	Concept (2 nd order construct)	Theme	Analysis of concept
1	Extractive companies were keen on obtaining an acceptance or approval from local communities and other stakeholders to carry out their operations.	This approval by local communities and other stakeholders	Social license to operate (SLO)	The quality of CCE is influenced by the level of adoption of activities that promote SLO

N	Original evidence (1 st order construct)	Concept (2 nd order construct)	Theme	Analysis of concept
		signified some form of social contract		
2	CCE is intended to redistribute wealth to other stakeholders in South Africa given the country's apartheid past, and in so-doing, to manage the gap in wealth between the poor and wealthy. It can also be through rent seeking tendencies such as royalties, salaries, taxes, etc.	Wealth redistribution is necessary to benefit previously and currently disadvantaged groups	Wealth redistribution	The quality of CCE is influenced by the level of wealth redistribution activities by the extractive companies
3	CCE must be conducted as a series of planned, preconceived and deliberate stages intended to achieve a particular outcome or strategic end, and should cover the short to long term plans. It should not be done on an ad hoc basis.	Strategy is a plan of action designed to achieve a long-term or overall aim.	Strategy	The quality of CCE is influenced by the level of strategy adoption
4	CCE plans of a company must align with the development priorities of local communities, municipalities, provincial and national governments to create a sense of shared value.	Companies must align their CCE plans with the plans of other stakeholders	Alignment	The quality of CCE is influenced by the level of alignment
5	CCE plans must be integrated with the company's vision, mission, values, corporate objectives, key business strategies and business plans	Companies to integrate CCE with business plans	Integration	The quality of CCE is influenced by the level of integration
6	Innovative CCE calls for adoption of evolving technology, talent identification, institutional reforms and competency development	Innovative CCE benefits both companies and communities	Innovation	The quality of CCE is determined by the level of innovation
7	CCE activities should position the company as a partner in multi-stakeholder processes rather than making it the main actor in local community development.	Multi-stakeholder approach dilutes company control by adding other stakeholders	Multi-stakeholder practices	The quality of CCE is influenced by the level of innovation multi-stakeholder involvement

N	Original evidence (1 st order construct)	Concept (2 nd order construct)	Theme	Analysis of concept
8	CCE activities should seek to avoid dependency, encourage self-reliance, and create long-term benefits that can outlast company support.	Companies to help build capacity for communities	Sustainability	The quality of CCE is influenced by the level of sustainability
9	CCE activities should seek to measure return on community investments for both the company and the community and should communicate the results	It is vital to measure and community return on community investments	Results measurement and communication	The quality of CCE is influenced by the level of results measurement and communication
10	CCE is a process involving many aspects including control of processes (e.g. mineral extraction, land restoration etc.); control of benefits and impacts; creation of local networks of community members; setting grievance and resolution mechanisms. CCE is an iterative and transformational process involving monitoring, research, evaluation, learning and innovation to reduce risks.	CCE is a multi-faceted process involving lots of stages and activities.	Process	The quality of CCE is influenced by the adoption of ongoing iterative planning, designing, implementation, monitoring and evaluation processes.
11	Business has obligation to communicate with all stakeholders and at all levels of a CSR project	Communication is with all stakeholders and all levels	Communication	The quality of CCE is influenced by the level and quality of communication
12	Companies and communities should share responsibilities for CCE including benefits and impacts. There are both benefits and impacts to CCE which must be shared amongst concerned stakeholders	It is vital to identify and share both responsibilities and impacts amongst stakeholders	Responsibility and impacts sharing	The quality of CCE is influenced by the level of responsibility and impacts sharing
13	Companies mainly engage with communities because of the potential consequences that may result from not doing so, thereby managing relations.	CCE is used as a relationship management tool	Relationship management	The quality of relationship management is influenced by the level of engagement

Source: Author's own construct

Table 5.3: Normal frequency

		R A T E R 2													T O T A L	
		Social License to Operate (SLO)	Wealth redistribution	Strategy	Alignment	Integration	Innovation	Multi-stakeholder partnerships	Sustainability	Results measurement & communication	Process	Communication at all levels	Responsibility sharing	Relationship management		
		1	2	3	4	5	6	7	8	9	10	11	12	13		
R A T E R 1	Social License to Operate (SLO)	1	28	1	1	1	1	1	2	2	3		3			43
	Wealth redistribution	2	6	41	5			5	2		1	3	4		1	68
	Strategy	3		2	18	1		4	3		1					29
	Alignment	4	5		1	22			3	2	1					34
	Integration	5			1		9									10
	Innovation	6	1	1	1	1		10								14
	Multi-stakeholder practices	7		1	1	2			22			3	1			30
	Sustainability	8								5	1					6
	Results measurement & communication	9				1		1		2	13					17
	Process	10						1	1			13				15
	Communication at all levels	11	1	1	1			2			3		12			20
	Responsibility sharing	12												2		2
	Relationship management	13													3	3
T O T A L			41	47	29	28	10	24	33	9	24	20	20	2	4	291

Source: Author’s own construct

The findings are discussed based on the thirteen KWC. It can be inferred that the results are a reflection of the understanding of CCE activities by extractive companies. The normal frequency of KWC shown in Table 5.3 describes the data as rated by two raters. The data in the normal frequency Table 5.3 shows that the total number frequency of KWCs was 291. This was calculated by adding-up the value of frequency of KWC shown in the vertical and horizontal columns. The total number of frequency of the KWCs as per the two raters was 198 as shown in the highlighted diagonal rows. Wealth redistribution was rated relatively higher than other CCE activities with a weighted frequency 20.7% of the total score. This was followed by social license to operate with a weighted frequency 14.1%. Alignment and multi-stakeholder practices were each rated a weighted frequency of 11.1%. Strategy was rated the fifth most frequently used phrase with a weighted frequency of 9.1%. It is clear from the

analysis that some phrases attracted higher ratings than others. The reliability of the rating of these KWCs was important to content analysis and especially to this study.

An alternative thorough framework was compiled using of Atlas.ti™ Version 8, and just as with the KWC described above, it was intended to derive meaning on CCE from the perspective of the interview participants. The use of Atlas.ti™ Version 8 was motivated by the fact that Atlas.ti™ is a Qualitative Data Analysis Software (QDAS) which uses computer-aided design and techniques for thematic content analysis (section 4.8.1). The purpose for using both Cohen’s Kappa and Atlas.ti™ was to ensure that the results were similar or near-similar so as to increase validity and reliability of the findings.

It was observed that Cohen’s Kappa and Atlas.ti™ produced similar thematic findings to those found using KWC. Whereas Cohen’s Kappa produced 13 KWC, Atlas.ti™ also produced 13 key themes. Table 5.4 below illustrates that though the methods may have been different, they produced similar findings, thereby increasing the reliability of the research findings and aiding in the building of the conceptual framework. This was also in line with the mixed methods approach adopted for this study.

Table 5.4: Relevance of Cohen’s Kappa and Atlas.ti™ findings to conceptual framework building

Cohen’s Kappa	Atlas.ti™	Relevance to conceptual framework building
1. Social license to operate – benefits to companies 2. Wealth redistribution - benefits to communities	1. Social license to operate – benefits to companies 2. Wealth redistribution - benefits to communities	CCE Outcomes
3. Strategy 4. Alignment 5. Integration 6. Sustainability 7. Results measurement 8. Innovation 9. Ongoing process 10. Communication at all stages	3. Strategic CSR 4. Alignment 5. Integration 6. Sustainability 7. Results measurement 8. Innovation 9. Ongoing iterative process 10. Communication at all stages	Reinforcement elements
11. Process	11. Process	Implementation strategy
12. Responsibility sharing	12. Roles and responsibilities	Group dynamics
13. Relationship management	13. Relationship management	Context

Source: Author’s own construct

The findings from both Cohen’s Kappa and Atlas.ti™, as well as those from the reviewed literature in Chapters 2 and 3 were key in developing the questionnaire instrument that used in this study to gather quantitative data (section 4.5.2). In addressing research objective 1, it would seem that interview participants had a fair understanding of CCE given by the key themes that came out from their responses. However, it would also seem that the interview participants, who were all extractive companies’ employees directly involved in CCE activities of their respective companies, were caught up in the traditional understanding of CCE being more about philanthropy rather than genuine attempts at addressing community problems, as highlighted by the numerous times they mentioned that they “donated to communities”. They seemed to employ a “one size fits all” approach. Training would therefore be required to bring them up to speed with current forms of community engagement, more specifically, adopting the proposed CCE framework. Research objective 1 was therefore fully addressed using qualitative method.

5.2.1.2 Objective 2: Motives for undertaking CCE by extractive companies

A valid question to ask pertaining to research objective 2 would be: *how is the understanding of motives for undertaking CCE by extractive companies relevant to the proposed CCE framework?*

Motive addresses issues of context, as discussed in sections 3.3.2 and 5.2.1.1, by looking at reasons compelling extractive companies to participate in CCE under different and often difficult circumstances. The discussion on motive also accentuates the outcomes of CCE. Therefore, motive is an important element of context and outcomes, which are some of the key variables of the proposed CCE framework. In that regard, it can also be said that research question 2 was an attempt at understanding both context and outcomes from a qualitative view. Using the content analysis procedures of Cohen’s Kappa and Atlas.ti™ described in section 5.2.1.1 above, Table 5.5 shows a list of the KWC or categories of common phrases that denote motives for undertaking CCE by extractive companies.

Table 5.5: Motives for undertaking CCE by extractive companies

Motives for undertaking CCE by extractive companies	Normal frequency	Weight %
1. Compliance with CCE expectations	41	25

2. To obtain a Social License to Operate (SLO) (section 3.3.6)	11	7
3. To build reputation	18	11
4. To build trust with local communities	22	13
5. Wealth redistribution (sections 3.3.6.1; 5.2.1.1; 5.2.1.6)	2	1
6. To manage relationships with other stakeholders (section 3.2; 3.3)	19	11
7. To achieve economic benefits (section 3.3.1.2; 3.3.5.1)	33	20
8. To achieve social benefits (section 3.3.1.2; 3.3.5.2)	5	3
9. To achieve environmental benefits (section 3.3.1.1; 3.3.5.3)	16	10
Total	167	100

Table 5.5 above shows that the total number of KWC pertaining to motives for undertaking CCE by extractive companies was nine. Compliance with CCE expectations had the highest frequency at 25%, followed by achieving economic benefits by companies (20%), build trust with local communities (13%), managing relationships with other stakeholders (11%), building reputation (11%), achieving environmental benefits (10%), obtaining a social license to operate (7%), achieving social benefits (3%), and wealth redistribution (1%).

In addressing research objective 2, it seems that extractive companies were clear about their motives for conducting CCE. However, their priorities seemed skewed as shown by the low values with which they regarded obtaining a Social License to Operate (7%), achieve social benefits (3%), and wealth redistribution (1%) given South Africa’s apartheid historical background, as compared to them placing a higher value on achieving economic benefits for the companies (20%). If extractive companies are to achieve success in managing stakeholder relationships through CCE initiatives, then managers and employees of those companies need to be reoriented about which variables to place higher values on. Research objective 2 was thus adequately addressed using a qualitative method.

5.2.1.3 *Objective 3: Extractive companies compliance with CCE expectations*

A valid question to ask pertaining to research objective 3 would be: *how is an understanding of CCE compliance by extractive companies relevant to the proposed CCE framework?*

CCE compliance also feeds into context as described in section 3.3.1. Participants were asked whether they believed their companies were CCE compliant or not. The following template was designed from the literature reviewed and was used as follow up questions to record key compliant issues for the extractive companies:

Table 5.6: Extractive companies' compliance status

Compliance issue	Yes (%)	No (%)
1. Does the company have strategic CSR plans that are in line with the core business objectives and competencies to create business value and positive social and environmental value	19	81
2. Does CSR plans of the company align with the development priorities of local communities and government	13	87
3. Does the company integrate CSR plans with the company's vision, mission, values, corporate objectives, key business strategies and business plans	19	81
4. Does the company involve local communities in all processes of CSR projects by bringing together various stakeholders through formal and informal discussions, planning, and decision making (multi-stakeholder CSR mechanisms)	0	100
5. Does the company have sustainability plans within CSR activities that seek to avoid community dependency, encourage self-reliance, and create long-term benefits that can outlast company support?	25	75
6. Does the company measure return on investment on CSR activities	0	100
7. Does the company promote CSR-driven innovations?	0	100
8. Are the company's CSR activities iterative and transformational involving monitoring, research, evaluation, learning and innovation to reduce risks	6	94
9. Does the company effectively communicate with all the relevant stakeholders	13	87
10. Does the company try to establish local community networks	6	94
11. Does the company have a grievance resolution mechanism for CSR	94	6
12. Does the company live by the triple bottom line principle of economy, namely, financial disclosure (as recommended by King IV Report, 2016)	100	0

Compliance issue	Yes (%)	No (%)
13. Does the company set CCE targets according to the triple bottom line principles (economy, society, environment)	6	94
14. Does the company comply with government regulations	100	0

Of the 16 participants 19% (three of 16 respondents) stated that their companies had clear strategic CCE plans in place; 87% stated that their companies did not align CCE plans of the company with the development priorities of local communities and government; 81% felt that the company did not integrate CCE plans with the company’s business plans, that is, vision, mission, values, and corporate objectives; 100% felt that their companies did not incorporate responsibility sharing (section 3.3.4.2) fully into all processes of CCE projects; at least 75% felt that the company did not have sufficient sustainability plans to allow community projects to continue long after the company had left; 100% stated that the company did not measure return on investment on CCE activities and another 100% felt the company did not promote CCE-driven innovations; 94% stated that the company’s CCE activities were not iterative and transformational; a further 87% reported that the company was not communicating effectively with all the relevant stakeholders; 94% stated the company did not try to establish local community networks; 94% stating that the company did not live by the triple-bottom-line principles. However, 94% felt that the company had grievance resolution mechanisms in place to handle CCE related matters with local community members; 100% felt that the company lived by the triple bottom line principle of economy, namely, financial disclosure which was done through the publication and presentation of the company’s audited financial results; 100% felt that the company lived by the triple bottom line principle of economy, namely, of environment, namely, duty of care; and another 100% stating that the company was complying with government regulations.

In addressing research objective 3, the results imply that generally extractive companies were not CCE compliant. This lack of compliance has a direct bearing on why stakeholder relations continue to be strained in South Africa’s extractive sector. As part of understanding the context (section 3.3.1), it is imperative to ascertain whether or not companies were compliant with a number of economic, societal and environmental expectations. In that regard, research objective 3 has been addressed.

5.2.1.4 Objective 4: CCE implementation strategies used by extractive companies

A valid question to ask pertaining to research objective 4 would be: *how is an understanding of CCE implementation strategy currently used by extractive companies relevant to the proposed CCE framework?*

Implementation strategy is one of the key variables making up the proposed CCE framework. In section 3.3.3, implementation strategy is described as a strategic delivery method for the intended CCE plan which is guided by distinct procedures, such as the company's objectives, project time, budget, reinforcement elements (section 3.3.4), and the characteristics of the local operating context (section 3.3.1) and group dynamics (section 3.3.2). The following template was designed from the follow up questions to check if extractive companies had implementation strategy appropriately designed to meet specific community needs. After they answered 'yes' or 'no', the 16 participants were asked to elaborate further.

Table 5.7: Implementation strategy used by extractive companies

Implementation strategy	Yes (%)	No (%)
1. Context – does implementing plan take context into account	25	75
2. Group dynamics – has implementing plan considered group dynamics	19	81
3. Do company objectives specifically state the CCE activities to be conducted	13	87
4. Project time – does the CSR projects state time lines – when to start and end	88	12
5. Budget – are there project budgets – i.e. financial, human, and materials	100	0
6. Reinforcement elements: - has implementing plan considered		
• Strategy	69	31
• Alignment	6	94
• Multi-stakeholder practices	50	50
• Sustainability	6	94
• Results measurement and communication	63	37
• Innovation	0	100
• Ongoing iterative and transformational process	0	100
• Communication at all levels	0	100

Implementation strategy	Yes (%)	No (%)
7. Capacity: preparedness to implement	38	62
8. Proactive plan – are the company’s CSR plans proactive to changes	6	94
9. Transforming knowledge into action	13	87

Of the 16 company participants 75% stated that their companies did not have implementing plans that took context into account; and 81% of the participants were clear that their company CCE plans did not consider group dynamics to be important, citing lack of resources. About 87% believed that their companies’ strategic plans, including vision, mission and values statements, did include CCE plans. At least 94% felt that their CCE plans were not aligned. However, 88% of the 16 participants felt that their companies had sufficient project timelines in the form of Gantt charts which clearly spelt out when the project would start and when it would end, as well as how much time would be required; and 100% stated that their companies had project budgets including financial, human and materials. A further 69% indicated that their companies considered strategy to be important. Another 63% also felt that results measurement was critical for successful implementation. About 94% of the respondents indicated that their companies were not involved in CCE activities that promoted sustainability. Another issue that extractive companies were not paying attention to was lack of capacity, with 62% of the respondents saying they were ill equipped to carry out CCE initiatives. Another 94% said their companies did not have proactive CCE plans to react to changes and 87% felt their companies were not able to transform knowledge into action.

In addressing research objective 4, the results imply that generally extractive companies had little appreciation of how to transform CCE plans into action as informed by the CBPI framework. The results indicate that none of the companies incorporated the CBPI implementation strategy. According to Böschen and Pfersdorf (2014), Tom (2015), and Wabano (2015), the intent with CBPI is to change research from where researchers use a community to answer research questions to where they work side by side with the community to address the research “questions and methods, implement the research, disseminate the findings and apply them”. Research objective 4 was adequately addressed.

5.2.1.5 Objective 5: The role of local communities in the engagement process

A valid question to ask pertaining to research objective 5 would be: *how is an understanding of the role played by local communities in the engagement process relevant to the proposed CCE framework?*

The role of local communities in the engagement process is an important component of group dynamics, which is one of the key variables for the proposed model. Group dynamics is described in section 3.3.3 as a system of analysing interrelationships and behaviours “occurring within a social group (*intragroup dynamics*), or between social groups (*intergroup dynamics*)” (Yin & Zhang, 2012; Avetisyan & Ferrary, 2013; Bartel & Wiesenfeld, 2013).

From the qualitative results, all the interview participants (100%) felt it was important for companies to understand the social context of the local communities (section 3.3.2.2). The qualitative results also showed that all the interview participants (100%) felt it was important for companies to have an appreciation of the group dynamics affecting the host communities, including (i) structural dynamics (diversity, complexity, formal agreements, power sharing, resources, time in partnership); (ii) individual dynamics (core values, participation motivation, personal relationships, cultural identities, beliefs, spirituality); and (iii) relational dynamics (community voice, trust, dialogue, flexibility, leadership, power dynamics, local knowledge integration, group processes).

Qualitative results also show that all the interview participants (100%) felt strongly about the need for communities to identify their own credible community leaders to participate in community projects. This was supported by the quantitative results in which 88.9% of the survey respondents felt communities needed to identify their own leaders. Community leaders have an important role to play, including representing their communities in the CCE projects, guidance, receiving and dissemination of information, as well as being accountable.

Table 5.8 is a template designed by the researcher from the literature reviewed to check the role of local communities in the engagement process.

Table 5.8: Group dynamics issues affecting the extractive sector

Elements of group dynamics	Yes (%)	No (%)
Structural dynamics		

Elements of group dynamics	Yes (%)	No (%)
Does the company consider the following elements when assessing the structural dynamics: <ul style="list-style-type: none"> • Diversity • Complexity • Formal agreements • Sharing power/ resources • Time in partnership 	0	100
Individual dynamics Does the company consider the following elements to assess the individual dynamics: <ul style="list-style-type: none"> • Core values • Participation motivation • Personal relationships • Cultural identities/ humility • Bridge people • Personal belief/ spirituality 	0	100
Relational dynamics Does the company consider the following elements to assess the relational dynamics: <ul style="list-style-type: none"> • Safety: Community voice / • Community language • Trust • Dialogue, listening, & mutual • Learning; Flexibility • Leadership/ influence • Power dynamics/ stewardship • Self & collective reflection • Participatory decision making & negotiation • Local knowledge integration; group process 	0 100 0 0 0 100 0 0 0 0 0	100 0 100 100 0 100 100 100 100 100 100

The results indicated that extractive companies were not taking time to fully comprehend the local community group dynamics. The 16 participants (100%) stated that their companies were not actively involved in trying to understand the granular details of group dynamics, including the structural and relational dynamics. It seems the companies only focussed on understanding individual group dynamics. With not understanding the group dynamics of the local communities from a structural and relational level, it is no wonder why there is a high

prevalence of conflict within the extractive sector in South Africa. Research objective 5 was however fully addressed using qualitative methods.

5.2.1.6 Objective 6: The outcomes of an effective CCE framework

A valid question to ask pertaining to research objective 6 would be: *how is an understanding of the outcomes of an effective CCE framework relevant to the proposed CCE framework?*

Outcomes of CCE are the dependent variable in the proposed CCE framework. Section 3.3.5 describes outcomes as the expected end results of a CCE initiative. A number of themes featured prominently when the 16 participants were asked what they thought were the key outcomes of CCE. About 81% of the participants felt that the primary reason for embarking on CCE activities was to obtain a Social License to Operate (SLO). This theme was referenced 28 times. Related to this theme was reputation building which was referenced 17 times. About 56% of the participants felt that it was important that companies maintain a good reputation both to local communities and to the international world. Wealth redistribution was however referenced 7 times and 44% of the participants felt it was important. This was probably because the interviews were conducted with middle management employees who could not speak authoritatively about whether or not extractive companies were obliged to redistribute wealth given the benefits that most of them enjoyed during the apartheid era.

Another theme that was prominent was trust between community and company. This theme was referenced 33 times and 100% of the participants felt that it was critical for communities to trust extractive companies if they were to achieve success with community projects. Improved stakeholder relations was referenced the highest number of times at 66 times. At least 100% of the participants felt that this was the ultimate reason why companies embarked on community projects. With improved relations comes reduced conflicts, another theme that featured prominently at 41 times references with 100% of the participants agreeing that it was important.

Other themes that were referenced as key outcomes of CCE were economic benefits, which was referenced 39 times, social development for the community with 27 references, and environmental benefits, also with 27 references. At least 100% of the respondents agreed that these three themes were critical to the success of a CCE project. This research sought to find out the extent of the outcomes and by how much companies were achieving those outcomes.

The researcher thus developed the template shown in Table 5.9 to check from the 16 participants how their companies accounted for CCE outcomes.

Table 5.9: Measurement outcomes of an effective CCE framework

Outcomes	Yes (%)	No (%)
1. Measure results		
a) Does the company set quantitative measurement parameters	0	100
b) Does the company set qualitative measurement parameters	0	100
c) Does the company set track changes in community perceptions	0	100
d) Does the company set measure return on investment for both business performance and project performance	0 0	100 100
2. Communicate results to all concerned stakeholders	0	100

It is clear from the results that the companies were not properly equipped to measure the impact of CCE projects both qualitatively and quantitatively in the communities they were operating. The only measurements the companies had was how much they had spent on a project without necessarily ascertaining how much the individuals within the communities had benefited. For instance, reporting on the number of hospitals built, or number of people given food handouts, without following up on the number of deaths reduced as a result of the treatment received by community members, or how many people they had saved from starvation, did not help in showing the actual impact of a CCE project. It therefore seems that the companies did not bother to track changes brought about by CCE project, nor measure business performance against the project performance. Research objective 6 was therefore adequately addressed.

These findings were also supported by Muntingh (2011)'s research, who identified community development, job creation and economic growth as some of the common outcomes for community engagement initiatives. In the same study, it was reported that community members felt entitled to economic rents from the mineral wealth extracted from their communities. Muntingh (2011) further reported that another important concern for local communities was the need to preserve the environment against pollution. Muntingh (2011) further observed that many respondents recognised the negative impact mines had on the environment, but still felt that job creation and economic growth would take precedence over

possible negative impacts if they were asked to choose. This can only be explained as a consequence of the poor economic background that is characteristic of most host communities in South Africa's extractive sector. Research objective 6 was therefore adequately addressed.

5.2.2 The importance of interrater reliability to the findings

The management of the KWCs or themes (discussed in sections 4.14.1; 4.14.2; and 5.2.1.1) was found to be important in all the eight companies under study and the reliability of the KWC rating was determined by evaluating the extent or degree to which raters reach the same conclusion. Although the meaning of the phrases used may not have been consistent, Vaismoradi, Turunen and Bondas (2013) argue that content analysis should be more concerned with the consistency of interrater agreement. They note that reliability could be based on the analysis of variance indices that assess the degree to which ratings of different raters are seen to be the same when presented. The presentation of the independent rating for this study calculates the degree of raters' agreement, which is seen to be more important in evaluating the extent to which the raters assign exactly the same rating to each phrase. This interrater agreement assesses KWC at the point of differences by calculating the actual agreement of the expected probability value of 0.64071689.

5.2.3 The concern of interrater reliability and its impact on the findings

This study was concerned with interrater reliability and acknowledges its importance to content analysis. Although interrater reliability establishes reliability, the reliability of data is subject to raters' interpretation of phrases. Neuendorf (2016) notes that the objective of content analysis is to identify and record phrases objectively to ensure reliability. The concern in this instance is on how to ensure quality outcomes. The study however ensured that rating of phrases was done carefully to enhance the degree of interrater reliability by providing the independent rater with a clean copy of the first and second order construct. The clean copy of the first and second construct given to the independent rater excluded the themes. The exclusion of the themes from the first and second order construct was done to ascertain the strength of disagreement between raters. With the expected probability value of 0.64071689, the strength of agreement is between 0.41-0.60, which is moderate according to Table 5.4 (the benchmark for Kappa). A substantial agreement depends on the decision between raters and the quality of this study is not in any way affected by the probability of rating errors (Gwet, 2014).

Table 5.10: Benchmark for Kappa

Kappa statistic	Strength of agreement
< 0.00	Poor
0.00 – 0.20	Slight
0.21 – 0.40	Fair
0.41 – 0.60	Moderate
0.61 – 0.80	Substantial
0.81 – 1.00	Almost Perfect

Source: Author's own construct

The normal probability in table 5.11 was calculated using Cohen's Kappa (k) calculation formula. The formula is:

Equation 5.1: Cohen's Kappa (k) calculation formula

$$k = (F_o - F_c) / (N - F_c);$$

Where:

N = 291 the total number of rated phrases made by each rater

F_o = the number of rating on which raters agree

F_c = the number of rating for which rating is expected.

Table 5.11: Normal Probability

		R A T I N G 2													T O T A L	
		Social license to operate	Wealth redistribution	Strategy	Alignment	Integration	Innovation	Multi-stakeholder practices	Sustainability	Results measurement & communication	Process	Communication at all levels	Responsibility sharing	Relationship management		
		1	2	3	4	5	6	7	8	9	10	11	12	13		
R A T I N G 1	Social license to operate	1	0.096	0.000	0.000	0.000	0.000	0.000	0.010	0.010	0.010	0.000	0.010	0.000	0.000	0.136
	Wealth redistribution	2	0.021	0.140	0.020	0.000	0.000	0.020	0.010	0.000	0.000	0.010	0.010	0.000	0.003	0.234
	Strategy	3	0.000	0.010	0.060	0.000	0.000	0.010	0.010	0.000	0.000	0.000	0.000	0.000	0.000	0.090
	Alignment	4	0.017	0.000	0.000	0.080	0.000	0.000	0.010	0.000	0.010	0.000	0.000	0.000	0.000	0.117
	Integration	5	0.000	0.000	0.000	0.000	0.030	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.030
	Innovation	6	0.003	0.000	0.000	0.000	0.000	0.030	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.033
	Multi-stakeholder practices	7	0.000	0.000	0.000	0.010	0.000	0.000	0.080	0.000	0.000	0.010	0.000	0.000	0.000	0.100
	Sustainability	8	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.020	0.000	0.000	0.000	0.000	0.000	0.020
	Results measurement & communication	9	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.010	0.040	0.000	0.000	0.000	0.000	0.050
	Process	10	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.040	0.000	0.000	0.000	0.040
	Communication at all levels	11	0.003	0.000	0.000	0.000	0.000	0.010	0.000	0.000	0.010	0.000	0.040	0.000	0.000	0.063
	Responsibility sharing	12	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.010	0.000	0.010
	Relationship management	13	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.010	0.010
T O T A L			0.140	0.150	0.080	0.090	0.030	0.070	0.120	0.040	0.070	0.060	0.060	0.010	0.013	0.933

The degree of agreement is calculated using the following Kappa formula:

Equation 5.2: Kappa formula for degree of agreement

$$\begin{aligned}
 1 &= (P_o - P_c) / (1 - P_c) \\
 P_o &= 0.64071689 \\
 P_c &= Q13 \\
 K &= \frac{P_o - P_c}{1 - P_c} = \frac{0.57}{0.89} = 0.64071689 \\
 1 - P_c &= 0.89
 \end{aligned}$$

Table 5.12: Expected Probability

			R A T I N G 2												T O T A L	
			Social license to operate	Wealth redistribution	Strategy	Alignment	Integration	Innovation	Multi-stakeholder practices	Sustainability	Results measurement & communication	Process	Communication at all levels	Responsibility sharing		Relationship management
			1	2	3	4	5	6	7	8	9	10	11	12	13	
R A T I N G 1	Social license to operate	1	0.02	0.02	0.01	0.01	0.01	0.01	0.02	0.00	0.01	0.01	0.01	0.00	0.00	0.13
	Wealth redistribution	2	0.03	0.04	0.02	0.02	0.01	0.02	0.03	0.01	0.02	0.02	0.02	0.00	0.00	0.24
	Strategy	3	0.01	0.02	0.01	0.01	0.00	0.01	0.01	0.00	0.01	0.01	0.01	0.00	0.00	0.10
	Alignment	4	0.02	0.02	0.01	0.01	0.00	0.01	0.01	0.00	0.01	0.01	0.01	0.00	0.00	0.11
	Integration	5	0.00	0.01	0.00	0.00	0.03	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.04
	Innovation	6	0.01	0.01	0.00	0.00	0.00	0.03	0.01	0.00	0.00	0.00	0.00	0.00	0.00	0.06
	Multi-stakeholder practices	7	0.01	0.02	0.01	0.01	0.00	0.01	0.01	0.00	0.01	0.01	0.01	0.00	0.00	0.10
	Sustainability	8	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.02	0.00	0.00	0.00	0.00	0.00	0.02
	Results measurement & communication	9	0.01	0.01	0.01	0.01	0.00	0.00	0.01	0.01	0.04	0.00	0.00	0.00	0.00	0.10
	Process	10	0.01	0.01	0.01	0.00	0.00	0.00	0.01	0.00	0.00	0.04	0.00	0.00	0.00	0.08
	Communication at all levels	11	0.01	0.01	0.01	0.01	0.00	0.01	0.01	0.00	0.01	0.00	0.04	0.00	0.00	0.11
	Responsibility sharing	12	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.01	0.00	0.01
	Relationship management	13	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
T O T A L			0.13	0.17	0.09	0.08	0.05	0.10	0.12	0.04	0.11	0.10	0.10	0.01	0.00	1.00

Equation 5.3: Expected probability formula

$$P_a = 0.68041237$$

$$P_c = 0.11$$

$$K = P_a - P_c = 0.57 = 0.64071689$$

$$1 - P_c = 0.89$$

5.3 QUANTITATIVE RESULTS AND DISCUSSION

This presentation focused on key analytical variables selected and used to support the presentation of the summary of findings. These variables include response rate, biographical profiles, and analysis of reliability of constructs used in the study, namely: context, group dynamics, implementation strategy and outcomes. The above variables provided a basis for analysing the reliability construct, correlation and regression – advanced/inferential stage of the analytical presentation.

5.3.1 Response rate

The questionnaires were administered to a sample of 384 respondents out of which a total of 192 completed were returned. This represents a response rate of 50%. However, six questionnaires were incomplete, meaning that the fully completed questionnaires were 186 (48.44%).

5.3.2 Demographic description of the study sample

Descriptive statistics were applied in analysing the distribution of scores on the demographics. Frequency tables and graphical displays were used to present the summarised scores. The demographic variables in this study are subdivided into two categories, namely, personal biographical information and work-related biographical information.

5.3.2.1 *Personal biographical information of the respondents*

As shown in Table 5.13, the majority of the participants were male who constituted 75.9 % as compared to females who were only 24%. This skewed gender representation arguably confirms a long history in African set ups where men are the breadwinners and women take care of the family back in the rural areas or places of origin. On the other hand, it is not surprising that this is the case, because generally, the squalid living conditions currently in these communities are not fit for family set ups. In terms of racial representation, the majority of the participants were drawn from the African racial group (64.4%) followed by Coloureds who were 35.5%. Only a single individual was drawn from the Indian race. This might be a result of the apartheid era which subjectively grouped South Africa into a class society whereby black people were forced to live in poor locations due to low-level incomes. The trend continues to this day. In as far as age is concerned the 31-35 age group was slightly more represented than the other age groups with 23%, closely followed by the 26-30 age group (20.4%).

Table 5.13: Personal biographical information of the respondents

Personal details	Category	Frequency	Percentage (%)
1. Gender	Male	145	75.9
	Female	46	24.1
Q3. Race	African	123	64.4
	Coloured	64	33.5
	Indian	1	.5
	Other	3	1.6

Personal details	Category	Frequency	Percentage (%)
Q3. Age group	21-25 years	32	16.8
	26-30 years	39	20.4
	31-35 years	44	23.0
	36-40 years	35	18.3
	41-45 years	22	11.5
	46-50 years	7	3.7
	51-55 years	6	3.1
	56+ years	6	3.1

Personal details	Category	Frequency	Percentage (%)
Q4. Home language	Afrikaans	63	33.0
	English	2	1.0
	Xhosa	88	46.1
	Zulu	22	11.5
	Sotho	6	3.1
	Other	10	5.2
	Q5. Marital status	Married	52
Single		88	46.1
Divorced/separated		49	25.7
Widowed		2	1.0

The least represented age groups were the 51-55 and 56+, both represented by 3.1% of the participants. 46.1% of the participants speak Xhosa as their home language followed by 33% who speak Afrikaans. Only 2% of the participants speak English as their home language. In terms of marital status, 46.1% of the respondents are single with 27.2% being married and 27.5 either divorced or separated.

5.3.2.2 *Work related biographical information*

Results in Table 5.8 show that, almost half of the participants are unemployed at 45%, whilst 25.7% are contractually employed. This confirms the Quarterly Labour Force Survey released by Pali Lehohla, Statistician-General of Statistics South Africa which states that “South Africa’s unemployment rate for the first quarter of 2017 increased by 1.2 of a percentage point to 27.7% - the highest figure in fourteen years since September 2003”. Lehohla further stated that “the growth in employment was offset by the increase in the number of job seekers who entered the market in the beginning of the year. The expanded unemployment rate — which includes those who wanted to work but did not look for work — increased by 0.8 of a

percentage point to 36.4%, or 391 000 people. This amounts to 9.3 million people who were unemployed but wanted to work in the first quarter of 2017”. Only 15.7% of the participants were employed permanently. Most of the participants (55.5%) had work experience of 6-10 years followed by those who had work experience of 0-5years. Only a single individual had work experience of more than 20 years. At least 59% of the participants had completed matric or an equivalent qualification whereas 34.6% did not complete high school at all. Only 6.3% completed a technical college qualification. It can be inferred that more people failed to attain technical college qualifications due to the high costs of education in the country, and the fees must fall protests that rocked SA in 2016 are testimony to that.

Table 5.14: Work related biographical information of the respondents

Personal details	Category	Frequency	Percentage
Q6. State of employment	Contractually employed	49	25.7
	Permanently employed	30	15.7
	Self-employed	26	13.6
	Unemployed	86	45.0
Q7. Work experience in the same job	0 to 5 years	66	34.6
	6 to 10 years	106	55.5
	11 to 15 years	11	5.8
	16 to 20 years	7	3.7
	20+ years	1	.5
Q8. Years worked for the same company	0 to 5 years	143	74.9
	6 to 10 years	34	17.8
	11 to 15 years	9	4.7
	16 to 20 years	4	2.1
	20+ years	1	.5
Q9. Qualifications	Did not complete high school	66	34.6
	Completed matric (grade 12 or equivalent)	113	59.2
	Completed Technical College N1 – N6	12	6.3

5.4 RELIABILITY ANALYSIS

5.4.1 The Cronbach's Alpha statistic

This section presents the reliability statistics for the various constructs that make up this study. The Cronbach's Alpha statistic is used to "measure the internal consistency of the items under each construct" (Dunn, Baguley & Brunsden, 2014). A Cronbach's Alpha statistic greater than 0.700 indicates that there is high internal consistency in the items falling under the construct being measured (Field 2012; Khan *et al.* 2012; Sanchis-Palacio, Campos-Climent & Mohedano-Suanes, 2013.). A score exceeding the acceptable level indicates that the instrument had a very high level of reliability and that the results from this study can be relied on. Reliability and consistency measures were also obtained for each section of the questionnaire and the results are presented in the sections that follow. The results in Table 5.15 show that, except for construct B3 which had a moderate internal consistency with a Cronbach's Alpha statistic of 0.584, all constructs had high internal consistency with Cronbach's Alpha statistics above 0.700.

Table 5.15: Work related biographical information of the respondents

Construct	N	Number of questionnaire items	Cronbach's Alpha	Comment
B1: Extent to which company is involved in community engagement issues	191	9	0.991	Hi internal consistency
B2: Value placed on traditional elements of CCE as the extractive company engages with local communities	191	9	0.949	Hi internal consistency
B3: How important are these partnership arrangements when engaging the community	190	5	0.584	Moderate internal consistency
B4: How important are these non-partnership arrangements when engaging the community	189	5	0.920	Hi internal consistency
B5: How important are donations when engaging the community	189	5	0.961	Hi internal consistency
C1: Do you agree that the following are important roles of the community in the engagement process	189	4	0.938	Hi internal consistency
C2: To what extent do you agree that these are the broad local community needs?	189	4	0.904	Hi internal consistency

Construct	N	Number of questionnaire items	Cronbach's Alpha	Comment
C3a: To what extent are these key barriers for local communities to engage with the company (Community context)	188	7	0.905	Hi internal consistency
C3b: To what extent are these key barriers for local communities to engage with the company (Relational issues)	188	5	0.935	Hi internal consistency
C4: To what extent do you feel the following would effectively represent local communities when engaging with the company?	188	8	0.798	Hi internal consistency
C5: To what extent do you feel that these are key conflict resolution considerations for local communities?	187	10	0.934	Hi internal consistency
D1: To what extent do you feel that these are intended consequences of an effective CCE framework?	187	4	0.858	Hi internal consistency
D2: To what extent do you feel that these are unintended POSITIVE consequences of an effective CCE framework?	186	4	0.858	Hi internal consistency
D3: To what extent do you feel that these are unintended NEGATIVE consequences of an effective CCE framework?	186	4	0.863	Hi internal consistency
All Likert scaled items	186	83	0.910	Hi internal consistency

5.4.2 Item by item analysis

The Cronbach's Alpha statistic for construct B3 (importance of partnership arrangements when engaging the community) is 0.584, which is below the adequate consistency benchmark of 0.700. This was mainly due to questions B3.2 and B3.3, which had low and negative principal component coefficients indicating that they are moving in the opposite direction of the other items. It can be inferred from the results that local communities do not trust government to represent their needs. The reported cases of corruption in the public domain make communities to become suspicious of government behaviour. On the other hand, businesses are viewed as profit making entities and they are suspected of exploiting opportunities for a gain. Results in Table 5.16 show that when the two items are omitted, internal consistency of the remaining three items goes up to 0.865, which indicates adequate internal consistency. The overall measure of the Importance of partnership arrangements when engaging the community will be based on the three items with adequate internal consistency.

Table 5.16: Importance of partnership arrangements when engaging the community

Item by item analysis				
B3: Importance of partnership arrangements when engaging the community	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted
B3.1. Partnering NPOs working in the community	13.674	8.877	0.111	0.613
B3.2. Partnering government institutions in the area	16.789	3.236	0.736	0.184
B3.3. Partnering local businesses	16.616	2.788	0.741	0.184
B3.4. Partnering existing community social networks e.g. churches, clubs, etc.	13.684	8.789	0.136	0.609
B3.5. Partnering existing social service providers e.g. schools, hospitals etc.	13.700	8.666	0.183	0.601
All 5 items	Number of Cases	Number of items	Cronbach's Alpha	
	190	5	0.584	
Item by item analysis of B3.1, B3.4 and B3.5 only	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted
B3.1. Partnering NPOs working in the community	9.847	0.416	0.623	0.912
B3.4. Partnering existing community social networks e.g. churches, clubs, etc.	9.858	0.334	0.790	0.765
B3.5. Partnering existing social service providers e.g. schools, hospitals etc.	9.874	0.301	0.835	0.720
All 3 items	Number of Cases	Number of items	Cronbach's Alpha	
	190	3	0.865	

Item by item analysis of all the other constructs was not necessary as they all had adequate internal consistency hence can be deemed reliable components of the intended construct measurements.

Table 5.17: Extent to which company is involved in community engagement issues

Item by item analysis				
B1: Extent to which company is involved in community engagement issues	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted
B1.1. Responsibility sharing in decision making	10.419	34.384	0.932	0.990
B1.2. Frequency of communication between community and extractive company	10.366	34.033	0.952	0.990
B1.3. The nature of the communication (consultative, two way communication seeking the opinion/input of other stakeholders) rather than one directional (characterised by the domination of one stakeholder in the communication)	10.382	33.964	0.967	0.989
B1.4. Trust between community and company	10.351	34.166	0.959	0.989
B1.5. Learning of new skills and greater awareness of other stakeholders' needs (for both firm and community)	10.372	34.414	0.956	0.989
B1.6. Control of Processes (e.g. mineral extraction, land restoration etc.)	10.330	34.338	0.949	0.990
B1.7. Control of benefits and impacts	10.340	33.836	0.967	0.989
B1.8. Creation of local networks of community members	10.330	33.906	0.955	0.990
B1.9. Setting grievance and resolution mechanisms	10.346	33.901	0.960	0.989
All 9 items	Number of Cases	Number of items	Cronbach's Alpha	
	191	9	0.991	

Table 5.18: Extent to which company is involved in community engagement issues

Item by item analysis				
B2: Value placed on traditional elements of CCE as the extractive company engages with local communities	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted
B2.1. Responsibility sharing in decision making	38.838	6.221	0.770	0.944
B2.2. Frequency of communication between community and extractive company	38.838	6.274	0.737	0.946
B2.3. The nature of the communication (consultative (two way communication seeking the opinion/input of other stakeholders)rather	38.869	6.020	0.816	0.942

than one directional (characterised by the domination of one stakeholder in the communication)				
B2.4. Trust between community and mine	38.848	6.214	0.748	0.945
B2.5. Learning of new skills and greater awareness of other stakeholders' needs (for both firm and community)	38.864	6.023	0.826	0.941
B2.6. Control of Processes (e.g. mineral extraction, land restoration etc.)	38.838	6.221	0.770	0.944
B2.7. Control of benefits and impacts	38.848	6.077	0.832	0.941
B2.8. Creation of local networks of community members	38.853	6.084	0.814	0.942
B2.9. Setting grievance and resolution mechanisms	38.859	5.996	0.855	0.940
All 9 items	Number of Cases	Number of items	Cronbach's Alpha	
	191	9	0.949	

Table 5.19: Importance of non-partnership arrangements when engaging the community

Item by item analysis				
B4: Importance of non-partnership arrangements when engaging the community	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted
B4.1. Directly giving out educational assistance to local children e.g. school fees, uniforms, books	19.296	2.614	0.804	0.901
B4.2. Directly giving out food assistance the needy, old or vulnerable in the community	19.286	2.492	0.759	0.910
B4.3. Directly giving out shelter assistance the needy, old or vulnerable in the community	19.323	2.326	0.841	0.894
B4.4. Directly providing health & medical assistance to the community	19.275	2.658	0.809	0.901
B4.5. Directly providing the community assistance with basic amenities such as clean water, sanitation, sewerage, etc.	19.307	2.586	0.779	0.905
All 5 items	Number of Cases	Number of items	Cronbach's Alpha	
	189	5	0.920	

Table 5.20: Importance of donations when engaging the community

Item by item analysis				
B5: Importance of donations when engaging the community	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted
B5.1. The company helps local children with their educational needs e.g. school fees, uniforms, books etc.	19.217	3.118	0.878	0.953
B5.2. The company helps the needy, old or vulnerable with food	19.238	3.076	0.874	0.954
B5.3. The company helps the needy, old or vulnerable with shelter	19.243	3.015	0.912	0.948
B5.4. The company helps provides health & medical assistance	19.243	3.057	0.880	0.953
B5.5. The company helps with basic amenities such as clean water, sanitation, sewerage, etc.	19.228	3.060	0.904	0.949
All 5 items	Number of Cases	Number of items	Cronbach's Alpha	
	189	5	0.920	

Table 5.21: Extent to which these are important roles of the community in the engagement process

Item by item analysis				
C1: To what extent are these Important roles of the community in the engagement process	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted
C1.1. Identifying and prioritising their needs	14.577	1.437	0.850	0.920
C1.2. Identifying the barriers to engagement	14.577	1.426	0.864	0.916
C1.3. Identifying who to represent them in the engagement processes	14.582	1.404	0.879	0.911
C1.4. Establishing peaceful conflict resolution mechanisms	14.630	1.362	0.826	0.930
All 4 items	Number of Cases	Number of items	Cronbach's Alpha	
	189	4	0.938	

Table 5.22: Extent to which these are broad local community needs

Item by item analysis				
C2: To what extent are these Broad local community needs	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted
C2.1. Economic needs	14.656	1.046	0.778	0.878
C2.2. Social and cultural needs	14.635	1.073	0.798	0.871
C2.3. Technological needs	14.635	1.084	0.780	0.878
C2.4. Environmental needs	14.646	0.985	0.788	0.876
All 4 items	Number of Cases	Number of items	Cronbach's Alpha	
	189	4	0.904	

Table 5.23: Extent to which these are key relational barriers to engage for local communities

Item by item analysis				
C3b: To what extent are these key barriers for local communities to engage with the company (Relational issues)	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted
C3.8. Lack of trust	19.388	1.693	0.807	0.923
C3.9. Conflict between actors	19.372	1.722	0.815	0.922
C3.10. Different agendas	19.367	1.699	0.862	0.913
C3.11. Difficulties in identifying stakeholders	19.383	1.692	0.823	0.920
C3.12. Implementation structure	19.383	1.692	0.823	0.920
All 5 items	Number of Cases	Number of items	Cronbach's Alpha	
	188	5	0.935	

Table 5.24: Extent to which these are key conflict resolution considerations for local communities

Item by item analysis

C5: To what extent do you feel that these are key conflict resolution considerations for local communities?	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted
C5.1. The community has preventative measures to reduce the likelihood of company-community conflict	43.984	5.263	0.654	0.932
C5.2. The community has a dedicated process for handling complaints and grievances	44.011	5.118	0.654	0.932
C5.3. All elements of the dispute resolution process are formally documented, including criteria for admissibility, timelines for resolution, investigation processes, joint company and community fact-finding, protocols for communicating with complainants	44.016	4.973	0.755	0.927
C5.4. The process reflects local preferences for dispute resolution i.e. all community members are consulted about its design	44.043	4.858	0.747	0.927
C5.5. All groups within the community are aware of the process and are able to access it	44.021	4.935	0.764	0.926
C5.6. The process has local community leadership support	44.027	4.919	0.756	0.927
C5.7. All community leadership levels are aware of the process & actively involved in using it	44.043	4.848	0.755	0.927
C5.8. There is a process for seeking to understand contributing factors to serious complaints or grievances	44.059	4.701	0.817	0.924
C5.9. The community involves the company in finding collaborative solutions	44.048	4.842	0.743	0.928
C5.10. If the community is unable to resolve issues, there are other trusted mechanisms or processes that disputing parties can turn to, which the community makes known to all	44.075	4.715	0.762	0.927
All 10 items	Number of Cases	Number of items	Cronbach's Alpha	
	187	10	0.934	

Table 5.25: Extent to which these are intended consequences of an effective CCE framework

Item by item analysis				
D1: To what extent do you feel that these are intended consequences of an effective CCE framework?	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted

D1.1. Improved stakeholder relations	14.754	0.498	0.708	0.817
D1.2. Reduced conflicts	14.749	0.501	0.733	0.807
D1.3. Increased sustainable socio-economic development	14.765	0.460	0.770	0.790
D1.4. Improved social and environmental benefits	14.754	0.531	0.605	0.859
All 4 items	Number of Cases	Number of items	Cronbach's Alpha	
	187	4	0.858	

Table 5.26: Extent to which these are unintended POSITIVE consequences of an effective CCE framework

Item by item analysis				
D2: To what extent do you feel that these are unintended POSITIVE consequences of an effective CCE framework?	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted
D2.1. Investment centres – other businesses will begin to set up in the community	14.726	0.568	0.655	0.838
D2.2. There may be increased government support – e.g. hospitals, schools etc.	14.720	0.559	0.707	0.817
D2.3. Increase in general social wellbeing	14.726	0.535	0.749	0.798
D2.4. Increased skills development by community members as they try to meet company requirements e.g. employment, suppliers, etc.	14.715	0.572	0.697	0.821
All 4 items	Number of Cases	Number of items	Cronbach's Alpha	
	186	4	0.858	

Table 5.27: Extent to which these are unintended NEGATIVE consequences of an effective CCE framework

Item by item analysis				
D3: To what extent do you feel that these are unintended NEGATIVE consequences of an effective CCE framework?	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Cronbach's Alpha if Item Deleted

D3.1. Strain on resources as a result of population influx into the area	14.726	0.557	0.710	0.826
D3.2. Growth of informal settlements around the area	14.726	0.557	0.710	0.826
D3.3. Increase in social ills such as crime, prostitution etc.	14.737	0.530	0.733	0.817
D3.4. Environmental impacts	14.715	0.583	0.693	0.833
All 4 items	Number of Cases	Number of items	Cronbach's Alpha	
	186	4	0.863	

5.5 LIKERT SCALE AND CONSTRUCT MEASUREMENTS AS USED IN THIS STUDY

The sections that follow present results based for the Likert scaled items of the study that are organised into various themes or constructs. Each construct is made up of items that measure a similar theme and hence a summary variable may be derived from such items. It is necessary that items falling in the same construct be consistent in their measurement of the construct. This is ascertained by considering the Cronbach's Alpha statistic, which is a measurement of internal consistency of items falling under the same construct. As explained in Section 5.4 above, it was established that all constructs except one, had very high internal consistency hence the items falling under each item do not contradict as far as what they are intended to measure is concerned.

The tables presented in the statistical results consist of frequency distributions of responses, means and standard deviations, and principal components coefficients. The frequencies tell of the most popular responses from the respondents while the means are indicative of the general sentiments of the respondents. The measurements were on a five-point Likert scale with a score of 5 representing maximum extent of the sentiment expressed, for example, strongly agree while a score of 1 represented least extent, for example, strongly disagree. A mean close to 5.00 (e.g. 4.23) would indicate closeness to the maximum sentiment while a mean close to 1 (e.g. 1.43) would indicate least extent of expressed sentiment.

The latent factors (principal components) columns in the tables presented, determine which of the items under each construct are more important in the calculation of an index or variable to represent the construct. If the principal components coefficients of all items under the same construct are not very different then it means they are of equal importance in the measurement

of the intended construct. If on the other hand there are some items with large coefficients while others have small coefficients, then the ones with small coefficients are not so important in the determination of the variable that will represent the construct. The result would be to calculate weighted mean to represent a construct rather than an ordinary mean of the items.

5.6 MEASUREMENT OF CORPORATE COMMUNITY ENGAGEMENT STRATEGIES USED BY EXTRACTIVE COMPANIES TO ENGAGE WITH LOCAL COMMUNITIES

This section presents the results on measurement of corporate community engagement strategies used by extractive companies to engage with local communities. There are five constructs under the measurement of corporate community engagement strategies used by extractive companies to engage with local communities. These constructs are presented in the subsections that follow. The items under each of the five constructs had high internal consistency as indicated by the Cronbach's Alpha statistics, which were all above 0.9 (with the exception of construct B3), hence they can be considered reliable in measuring the intended themes.

5.6.1 Extent of companies involvement in community engagement issues (CCE)

As shown in Table 6.28 below, research participants were asked to express the extent to which companies were involved in community engagement issues. The majority of the participants (85.9%) indicated that companies did not facilitate responsibility sharing (section 3.3.4.2) in their decision-making systems while an additional 11.0% indicated that responsibility sharing was done by extractive companies to a lesser extent. In general, responsibility sharing is almost non-existent with these companies.

The majority (80.6%) also confirmed that there was no frequent communication between the community and the extractive companies with 82.2% claiming that two-way communication between concerned stakeholders was non-existent. Only 18% of the participants believed that there was, to a lesser extent, trust between the company and the community, with the majority (78.5%) believing that no such trust existed. The trend continues as shown by the 80.1% who claim that learning of new skills and awareness of each other stakeholders' needs was not shown by both the companies and the community.

Table 5.28: Extent to which companies are involved in community engagement issues

Extent to which company is involved in community engagement issues		Frequency Distribution						Descriptive Statistics		Latent Factor (Principal component) Coefficient
		To a very large extent	To a large extent	Neutral/ indifferent	To a lesser extent	To no extent	To a Lesser or no extent	Mean	Std Dev	
B1.1. Responsibility sharing in decision making	N %	0 0.0%	6 3.1%	0 0.0%	21 11.0%	164 85.9%	96.9%	1.24	0.75	0.946
B1.2. Frequency of communication between community and extractive company	N %	6 3.1%	0 0.0%	0 0.0%	31 16.2%	154 80.6%	96.9%	1.29	0.76	0.962
B1.3. The nature of the communication (consultative, two-way communication seeking the opinion/input of other stakeholders) rather than one directional (characterised by the domination of one stakeholder in the communication)	N %	6 3.1%	0 0.0%	0 0.0%	28 14.7%	157 82.2%	96.9%	1.27	0.76	0.974
B1.4. Trust between community and company	N %	5 2.6%	1 0.5%	0 0.0%	35 18.3%	150 78.5%	96.9%	1.30	0.75	0.967
B1.5. Learning of new skills and greater awareness of other stakeholders' needs (for both firm and community)	N %	5 2.6%	0 0.0%	1 0.5%	32 16.8%	153 80.1%	96.9%	1.28	0.73	0.966
B1.6. Control of Processes (e.g. mineral extraction, land restoration etc.)	N %	5 2.6%	0 0.0%	1 0.5%	40 20.9%	145 75.9%	96.9%	1.32	0.74	0.960
B1.7. Control of benefits and impacts	N %	6 3.1%	0 0.0%	0 0.0%	36 18.8%	149 78.0%	96.9%	1.31	0.77	0.974
B1.8. Creation of local networks of community members	N %	6 3.1%	0 0.0%	0 0.0%	38 19.9%	147 77.0%	96.9%	1.32	0.77	0.964
B1.9. Setting grievance and resolution mechanisms	N %	6 3.0%	0 0.0%	0 0.0%	35 17.6%	150 75.4%	93.0%	1.31	0.77	0.969
		Cronbach's Alpha						0.991		
		% of total variation accounted for by latent factor						93.07%		

The majority also believed that the companies did not engage the community in matters relating to the control of processes (75.9%), control of benefits and impacts (78.0%), and in creating

networks of community members (77.0%). It also seems as if the companies did not set up grievance and resolutions mechanisms as claimed by 75.4% of the research participants.

5.6.2 Value placed on traditional elements of CCE as the extractive company engages with local communities

Table 5.29 presents results of questionnaire items that sought to establish the value of importance placed by survey participants on the traditional elements of CCE. These elements were taken to mean the understanding of CCE from the perspective of local communities. These quantitative results greatly supported the qualitative results on the understanding of CCE from the perspective of extractive companies.

Table 5.29: Value placed on traditional elements of CCE as the extractive company engages with local communities

Value placed on traditional elements of CCE as the extractive company engages with local communities		Frequency Distribution						Descriptive Statistics		Latent Factor (Principal component)
		Very important	Important	Fairly important	Almost important	Not important	Important & very	Mean	Std Dev	
B2.1. Responsibility sharing in decision making	N %	167 87.4%	23 12.1%	1 0.5%	0 0.0%	0 0.0%	99.5%	4.87 0.35	0.821	
B2.2. Frequency of communication between community and extractive company	N %	167 87.4%	23 12.0%	1 0.5%	0 0.0%	0 0.0%	99.5%	4.87 0.35	0.789	
B2.3. The nature of the communication (consultative, two-way communication seeking the opinion/input of other stakeholders) rather than one directional (characterised by the domination of one stakeholder in the communication)	N %	161 84.3%	29 15.2%	1 0.5%	0 0.0%	0 0.0%	99.5%	4.84 0.38	0.860	
B2.4. Trust between community and company	N %	165 86.4%	25 13.1%	1 0.5%	0 0.0%	0 0.0%	99.5%	4.86 0.36	0.799	
B2.5. Learning of new skills and greater awareness of other stakeholders' needs (for both firm and community)	N %	162 84.8%	28 14.7%	1 0.5%	0 0.0%	0 0.0%	99.5%	4.84 0.38	0.868	
B2.6. Control of Processes (e.g. mineral extraction, land restoration etc.)	N %	167 87.4%	23 12.0%	1 0.5%	0 0.0%	0 0.0%	99.5%	4.87 0.35	0.818	
B2.7. Control of benefits and impacts	N %	165 86.4%	25 13.1%	1 0.5%	0 0.0%	0 0.0%	99.5%	4.86 0.36	0.874	

B2.8. Creation of local networks of community members	N	164	26	1	0	0	99.5%	4.85	0.37	0.856
	%	85.9%	13.6%	0.5%	0.0%	0.0%				
B2.9. Setting grievance and resolution mechanisms	N	163	27	1	0	0	99.5%	4.85	0.37	0.892
	%	85.3%	14.2%	0.5%	0.0%	0.0%				
Cronbach's Alpha								0.949		
% of total variation accounted for by latent factor								70.97%		

The results show that the majority of the participants indicated the importance of responsibility sharing (section 3.3.4.2) in decision-making, as shown by 87.4% who indicated that it was very important. Frequent communication between stakeholders was shown by 87.4% to be very important and 84.3% indicated that two-way communication was also a very important element of CCE. The participants also regarded trust between the company and community (86.4%), awareness of stakeholders' needs (84.8%) and control of processes (87.4%) as very important elements of CCE. Control of benefits (86.4%), creation of local networks of community members (85.9%) as well as setting grievance and resolution mechanisms (85.3%) were also highlighted as very important elements. In general, the mean values of all items under this construct are above 4.5, which is indicative of strong importance on the 5-point Likert scale used. These results show that the community places great value on the traditional elements of CCE as the extractive company engages with local communities.

5.6.3 Importance of partnership arrangements when engaging the community

This section looks at the partnership arrangements when engaging the community and the importance that the respondents attached to them. The results are presented in Table 5.30 below.

Table 5.30: Ratings of partnership arrangements when engaging the community

Importance of partnership arrangements when engaging the community	Frequency Distribution						Descriptive Statistics		Latent Factor (Principal component) Coefficient
	Very important	Important	Fairly important	Almost important	Not important	Important/Very	Mean	Std Dev	

B3.1. Partnering NPOs working in the community	N	181	8	0	1	0	99.5%	4.94	0.29	0.810	
	%	95.3%	4.2%	0.0%	0.5%	0.0%					
B3.2. Partnering government institutions in the area	N	28	3	7	22	130	16.3%	1.83	1.45	-0.035	
	%	14.7%	1.6%	3.7%	11.6%	68.4%					
B3.3. Partnering local businesses	N	35	4	12	14	125	20.5%	2.00	1.57	-0.009	
	%	18.4%	2.1%	6.3%	7.4%	65.8%					
B3.4. Partnering existing community social networks e.g. churches, clubs, etc.	N	180	8	1	1	0	98.9%	4.93	0.33	0.912	
	%	94.7%	4.2%	0.5%	0.5%	0.0%					
B3.5. Partnering existing social service providers e.g. schools, hospitals etc.	N	177	11	1	1	0	99.0%	4.92	0.35	0.934	
	%	93.2%	5.8%	0.5%	0.5%	0.0%					
									0.584		
	% of total variation accounted for by latent factor								47.23%		

The results show that 95.3% of the participants believe that partnering with NPOs working in the community was very important, whereas 68.4% were of the opinion that partnering government institutions in the area was not as important. Partnering with local businesses was deemed as not important (68.8%), whereas partnering existing social networks such as churches was considered very important by 94.7% of the participants.

5.6.4 Importance of non-partnership arrangements when engaging the community

In Table 5.31 the participants' views on the importance of non-partnership arrangements when engaging the community are analysed. The statistics that follow show that the majority of the participants believe that these non-partnership arrangements are very important when engaging the community.

Table 5.31: Ratings of non-partnership arrangements when engaging the community

Importance of non-partnership arrangements when engaging the community	Frequency Distribution						Descriptive statistics		Latent Factor (Principal component) Coefficient	
	Very important	Important	Fairly important	Almost important	Not important	Important/Very important	Mean	Std Dev		
B4.1. Directly giving out educational assistance to local children e.g. school fees, uniforms, books	N	159	27	3	0	0	98.4%	4.83	0.42	0.879
	%	84.1%	14.3%	1.6%	0.0%	0.0%				

B4.2. Directly giving out food assistance the needy, old or vulnerable in the community	N	164	21	3	0	1				
	%	86.8%	11.1%	1.6%	0.0%	0.5%	97.9%	4.84	0.48	0.844
B4.3. Directly giving out shelter assistance the needy, old or vulnerable in the community	N	157	28	3	0	1				
	%	83.1%	14.8%	1.6%	0.0%	0.5%	97.9%	4.80	0.51	0.899
B4.4. Directly providing health & medical assistance to the community	N	163	23	3	0	0				
	%	86.2%	12.2%	1.6%	0.0%	0.0%	98.4%	4.85	0.40	0.880
B4.5. Directly providing the community assistance with basic amenities such as clean water, sanitation, sewerage, etc.	N	158	27	4	0	0				
	%	83.6%	14.3%	2.1%	0.0%	0.0%	97.9%	4.81	0.44	86.75%
	Cronbach's Alpha							0.920		
	% of total variation accounted for by latent factor							76.37%		

As shown in table 5.31 above, 84.1% consider giving out educational assistance to local schools as important with 86.8% believing giving out food assistance to the needy and old is important. The majority also viewed providing social services such as providing shelter to the needy (83.1%), providing health and medical assistance to the community (86.2%) and providing the community assistance with basic amenities (83.6%) as important.

5.6.5 Importance of donations when engaging the community

In Table 5.32 the participants' views on the importance of donations when engaging the community are summarised. As shown in the table, the provision of donations is regarded as important by most of the participants. Donations in the form of assistance of local schoolchildren with their educational needs was rated as very important by 85.2% of the participants. The other forms of donations, vis., helping the needy (83.1%), provision of health and medical assistance (82.5%) and provision basic amenities (84.1%) were also considered to be very important by the respondents.

Table 5.32: Ratings of donation items when engaging the community

Importance of donations when engaging the community	Frequency Distribution						Descriptive statistics		Latent Factor (Principal component) Coefficient
	Very important	Important	Fairly important	Almost important	Not important	Important/ Very important	Mean	Std Dev	

B5.1. The company helps local children with their educational needs e.g. school fees, uniforms, books etc.	N	161	24	3	1	0	97.9%	4.83	0.46	0.923
	%	85.2%	12.7%	1.6%	0.5%	0.0%				
B5.2. The company helps the needy, old or vulnerable with food	N	157	28	3	1	0	97.9%	4.80	0.47	0.919
	%	83.1%	14.8%	1.6%	0.5%	0.0%				
B5.3. The company helps the needy, old or vulnerable with shelter	N	156	29	3	1	0	97.9%	4.80	0.47	0.945
	%	82.5%	15.4%	1.6%	0.5%	0.0%				
B5.4. The company helps provides health & medical assistance	N	156	29	3	1	0	97.9%	4.80	0.47	0.923
	%	82.5%	15.4%	1.6%	0.5%	0.0%				
B5.5. The company helps with basic amenities such as clean water, sanitation, sewerage, etc.	N	159	26	3	1	0	97.9%	4.81	0.46	0.939
	%	84.1%	13.8%	1.6%	0.5%	0.0%				
Cronbach's Alpha								0.961		
% of total variation accounted for by latent factor								86.50%		

5.7 ROLE PLAYED BY LOCAL COMMUNITIES IN THE ENGAGEMENT PROCESS

This section analyses the issues around local community involvement in the engagement process, how the community stands to benefit, and the barriers that stand in way of the engagement process.

5.7.1 Important roles of the community in the engagement process

Table 5.33 shows that the majority of the participants agreed that the roles listed are important in the community in the engagement process. At least 89.4% agreed that identifying and prioritising the community needs was very important; as well as identifying the barriers to engagement. Another very important role is identifying who should represent the community in the engagement process (88.9%). Establishing peaceful conflict resolution mechanisms was also highlighted by 84.1% of the respondents as important.

Table 5.33: Important roles of the community in the engagement process

To what extent are these Important roles of the community in the engagement process		Frequency Distribution						Descriptives		Latent Factor (Principal component) Coefficient
		Strongly agree	Agree	Neutral/ Indifferent	Disagree	Strongly disagree	Agree & Strongly	Mean	Std Dev	
C1.1. Identifying and prioritising their needs	N	169	19	0	0	1	99.5%	4.88	0.41	0.919
	%	89.4%	10.1%	0.0%	0.0%	0.5%				
C1.2. Identifying the barriers to engagement	N	169	19	0	0	1	99.5%	4.88	0.41	0.923
	%	89.4%	10.1%	0.0%	0.0%	0.5%				
C1.3. Identifying who to represent them in the engagement processes	N	168	20	0	0	1	99.5%	4.87	0.42	0.935
	%	88.9%	10.6%	0.0%	0.0%	0.5%				
C1.4. Establishing peaceful conflict resolution mechanisms	N	159	29	0	0	1	99.5%	4.83	0.46	0.901
	%	84.1%	15.3%	0.0%	0.0%	0.5%				
Cronbach's Alpha:									0.938	
% of total variation accounted for by latent factor:									84.58%	

5.7.2 Broad local community needs

Table 5.34 shows that most of the participants agree that economic needs (87.8%) are part of the broad-based needs with only a single individual pointing out that they matter to a lesser extent. As shown in table 6.8 social and cultural needs (89.9%), technological needs (89.9%) and environmental needs (89.4%) were identified by the participants as some of the key broad local community needs.

Table 5.34: Broad local community needs

To what extent are these Broad local community needs		Frequency Distribution						Descriptive statistics		Latent Factor (Principal component) Coefficient
		To a very large extent	To a large extent	Neutral/ Indifferent	To a lesser extent	To no extent	To a large & very large	Mean	Std Dev	
C2.1. Economic needs	N	166	22	0	1	0	99.5%	4.87	0.38	0.881
	%	87.8%	11.6%	0.0%	0.5%	0.0%				

C2.2. Social and cultural needs	N	170	18		1		99.5%	4.89	0.36	0.886
	%	89.9%	9.5%	0.0%	0.5%	0.0%				
C2.3. Technological needs	N	170	18	0	1	0	99.5%	4.89	0.36	0.877
	%	89.9%	9.5%	0.0%	0.5%	0.0%				
C2.4. Environmental needs	N	169	19	0	0	1	99.5%	4.88	0.41	0.885
	%	89.4%	10.1%	0.0%	0.0%	0.5%				
Cronbach's Alpha								0.904		
% of total variation accounted for by latent factor								77.84%		

5.7.3 Barriers in the local communities to engagement with the company

5.7.3.1 Community context

Table 5.35 presents results from questionnaire items where participants were asked to identify the extent to which listed items were barriers for local communities to engage with the company. All the listed key barriers were identified as being key barriers by the participants. Low educational levels (90%), expectation/entitlement (91%) as well complex environment (86.2%) were highlighted as being key barriers to a very large extent. Furthermore, not taking responsibility (85.1%, community leadership issues (84.4%) and missing inclusive communication were identified as being key barriers to a very large extent.

Table 5.35: Contextual barriers for local communities to engage with the company

To what extent are these key barriers for local communities to engage with the company (Community context)		Frequency Distribution						Descriptives		Latent Factor (Principal component) Coefficient
		To a very large extent	To a large extent	Neutral/ Indifferent	To a lesser extent	To no extent	To a large & very large extent	Mean	Std Dev	
C3.1. Low educational levels	N	170	18	0	0	0	100.0%	4.90	0.30	0.728
	%	90.4%	9.6%	0.0%	0.0%	0.0%				
C3.2. Expectation/ entitlement	N	171	17	0	0	0	100.0%	4.91	0.29	0.741
	%	91.0%	9.0%	0.0%	0.0%	0.0%				
C3.3. Complex environment	N	162	23	1	2	0	98.4%	4.84	0.46	0.727
	%	86.2%	12.2%	0.5%	1.1%	0.0%				
C3.4. Not taking responsibilities	N	160	27	1	0	0	99.5%	4.85	0.38	0.838
	%	85.1%	14.4%	0.5%	0.0%	0.0%				

C3.5. Community leadership issues	N	159	28	1	0	0	99.5%	4.84	0.38	0.876
	%	84.6%	14.9%	0.5%	0.0%	0.0%				
C3.6. Missing inclusive communication	N	158	30	0	0	0	100.0%	4.84	0.37	0.848
	%	84.0%	16.0%	0.0%	0.0%	0.0%				
C3.7. Politics and power	N	159	29	0	0	0	100.0%	4.85	0.36	0.876
	%	84.6%	15.4%	0.0%	0.0%	0.0%				
Cronbach's Alpha								0.905		
% of total variation accounted for by latent factor								65.18%		

5.7.3.2 Relational issues

Table 6.36 shows that the listed relational issues identified as barriers for local communities to engage with the company were regarded by the participants as being key barriers to a very large extent. 83% of the participants agreed that lack of trust was a key barrier and 85.1% believed that conflict between actors was also a key barrier to a large extent. Different agendas (85.6%), difficulties in identifying stakeholders (84%) and implementation structure (84%) were also endorsed by the respondents as being key barriers.

Table 5.36: Relational Barriers in the local communities to engagement with the company

To what extent are these key barriers for local communities to engage with the company (Relational issues)	Frequency Distribution							Descriptive statistics		Latent Factor (Principal component) Coefficient
	To a very large extent	To a large extent	Neutral/Indifferent	To a lesser extent	To no extent	To a lesser extent/ To no extent	Mean	Std Dev		
C3.8. Lack of trust	N	157	31	0	0	0	100.0%	4.84	0.37	0.877
	%	83.5%	16.5%	0.0%	0.0%	0.0%				
C3.9. Conflict between actors	N	160	28	0	0	0	100.0%	4.85	0.36	0.882
	%	85.1%	14.9%	0.0%	0.0%	0.0%				
C3.10. Different agendas	N	161	27	0	0	0	100.0%	4.86	0.35	0.915
	%	85.6%	14.4%	0.0%	0.0%	0.0%				
C3.11. Difficulties in identifying stakeholders	N	158	30	0	0	0	100.0%	4.84	0.37	0.890
	%	84.0%	16.0%	0.0%	0.0%	0.0%				
C3.12. Implementation structure	N	158	30	0	0	0	100.0%	4.84	0.37	0.890
	%	84.0%	16.0%	0.0%	0.0%	0.0%				

Cronbach's Alpha		0.935
% of total variation accounted for by latent factor		79.36%

5.7.4 Suitable representatives of local communities when engaging with companies.

Table 6.37 presents results from questionnaire items in which participants were asked to highlight the extent to which the listed groups of individuals could represent the local communities when engaging with the company. As shown in Table 6.37 the majority of the participants (97.3%) felt that traditional leaders should not play a role in community engagement with the company. The same sentiments were expressed when participants were asked on whether elected officials should play a role in community and company engagement with 97.5% expressing that they should have no role. Business leaders were also sidelined by the participants (67%) even though 17.6% suggested a role but to a lesser extent. Most of the participants (55.9%) felt that opinion leaders should not be involved, even though 24% were neutral/ indifferent to their involvement.

Table 5.37: Suitable representatives of local communities when engaging with companies

To what extent do you feel the following would effectively represent local communities when engaging with the company?		Frequency Distribution					Descriptive statistics		Latent Factor (Principal component)	
		To a very large extent	To a large extent	Neutral/ Indifferent	To a lesser extent	To no extent	To large or very large extent	Mean		Std Dev
C4.1. Traditional leaders – including chiefs,	N	3	2	0	0	183	2.7%	1.10	0.59	0.789
	%	1.6%	1.1%	0.0%	0.0%	97.3%				
C4.2. Official leaders – i.e. those holding elected positions or working for government agencies, e.g. mayor, legislators etc.	N	3	1	0	4	180	2.1%	1.10	0.56	0.784
	%	1.6%	0.5%	0.0%	2.1%	95.7%				
C4.3. Business leaders – owners & managers	N	8	7	14	33	126	8.0%	1.61	1.06	0.755
	%	4.3%	3.7%	7.4%	17.6%	67.0%				
C4.4. Opinion leaders	N	5	15	46	17	105	10.7%	1.93	1.17	0.689
	%	2.7%	8.0%	24.5%	9.0%	55.9%				
C4.5. Hierarchical leaders – e.g. army, police, or prison services	N	7	1		3	177	4.2%	1.18	0.79	0.611
	%	3.7%	0.5%	0.0%	1.6%	94.1%				
C4.6. Civic leaders –e.g. religious leaders	N	165	17	3	0	3	96.8%	4.81	0.61	0.185
	%									

	%	87.8%	9.0%	1.6%	0.0%	1.6%				
C4.7. Connectors – i.e. people who spread ideas, messages, and social norms from place to place.	N	25	29	122	7	5				
	%	13.3%	15.4%	64.9%	3.7%	2.7%	28.7%	3.33	0.85	0.679
C4.8. Catalysts – those whom people look up to in their every-day lives for community expertise, historical perspective and wisdom.	N	26	22	127	8	5				
	%	13.8%	11.7%	67.6%	4.3%	2.7%	25.5%	3.30	0.86	0.648
Cronbach's Alpha							0.798			
% of total variation accounted for by latent factor							44.62%			

The involvement of hierarchical individuals was also rejected by the participants with 94% feeling that they should not play a role. 87.8% of the participants endorsed civic leaders to represent the community. However, catalysts' (67.6%) and connectors' (64.9%) involvement received an indifferent response with the majority of the participants remaining neutral.

5.7.5 Key conflict resolution considerations for local communities

Table 5.38 shows that the majority of the participants feel that the conflict resolution considerations listed in the table were all to a very large extent/to a large extent key.

Table 5.38: Key conflict resolution considerations for local communities

To what extent do you feel that these are key conflict resolution considerations for local communities?	Frequency Distribution						Descriptive statistics		Latent Factor (Principal component) Coefficient
	To a very large extent	To a large extent	Neutral/ Indifferent	To a lesser extent	To no extent	To a large & very large extent	Mean	Std Dev	
C5.1. The community has preventative measures to reduce the likelihood of company-community conflict	N 176 94.1%	11 5.9%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.94	0.24	0.719
C5.2. The community has a dedicated process for handling complaints and grievances	N 171 91.4%	16 8.6%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.91	0.28	0.716
C5.3. All elements of the dispute resolution process are formally documented, including criteria for admissibility, timelines for resolution, investigation processes, joint company and community fact-finding,	N 170 90.9%	17 9.1%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.91	0.29	0.813

protocols for communicating with complainant(s)										
C5.4. The process reflects local preferences for dispute resolution i.e. all community members are consulted about its design	N %	165 88.2%	22 11.8%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.88	0.32	0.798
C5.5. All groups within the community are aware of the process and are able to access it	N %	169 90.4%	18 9.6%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.90	0.30	0.819

To what extent do you feel that these are key conflict resolution considerations for local communities?	Frequency Distribution						Descriptive statistics		Latent Factor (Principal component)	Coefficient
	To a very large extent	To a large extent	Neutral/Indifferent	To a lesser extent	To no extent	To a large & very large extent	Mean	Std Dev		
C5.6. The process has local community leadership support	N %	168 89.8%	19 10.2%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.90	0.30	0.803
C5.7. All community leadership levels are aware of the process & actively involved in using it	N %	165 88.2%	22 11.8%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.88	0.32	0.810
C5.8. There is a process for seeking to understand contributing factors to serious complaints or grievances	N %	162 86.6%	25 13.4%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.87	0.34	0.854
C5.9. The community involves the company in finding collaborative solutions	N %	164 87.7%	23 12.3%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.88	0.33	0.797
C5.10. If the community is unable to resolve issues, there are other trusted mechanisms or processes that disputing parties can turn to, which the community makes known to all	N %	159 85.0%	28 15.0%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.85	0.36	0.810
Cronbach's Alpha							0.934			
% of total variation accounted for by latent factor							63.24%			

Table 5.38 shows that 100% of the respondents felt that if the community has preventative measures to reduce the likelihood of company-community conflict that would be a key conflict resolution. If the community has a dedicated process for handling complaints and grievances

as well as documenting all elements of the dispute resolution process, the participants feel these also qualify as key conflict resolution considerations.

5.8 OUTCOMES OF CSR STRATEGIES CURRENTLY IN USE

The key broad outcomes of an effective CCE framework were identified from the extensive literature reviewed and from the in-depth interviews conducted to be economic, social, and environmental. It was also established that each of the three broad CSR outcomes was either intended consequences; unintended but positive consequences, or unintended negative consequences. These are summarised in the subsections that follow.

5.8.1 Intended consequences of an effective CCE framework

As indicated in Table 5.39, the respondents believed that the intended consequences of an effective CCE framework are improved stakeholder relations (100%), reduced conflicts (100%), increased sustainable socio-economic development (100%) and improved social and environmental benefits (100%).

Table 5.39: Intended consequences of an effective CCE framework

To what extent do you feel that these are intended consequences of an effective CCE framework?		Frequency Distribution						Descriptive statistics		Latent Factor (Principal component) Coefficient
		To a very large extent	To a large extent	Neutral/Indifferent	To a lesser extent	To no extent	To a large & very large extent	Mean	Std Dev	
D1.1. Improved stakeholder relations	N	172	15	0	0	0	100.0%	4.92	0.27	0.845
	%	92.0%	8.0%	0.0%	0.0%	0.0%				
D1.2. Reduced conflicts	N	172	14	0	0		100.0%	4.93	0.26	0.852
	%	92.0%	7.5%	0.0%	0.0%	0.0%				
D1.3. Increased sustainable socio-economic development	N	170	17	0	0	0	100.0%	4.91	0.29	0.885
	%	90.9%	9.1%	0.0%	0.0%	0.0%				
D1.4. Improved social and environmental benefits	N	172	15	0	0	0	100.0%	4.92	0.27	0.767
	%	94.5%	8.2%	0.0%	0.0%	0.0%				
		Cronbach's Alpha						0.858		
		% of total variation accounted for by latent factor						70.28%		

5.8.2 Unintended but positive consequences of an effective CCE framework

As shown in Table 5.40, the majority of the respondents felt that the unintended positive consequences of an effective CCE framework included the coming into the community of other businesses to set up and try and benefit from the positive spin-offs. Also, there is a likelihood of increased government support. Other positive spin offs emanating from an effective CCE framework are an increase in the general social wellbeing of residents as well as increased skills development by community members as they attempt to meet company recruitment policies. All these benefits were deemed relevant to a very large extent/to a large extent by 100% of the participants.

Table 5.40: Unintended POSITIVE consequences of an effective CCE framework

To what extent do you feel that these are unintended POSITIVE consequences of an effective CCE framework?	Frequency Distribution						Descriptive statistics		Latent Factor (Principal component) Coefficient
	To a very large extent	To a large extent	Neutral/Indifferent	To a lesser extent	To no extent	To a large & very large extent	Mean	Std Dev	
D2.1. Investment centres – other businesses will begin to set up in the community	N 168 % 90.3%	18 9.7%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.90	0.30	0.802
D2.2. There may be increased government support – e.g. hospitals, schools etc.	N 169 % 90.9%	17 9.1%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.91	0.29	0.845
D2.3. Increase in general social wellbeing	N 168 % 90.3%	18 9.7%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.90	0.30	0.863
D2.4. Increased skills development by community members as they try to meet company requirements.	N 170 % 91.4%	16 8.6%	0 0.0%	0 0.0%	0 0.0%	100.0%	4.91	0.28	0.838
Cronbach's Alpha							0.858		
% of total variation accounted for by latent factor							70.14%		

5.8.3 Unintended but negative consequences of an effective CCE framework

Table 5.41 shows that the participants believed that the consequences of an effective CCE framework listed in the table, albeit unintended, were to a very large extent/large extend negative. These negative consequences include strain on resources as a result of population influx into the area, growth of informal settlements, as well as increase in social ills.

Environmental impacts were also highlighted as having a negative effect to a very large/large extent by 100% of the participants.

Table 5.41: Unintended NEGATIVE consequences of an effective CCE framework

To what extent do you feel that these are unintended NEGATIVE consequences of an effective CCE framework?		Frequency Distribution						Descriptive statistics		Latent Factor (Principal component) Coefficient
		To a very large extent	To a large extent	Neutral/Indifferent	To a lesser extent	To no extent	To a large & very large extent	Mean	Std Dev	
D3.1. Strain on resources as a result of population influx into the area	N	169	17	0	0	0	100.0%	4.91	0.29	0.835
	%	90.9%	9.1%	0.0%	0.0%	0.0%				
D3.2. Growth of informal settlements around the area	N	169	17	0	0	0	100.0%	4.91	0.29	0.849
	%	90.9%	9.1%	0.0%	0.0%	0.0%				
D3.3. Increase in social ills such as crime, prostitution etc.	N	167	19	0	0	0	100.0%	4.90	0.30	0.853
	%	89.8%	10.2%	0.0%	0.0%	0.0%				
D3.4. Environmental impacts	N	171	15	0	0	0	100.0%	4.92	0.27	0.833
	%	91.9%	8.1%	0.0%	0.0%	0.0%				
Cronbach's Alpha								0.863		
% of total variation accounted for by latent factor								56.98%		

5.9 REGRESSION ANALYSIS

5.9.1 Regression of intended consequences of an effective CCE framework on Context, Group Dynamics and Implementation Strategy

A regression model was fitted to the construct of intended consequences of an effective CCE framework (D1) as the response variable with the constructs of **context**, **group dynamics** and **implementation strategy** as independent variables. The results indicate that traditional elements of CCE (coefficient=0.148, t=2.447, p-value=0.015) and partnership arrangements (coefficient=0.143, t=2.680, p-value=0.008) are the context constructs with significant and positive impact on intended consequences of CCE. Group dynamics and implementation strategy constructs of broad local community needs (C2) (coefficient=0.134, t=2.444, p-

value=0.015) and conflict resolution (C5) (coefficient=0.512, $t=7.167$, $p\text{-value}=0.000$) have significant and positive impact on intended consequences of CCE. In fact, conflict resolution, with a coefficient of 0.512 has the highest effect on intended consequences of CCE. The construct of key community context barriers (C3a) was not fitted in the model because it turned out to be highly correlated with key relational barriers, hence there was a problem of multicollinearity since the two construct essentially provide the same information due to high correlatedness.

Table 5.42: Regression of intended consequences of an effective CCE framework

Dependent Variable: D1: Intended consequences of an effective CCE framework		Coefficients		t-tests	
		B	Std. Error	t	p-value
Strategies	B1: Corporate community engagement	-0.004	0.023	-0.171	0.864
	B2: Traditional elements of CCE	0.148	0.060	2.447	0.015
	B3: Partnership arrangements	0.143	0.053	2.680	0.008
	B4: Non-Partnership arrangements	0.059	0.049	1.204	0.230
	B5: Importance of donations	-0.062	0.045	-1.366	0.174
Group Dynamics + Implementation strategy	C1: Important roles of the community	0.051	0.046	1.099	0.273
	C2: Broad local community needs	0.134	0.055	2.444	0.015
	C3b: Key Relational barriers	0.022	0.058	0.376	0.707
	C5: Conflict resolution	0.512	0.071	7.167	0.000

5.9.2 Regression of unintended positive consequences of an effective CCE framework on Context, Group Dynamics and Implementation Strategy

Another regression model was fitted to the construct of unintended but positive consequences of an effective CCE framework (D2) as the response variable with the five constructs of Context and the five constructs of Group Dynamics and Implementation strategy as independent variables. The results indicate that traditional elements of CCE (coefficient=0.137, $t=2.532$, $p\text{-value}=0.012$) and Partnership arrangements (coefficient=0.127, $t=2.669$, $p\text{-value}=0.008$) are the strategy constructs with significant and positive impact on unintended but positive consequences of CCE.

The group dynamics and implementation strategy constructs of broad local community needs (C2) (coefficient=0.221, $t=4.515$, $p\text{-value}=0.000$), key relational barriers (coefficient=0.147, $t=2.820$, $p\text{-value}=0.005$) and conflict resolution (C5) (coefficient=0.408, $t=6.390$, $p\text{-value}=0.000$) have significant and positive impact on intended consequences of CCE. Conflict resolution, with a coefficient of 0.408 has the highest effect on unintended but positive consequences of CCE. The construct of key community context barriers (C3a) was again not fitted by the software because of its high correlation with key relational barriers.

Table 5.43: Regression of Unintended Positive consequences of an effective CCE framework

Dependent Variable: D2: Unintended Positive consequences of an effective CCE framework		Coefficients		t-tests	
		B	Std. Error	t	p-value
Strategies	B1: Corporate community engagement	0.008	0.021	0.384	0.711
	B2: Traditional elements of CCE	0.137	0.054	2.532	0.012
	B3: Partnership arrangements	0.127	0.048	2.669	0.008
	B4: Non-Partnership arrangements	-0.017	0.043	-0.400	0.690
	B5: Importance of donations	0.029	0.041	0.711	0.478
Group Dynamics + Implementation	C1: Important roles of the	-0.049	0.042	-1.178	0.240
	C2: Broad local community needs	0.221	0.049	4.515	0.000
	C3b: Key Relational barriers	0.147	0.052	2.820	0.005
	C5: Conflict resolution	0.408	0.064	6.390	0.000

5.9.3 Regression of unintended negative consequences of an effective CCE framework on Context, Group Dynamics and Implementation Strategy

Another regression model was fitted to the construct of unintended negative consequences of an effective CCE framework (D2) as the response variable with the five constructs of strategy and the five constructs of group dynamics and implementation strategy as independent variables. The results indicate that traditional elements of CCE do not have a significant impact on unintended negative consequences of CCE unlike with the other outcomes constructs (coefficient=0.137, $t=2.532$, $p\text{-value}=0.012$). The results also show that Partnership arrangements have a significant impact on unintended negative consequences of CCE (coefficient=0.110, $t=2.171$, $p\text{-value}=0.031$).

The group dynamics and implementation strategy constructs of broad local community needs (coefficient=0.208, $t=3.977$, $p\text{-value}=0.000$), key relational barriers (coefficient=0.179, $t=3.228$, $p\text{-value}=0.001$) and conflict resolution (coefficient=0.416, $t=6.116$, $p\text{-value}=0.000$) have significant and impact on intended consequences of CCE. The construct of key community context barriers (C3a) was again not fitted by the software because of its high correlation with key relational barriers.

Table 5.44: Regression of Unintended Negative consequences of an effective CCE framework

Dependent Variable: D2: Unintended Negative consequences of an effective CCE framework		Coefficients		t-tests	
		B	Std. Error	T	p-value
Strategies	B1: Corporate community engagement	0.008	0.022	0.384	0.711
	B2: Traditional elements of CCE	0.109	0.058	1.890	0.060
	B3: Partnership arrangements	0.110	0.051	2.171	0.031
	B4: Non-Partnership arrangements	0.002	0.046	0.038	0.970
	B5: Importance of donations	0.026	0.043	0.607	0.545
Group Dynamics + Implementation	C1: Important roles of the	-0.046	0.044	-1.050	0.295
	C2: Broad local community needs	0.208	0.052	3.977	0.000
	C3b: Key Relational barriers	0.179	0.056	3.228	0.001
	C5: Conflict resolution	0.416	0.068	6.116	0.000

5.10 RELATIONSHIPS BETWEEN CONSTRUCTS

The key relationships (objectives) that needed to be investigated are derived from the links in the conceptual model, and they are as follows: relationships between CCE Strategies used by extractive companies and the role played by local communities; relationships between CCE Strategies used by extractive companies and outcomes of effective CCE strategies; and the relationships between the role played by local communities and outcomes of effective CCE strategies.

A look at the conceptual framework

Main variables of the study include the following:

- Section B of the questionnaire is designed to address the **context variable**
- Section C addresses the **context** (questions on barriers to engagement), **group dynamics** (questions on role played by local communities in CCE process), **and implementation variables** (questions on important factors for implementing CCE).
- Section D addresses the **outcomes of CCE**.

There are nine latent elements which are required to strengthen the impact of CCE and they are referred to in this study as reinforcement elements of the CCE framework (section 3.3.4). They include strategy, alignment, integration, innovation, multi-stakeholder practices, sustainability, results measurement and communication, process (ongoing iterative and transformational), and communication at all levels (Formentini & Taticchi, 2016).

Most of the variables that represent the various constructs described in the sections above were calculated as ordinary means since all constructs had items with latent factor (principal components) coefficients that did not differ much. However construct B3 (importance of partnership arrangements when engaging the community) had two items with a negative coefficients (B3.2. Partnering with government institutions in the area with coefficient=-0.035 and B3.3. Partnering with local businesses with coefficient=-0.009) and these were left out in the calculation of the latent factor for the construct. The variables obtained in this manner were then correlated in order to assess the relationships between various pairs of variables. The results are presented in the sections that follow.

5.10.1 Relationships between context and the role played by local communities

The relationships between the constructs of CCE strategies used by extractive companies and role played by local communities are presented in Table 5.45 below. The results show that there is no significant correlation between variable B1 (extent to which company is involved in CCE) and any of the “roles played by local communities” variables (all p-values>0.05). However variable B2 (importance attached to traditional elements of CCE) is correlated to all “role played by local communities” variables (all p-values>0.05). There is significant correlation between variables B2 (importance attached to traditional elements of CCE) and C1 (importance of roles played by the community) (correlation=0.255, p-value=0.000).

Table 5.45: Correlations between CCE strategies used by extractive companies and role played by local communities

Pearson Correlations			CCE Strategies used by extractive companies					Role played by local communities			
			B1	B2	B3	B4	B5	C1	C2	C3a	C3b
CCE Strategies used by extractive companies	B1: Corporate community engagement	correlation									
		p-value	-								
		N									
	B2: Traditional elements of CCE	Correlation	-0.018								
		p-value	0.802	-							
N		191									
B3: Partnership arrangement	Correlation	0.001	0.092								
	p-value	0.985	0.204	-							
	N	190	190								
B4: Non-Partnership arrangement	Correlation	0.057	0.275**	0.057							
	p-value	0.432	0.000	0.439	-						
	N	189	189	189							
B5: Importance of donations	Correlation	0.009	0.236**	0.024	0.499**						
	p-value	0.897	0.001	0.741	0.000	-					
	N	189	189	189	189						

Pearson Correlations			CCE Strategies used by extractive companies					Role played by local communities			
			B1	B2	B3	B4	B5	C1	C2	C3a	C3b
Role played by local communities	C1: Important roles of the community	Correlation	0.000	0.255*	0.154*	0.151*	0.127				
		p-value	0.999	0.000	0.035	0.038	0.082	-			
		N	189	189	189	189	189				
	C2: Broad local community needs	Correlation	0.039	0.380*	0.144*	0.239*	0.327*	0.319*			
p-value		0.591	0.000	0.048	0.001	0.000	0.000	-			

	N	189	189	189	189	189	189			
C3a: Key community barriers	Correlation	0.059	0.196*	0.155*	0.203*	0.259*	0.295*	0.204*		
	p-value	0.418	0.007	0.033	0.005	0.000	0.000	0.005	-	
	N	188	188	188	188	188	188	188		
C3b: Key Relational barriers	Correlation	0.038	0.190*	0.198*	0.234*	0.318*	0.295*	0.231*	0.757*	
	p-value	0.608	0.009	0.007	0.001	0.000	0.000	0.001	0.000	-
	N	188	188	188	188	188	188	188	188	
C5: Conflict resolution	Correlation	0.072	0.281*	0.144*	0.232*	0.270*	.289**	0.103	0.460*	0.434**
	p-value	0.328	0.000	0.049	0.001	0.000	0.000	0.16	0.000	0.000
	N	187	187	187	187	187	187	187	187	187
<p>** . Correlation is significant at the 0.01 level (2-tailed).</p> <p>* . Correlation is significant at the 0.05 level (2-tailed).</p>										

-Correlation with p-values highlighted are significant

Results show that there is a significant correlation between the traditional elements of CCE (B2) and CCE partnership arrangements used (B3) as the extractive company engages with local communities with a p-value of 0.204. As part of responsibility sharing (section 3.3.4.2), companies may use the partnership options such as partnering with NPOs or existing community social networks such as churches. However, results indicate that respondents were hesitant of partnering with government institutions and local businesses. Government officials are synonymous with corruption whilst local businesses are profit-making entities and would probably exploit well-intended projects.

Results show that there is no significant correlation between the CCE non-partnership arrangements (B4) and partnership arrangements used (B3) with a p-value of 0.439. This indicates that communities were happy with whichever method of engagement was used, but the two methods were not dependent on each other. The stronger correlation between the traditional elements of CCE (B2) and non-partnership arrangements of CCE (B4) (p-value of 0.000) is further proof that communities were less concerned with the method of engagement. The significant correlation between the traditional elements of CCE (B2) and donations as an implementation strategy (B5) with a p-value of 0.001, further supports the explanation given. To further strengthen the case, there is a significant correlation between non-partnership

arrangements of CCE (B4) and donations (B5), with a p-value of 0.000, traditional elements of CCE (B2) and the role of communities in the engagement process (C1), with a p-value of 0.000, the CCE partnership arrangements used (B3) and the role of communities in the engagement process (C1) with a p-value of 0.035, and non-partnership arrangements of CCE (B4) and the role of communities in the engagement process (C1) with a p-value of 0.038.

The broad critical local community needs (C2) correlate significantly with traditional elements of CCE (B2) with a p-value of 0.000, CCE partnership arrangements used (B3) with a p-value of 0.048, non-partnership arrangements of CCE (B4) with a p-value of 0.001, the role of communities in the engagement process (C1) with a p-value of 0.000, and donations as an implementation strategy (B5) with a p-value of 0.000. This shows that the choice of implementation strategy affects the extent to which local communities can achieve their needs.

Contextual barriers to engagement for local communities (C3a) correlate with the traditional elements of CCE (B2) with a p-value of 0.007, CCE partnership arrangements used (B3) with a p-value of 0.033, non-partnership arrangements of CCE (B4) with a p-value of 0.005, donations as an implementation strategy (B5) with a p-value of 0.000, the role of communities in the engagement process (C1) with a p-value of 0.000, and what makes up the broad critical local community needs (C2) with a p-value of 0.005. There is also significant correlation between the relational issues as barriers to engagement for local communities (C3b) and the traditional elements of CCE (B2) with a p-value of 0.009, the CCE partnership arrangements used (B3) with a p-value of 0.007, non-partnership arrangements of CCE (B4) with a p-value of 0.001, and donations as an implementation strategy (B5) with a p-value of 0.000. This goes to show the wide range of barriers to effective engagement; the role of communities in the engagement process (C1) with a p-value of 0.000, what makes up the broad critical local community needs (C2) with a p-value of 0.001, and the contextual barriers to engagement for local communities (C3a) with a p-value of 0.000. This goes to show that CCE is a fragile process with a wide range of barriers that can prevent its success.

5.10.2 Relationship between context and outcomes of an effective CCE framework

The success of a CCE framework depends on the ability of the independent variables to produce intended outcomes to a large extent. Table 5.46 shows the correlations between CCE strategies used by extractive companies and outcomes of effective CCE strategies.

Table 5.46: Correlations between CCE strategies used by extractive companies and outcomes of effective CCE strategies

Pearson Correlations			CCE Strategies used by extractive companies					Outcomes of Effective CCE strategies		
			B1	B2	B3	B4	B5	D1	D2	D3
CCE Strategies used by extractive companies	B1: Level of Corporate community engagement	Correlation p-value N	-							
		Correlation p-value N	-0.018 0.802 191	-						
	B3: Partnership arrangements	Correlation p-value N	0.001 0.985 190	0.092 0.204	-					
	B4: Non-Partnership arrangements	Correlation p-value N	0.057 0.432 189	0.275** 0.000	0.057 0.439	-				
	B5: Importance of donations	Correlation p-value N	0.009 0.897 189	0.236** 0.001	0.024 0.741	0.499** 0.000	-			
Outcomes of Effective CCE	D1: Intended consequences of an effective CCE framework	Correlation p-value N	-0.037 0.612 187	0.279** 0.000	.221** 0.002	0.167* 0.022	0.090 0.221	-		
	D2: Unintended Positive consequences of an effective CCE framework	Correlation p-value N	0.013 0.865 186	0.362** 0.000	.199** 0.007	0.208** 0.004	.295** .000	.376** 0.000	-	
	D3: Unintended Negative consequences of an effective CCE framework	Correlation p-value N	0.020 0.791 186	0.298** 0.000	.212** 0.004	0.202** 0.006	.280** .000	.481** 0.000	.780** 0.000	-
			**. Correlation is significant at the 0.01 level (2-tailed).							
			*. Correlation is significant at the 0.05 level (2-tailed).							

The traditional elements of CCE (B2) have a strong correlation with all of the implementation strategy of CCE. For instance, there is a significant correlation between the traditional elements of CCE (B2) and non-partnership arrangements with a p-value of 0.000, and donations as an implementation strategy (B5) with a p-value of 0.001. The strength of this relationship derives from the correlation amongst the implementation strategy variables, such the significant correlation between donations (B5) and non-partnership arrangements (B4) with a p-value of 0.000.

The strength of the framework is judged on whether intended outcomes are achieved, which is evident in the strong correlation between the intended consequences of CCE (D1) and the traditional elements of CCE (B2) with a p-value of 0.000, CCE partnership arrangements used (B3) with a p-value of 0.002, and non-partnership arrangements of CCE (B4) with a p-value of 0.022. Improved stakeholder relations, reduced conflicts, increased sustainable socio-economic development, and improved social and environmental benefits are some of the expected outcomes of a successful CCE framework.

Consequently, there is a significant correlation between the unintended but positive consequences of CCE (D2) and the traditional elements of CCE (B2) with a p-value of 0.000, and the CCE partnership arrangements used (B3) with a p-value of 0.007, the non-partnership arrangements of CCE (B4) with a p-value of 0.004, donations as an implementation strategy (B5) with a p-value of 0.000, and the intended consequences of CCE (D1) with a p-value of 0.000. A good sign that CCE has been successful is when other businesses begin to set up in the community leading to economic growth of the community, increased government support through building of more hospitals and schools, increase in general social wellbeing, and increased skills development by community members as they try to meet company requirements such as employment, suppliers.

Conversely, there is a significant correlation between the unintended and negative consequences of CCE (D3) and the traditional elements of CCE (B2) with a p-value of 0.000, CCE partnership arrangements used (B3) with a p-value of 0.004, and the non-partnership arrangements of CCE (B4) with a p-value of 0.006. Strain on resources as a result of population influx into the area, growth of informal settlements around the area, increase in social ills such as crime, prostitution, and environmental impacts are some of the unintended and negative consequences resulting from a successful CCE.

There is a significant correlation between the unintended and negative consequences of CCE (D3) and donations as an implementation strategy (B5) with a p-value of 0.000. This makes sense considering that many people will flock to an area if they hear that they will receive donations from the companies. This is however not the intended consequence of CCE.

There is a significant correlation between the unintended and negative consequences of CCE (D3) and the intended consequences of CCE (D1) with a p-value of 0.000. Whenever CCE is successful, negative externalities will always develop. This calls for the need to have a CCE

framework that is iterative and responds to changes in the other variables such as context, group dynamics and implementing methods. In the same explanation, a significant correlation between the unintended and negative consequences of CCE (D3) and the unintended but positive consequences of CCE (D2) exists with a p-value of 0.000.

5.10.3 Relationships between the role played by local communities and outcomes of effective CCE strategies

Table 5.47 shows relationships between the role played by local communities and outcomes of effective CCE strategies.

Table 5.47: Correlation between roles played by local communities and outcomes of effective CCE strategies

Pearson Correlations			Role played by local communities					Outcomes of Effective CCE strategies		
			C1	C2	C3a	C3b	C5	D1	D2	D3
Role played by local communities	C1: Important roles of the community	Correlation p-value N								
	C2: Broad local community needs	Correlation p-value N	0.319** 0.000 189							
	C3a: Key community barriers	Correlation p-value N	0.295** 0.000 188	0.204** .005 188						
	C3b: Key Relational barriers	Correlation p-value N	0.295** 0.000 188	0.231** 0.001 188	0.757** .000 188					
	C5: Conflict resolution	Correlation p-value N	0.289** 0.000 187	0.103 0.160 187	0.460** 0.000 187	0.434** .000 187				
Outcomes of effective CCE strategies	D1: Intended consequences of an effective CCE framework	Correlation p-value N	0.248** 0.001 187	0.180* 0.014 187	0.288** 0.000 187	0.204** 0.005 187	0.428** 0.000 187			
	D2: Unintended Positive consequences of an effective CCE framework	Correlation p-value N	0.205** 0.005 186	0.380** 0.000 186	0.405** 0.000 186	0.410** 0.000 186	0.477** 0.000 186	0.376** 0.000 186		
		Correlation	0.179* 0.329**	0.375** 0.413**	0.448**	0.481** 0.780**				

D3: Unintended Negative consequences of an effective CCE framework	p-value	0.015	0.000	0.000	0.000	0.000	0.000	0.000
	N	186	186	186	186	186	186	186
<p>** . Correlation is significant at the 0.01 level (2-tailed).</p> <p>* . Correlation is significant at the 0.05 level (2-tailed).</p>								

There is a significant correlation between the role played by communities in the engagement process (C1) and community needs (C2) with a p-value of 0.000. If communities can be involved in identifying and prioritising their needs, identifying the barriers to engagement, identifying who to represent them in the engagement processes, and establishing peaceful conflict resolution mechanisms, there are high chances that their expectations will be attained in the form of economic, social and cultural, technological, and environmental needs.

Results indicate a significant correlation between the contextual barriers to engagement for local communities (C3a) and the role of communities in the engagement process (C1) with a p-value of 0.000, and the broad critical local community needs (C2) with a p-value of 0.005. There is also a significant correlation between the relational barriers to engagement for local communities (C3b) and the role of communities in the engagement process (C1) with a p-value of 0.000, the broad critical local community needs (C2) with a p-value of 0.001, and the contextual barriers to engagement for local communities (C3a) with a p-value of 0.000. This also shows the wide range of issues that can cause CCE to fail.

The strong correlation between the key conflict resolution considerations for local communities (C5) and the role of communities in the engagement process (C1) with a p-value of 0.000 is a reflection of the importance of ensuring that the community has deliberative preventative measures to reduce the likelihood of company-community conflict. The community should have a dedicated process for handling complaints and grievances. All elements of the dispute resolution process should be formally documented, including criteria for admissibility, timelines for resolution, investigation processes, joint company and community fact-finding, protocols for communicating with complainant(s), close-out and follow-up procedures. The process should reflect local preferences for dispute resolution, that is, all community members are consulted about its design. All groups within the community should be aware of the process and are able to access it. The process must have local community leadership support. All community leadership levels should be aware of the process and actively involved in using it. The community should ensure that there is a process for seeking to understand contributing factors to serious complaints or grievances. The community should involve the company in

finding collaborative solutions. If the community is unable to resolve issues, there should be other trusted mechanisms or processes that disputing parties can turn to, which the community makes known to all. There is a significant correlation between key conflict resolution considerations (C5) and the contextual barriers (C3a) and relational barriers to engagement both with p-values of 0.000. Both factors affect the attainment of CCE outcomes similarly.

There is significant correlation between intended consequences of CCE (D1) and the role played by communities in the engagement process (C1) with a p-value of 0.001, broad critical local community needs (C2) with a p-value of 0.014, contextual barriers to engagement (C3a) with a p-value of 0.000, relational barriers to (C3b) with a p-value of 0.005, and the key conflict resolution considerations for local communities (C5) with a p-value of 0.000. There is also significant correlation between the unintended but positive consequences of CCE (D2) and the role of communities in the engagement process (C1) with a p-value of 0.005, broad critical local community needs (C2) with a p-value of 0.000, the contextual barriers to engagement (C3a) with a p-value of 0.000, relational barriers to engagement for local communities (C3b) with a p-value of 0.000, and the key conflict resolution considerations for local communities (C5) with a p-value of 0.000.

There is a significant correlation between the unintended and negative consequences of CCE (D3) and the role of communities in the engagement process (C1) with a p-value of 0.015, broad critical local community needs (C2) with a p-value of 0.000, contextual barriers to engagement for local communities (C3a) with a p-value of 0.000, barriers to engagement for local communities (C3b) with a p-value of 0.000; and the key conflict resolution considerations for local communities (C5) with a p-value of 0.000.

5.11 A REFLECTION ON THE MAIN FINDINGS FOR QUALITATIVE AND QUANTITATIVE RESULTS FOR EACH RESEARCH OBJECTIVE

A side-by-side analysis of the qualitative and quantitative results was done and the following observations were made.

Table 5.48: Reflection on the main findings for qualitative and quantitative results for each research objective

Research objectives	Qualitative findings	Quantitative findings	Assessment
<p>1. The meaning of CCE by stakeholders</p>	<p>Companies understood CCE as:</p> <ul style="list-style-type: none"> • Social license to operate (section 3.3.6) • Wealth redistribution (sections 3.3.6.1; 5.2.1.1; 5.2.1.6) • Reinforcement elements (3.3.5): <ul style="list-style-type: none"> ○ Strategic (section 3.3.5.1) ○ Alignment (section 3.3.5.2) ○ Integration (section 3.3.5.3) ○ Innovation (section 3.3.5.4) ○ Multi-stakeholder practices (section 3.3.5.5) ○ Sustainability (section 3.3.5.6) ○ Results measurement (section 3.3.5.7) ○ Process (section 3.3.5.8) ○ Communication with all stakeholders and at all stages (section 3.3.5.9) • Responsibility sharing (section 3.3.4.2) • Relationship management (section 3.2; 3.3) 	<p>Communities understood CCE as:</p> <ul style="list-style-type: none"> • Responsibility sharing in decision making (section 3.3.4.2) • Frequency and nature (consultative) of communication between community and company • Trust between community & company • Learning new skills and greater awareness of other stakeholders' needs (for both firm and community) • Control of Processes • Control of benefits and impacts • Creation of local networks of community members • Setting grievance and resolution mechanisms 	<ul style="list-style-type: none"> • Overall, both parties understood CCE to be about managing relations by assisting communities • Therefore, the meaning of CCE from companies' perspective is that of principal stakeholder or giver, whereas communities understood CCE from a secondary stakeholder or receiver perspective. • The focus with companies is on how best to give out assistance to communities; whilst with communities it is on how best to benefit from the companies based on some sense of entitlement without legal or contractual basis.

Research objectives	Qualitative findings	Quantitative findings	Assessment
2. Motivation for undertaking CCE	<p>Motives for companies to do CCE include:</p> <ul style="list-style-type: none"> • Compliance with CCE expectations • Obtaining a Social license to operate • Building reputation • Building trust with local communities • Wealth redistribution (sections 3.3.6.1; 5.2.1.1; 5.2.1.6) • Stakeholder relationship management • Achieving economic, social, and environmental benefits 	<p>The following emerged as leading motives why communities would want companies to engage them:</p> <ul style="list-style-type: none"> • Economic needs • Social and cultural needs • Technological needs • Environmental needs 	<ul style="list-style-type: none"> • The relationship is symbiotic. On the one hand, companies expect to be granted a Social License to Operate. In return, communities expect economic, social, and environmental benefits.
3. Compliance with CCE requirements	<p>Interviewees felt that companies did not:</p> <ul style="list-style-type: none"> • have clear strategic CSR plans; • align CSR plans with development priorities of local communities and government; • integrate CSR plans with the company's business plans, • fully incorporate Responsibility sharing; • have sustainability plans: • measure return on investment on CSR activities • promote CSR-driven innovations; 	<p>The majority of the participants indicated that companies did not:</p> <ul style="list-style-type: none"> • facilitate Responsibility sharing • communicate with communities • consult with communities • build trust with communities • engage the community in matters relating to the control of processes, control of benefits and impacts; as well as in creating networks of community members. • set up grievance and resolutions mechanisms 	<p>It can be concluded that extractive companies were not fully compliant with CCE requirements</p>

Research objectives	Qualitative findings	Quantitative findings	Assessment
	<ul style="list-style-type: none"> • have iterative and transformational CSR; • communicate effectively with all relevant stakeholders; • establish local community networks; • live by the triple-bottom-line principles; • However, 94% felt that the company had grievance resolution mechanisms 		
4. Implementation strategy	<ul style="list-style-type: none"> • Company employees felt that even though context, group dynamics and implementation strategy were important, companies were not considering them. • Implementation had to be strategic, aligned, and integrated • Companies had project budgets in place, including financial, human and materials. • Capacity assessment was important in determining whether to partner or not, or even donate • Companies were not able to transform knowledge into action. 	<p>Community members viewed the following implementation strategy to be important:</p> <ul style="list-style-type: none"> • Partnership arrangements • Non-partnership arrangements • Donations were welcome 	Companies were not adopting appropriate implementation strategy

Research objectives	Qualitative findings	Quantitative findings	Assessment
5. Implementation strategy	<ul style="list-style-type: none"> • The theme that came out strongly was that companies needed to know the population and demographic composition of the affected communities. • Social networks such as churches were important for communication planning purposes. • Knowledge of the community's social and economic history was important • Appreciation of the local culture and collective character of the community. • Understanding of how the community dealt with conflict. 	<ul style="list-style-type: none"> • Identifying and prioritising the community needs was very important; • Identifying the barriers to engagement; • Identifying who to represent the community in engagement • Establishing peaceful conflict resolution mechanisms 	It is imperative for companies to allow communities to lead in the development of community projects
6. Outcomes of CCE framework	<ul style="list-style-type: none"> • To obtain a social license to operate (SLO) • Reputation building • Wealth redistribution • Trust building between community and company • Improved stakeholder relations • Reduced conflicts • Economic, social, and benefits 	<ul style="list-style-type: none"> • improved stakeholder relations • reduced conflicts • increased sustainable socio economic development • improved social and environmental benefits 	The success of the proposed CCE framework can be reflected by improved stakeholder relations

Source: own

5.11.1 Data analysis for supporting findings

Qualitative results of the study supported quantitative results in many instances, including that: The qualitative and quantitative demographic results were both skewed towards male domination – 100% of the qualitative participants were male and 76% of the survey respondents were also male; a residue of both African tradition and the apartheid system. Both interview and survey respondents understood CCE to be about wealth redistribution, obtaining a Social License to Operate, and maintaining relations in the sector. Both interview and survey results agree that the key motives for CCE are complying with government regulations, obtaining a SLO, maintaining a good reputation, wealth redistribution, and managing relations. Both interview and survey results indicate that companies were not compliant with government regulations and were failing to obtain a Social License to Operate. Both interview and survey results suggest that companies had little appreciation of how to implement successful community engagement projects. Both interview and survey results agree that local communities have an important role to play in the engagement process. However, companies were not inclusive enough. Both sets of results agreed that improved stakeholder relations was the ultimate outcome of community engagement activities which could only be attained by meeting the triple bottom line targets (economy, society, and environment).

5.11.2 Data analysis for non-supporting findings

Most interview participants (94%) believed that their companies had adequate grievance resolution mechanisms in place. However, quantitative survey results refuted that claim with 96% stating that no grievance and resolution mechanisms were evident amongst the companies operating in their areas as witnessed by the numerous cases of conflict. All interview participants believed that they realised the triple bottom line targets. This again is a claim refuted by survey results with 97% saying there was no control of benefits and impacts, and 96% saying there was no learning of new skills and greater awareness of other stakeholders' needs.

5.12 CHAPTER SUMMARY

Chapter 5 has dealt with statistical issues of the study. Because of the mixed methods nature of the research, both qualitative and quantitative results were presented and discussed.

CHAPTER 6

DISCUSSION OF RESULTS

6.1 INTRODUCTION

Chapter 6 provides an in-depth analysis of how the research objectives, literature review, theoretical framework, methodology and findings are all integrated to reveal gaps that necessitated the development of the proposed CCE framework. The chapter reviews the variables that were instrumental in coming up with the proposed CCE model, namely context, group dynamics, implementation strategy and outcomes. Done well, CCE has the potential to establish mutually beneficial relationships between a company and its host communities, and can further lead to other unintended but positive outcomes, such as contributing towards long-term improvements in terms of the triple-bottom-line. Indeed, context, group dynamics and implementation strategy are inextricably linked.

Several theories have been developed to help understand and explain stakeholder relationships. This study adopted corporate social responsibility as the overarching theory guiding development of the proposed CCE framework. Four sub-theories within CSR were reviewed, namely the CSR pyramid and corporate social performance theory by Carroll (1979, 1991), the revised corporate social performance theory by Wood (1991), the Triple Bottom Line theory by Elkington (1994) and the stakeholder theory by Freeman (1984). The different theories were instrumental in helping to identify the key stakeholders for this study, their expectations, points of divergence that often leads to conflict, and the gaps in literature pertaining to how the relations can be mended.

The main objective of this study was to develop a CCE framework that will enhance stakeholder relations in the extractive sector in the Western Cape Province of South Africa. The discussion on stakeholder theory helped reveal the need to create a strategic approach that encourages companies to think resourcefully and cross-functionally about how to effectively engage their host communities. This meant tapping into the full spectrum of what the extractive sector has to offer in order to generate value for both businesses and host communities. The ensuing paragraphs start by presenting the research objectives and findings, the contribution of each finding towards addressing that specific research objective, and then stating what the main findings were. The following sub-objectives were addressed:

6.1.1 Research objective 1: CCE perspective of stakeholders

Objective 1 of the study sought to determine CCE from the perspective of both extractive companies and host communities within the extractive sector.

In fulfilment of the mixed methods approach adopted for this study, qualitative and quantitative data were collected. In gathering qualitative data, sixteen company employees were interviewed and each was asked what they thought CCE to be. The responses given by the interview participants to research question 1 provided an overview of the context and the understanding of CCE by company employees, hence the rationale for adopting certain community engagement practices. The words or phrases that featured prominently from the responses given by interview participants were a reflection of what companies understood CCE to be. From the qualitative results of the 16 participants emerged 13 themes (section 4.8.1.1.1; Tables 5.1 to 5.4), namely:

- i. Social license to operate (sections 3.3.1.2; 3.3.2.1; 3.3.6)

Social license to operate (SLO) emerged as one of the key themes describing the understanding of CCE from the perspective of interview participants with a weighted frequency 14.1% of the aggregate score. The SLO is a reflection of the acceptance levels of companies by local communities and other stakeholders (Parsons, Lacey & Moffat, 2014; Hall, 2016). The concept is based on the idea that companies need both government and society's permission to operate (De Leaniz & Gómez-López, 2017). At the individual level, the notion of a SLO is driven more by the perceptions that local communities and other stakeholders hold about the project (Prno, 2013). It is a benefit to the company. According to Makinodan et al. (2012), a social license is obtained on a site basis. Hence, a company may not use a SLO obtained in one project area to conduct its business in another. From this background, this study argues that once a SLO has been granted to the company, CCE outcomes which are informed by the triple-bottom-line targets (economy, society, and environment), will be realised by both companies and communities. This probably explains why extractive company employees interviewed perceived CCE as referring to SLO. These findings are not only consistent with evidence discussed in literature review about the SLO (sections 3.3.1.2; 3.3.2.1; 3.3.6), but also justify the underlying main objective for this study.

ii. Wealth redistribution (sections 3.3.6.1; 5.2.1.1; 5.2.1.6)

From the qualitative results, wealth redistribution was rated relatively higher than other CCE activities with a weighted frequency of 20.7% of the total score. It is however not surprising, considering the fact that, in terms of racial representation, the majority of the survey participants from these impoverished local communities were drawn from the African (64.4%) and Coloureds (35.5%) racial groups. Quantitative results also supported the qualitative results by showing that almost half of the participants were unemployed at 45%, with only 15.7% permanently employed. The results confirmed the Quarterly Labour Force Survey released by Pali Lehohla, Statistician-General of Statistics South Africa which states that “South Africa’s unemployment rate for the first quarter of 2017 stood at 27.7% - the highest figure in fourteen years since September 2003”. Many scholars agree that to manage stakeholder relations, the extractive sector in South Africa requires transformation from its brutal colonial and apartheid history, resulting in massive wealth disparities (Capps, 2012; Davies, 2012; James & Rajak, 2014), which bled into tragedies such as Marikana. It therefore explains why interview participants would feel that there are considerable expectations on CCE to redress the apartheid imbalances by contributing to their economic empowerment or wealth redistribution.

iii. Strategy (section 3.3.5.1),

A strategy implies that something has been “planned, preconceived, or deliberate on” (Grant, 2016). In this regard, CCE strategy should be viewed as a series of plans intended to achieve a desired outcome (Rangan, Chase & Karim, 2012; Arjaliès & Mundy, 2013). From the qualitative results, strategy was rated the fifth most frequently used phrase with a weighted frequency 9.1% of the aggregate score. In addressing local community priorities, companies require sound strategy which takes account of the community context. For instance, the quantitative results showed that at least 59% of the survey participants had completed matric or an equivalent qualification, whereas 34.6% did not complete high school at all. Only 6.3% completed a technical college qualification. It can be inferred that more people failed to attain technical college qualifications due to the high costs of education in the country, and the fees must fall protests that rocked SA in 2016 are testimony to that. In this respect, lack of extractive sector relevant job skills can be attributed to the high unemployment rates affecting local communities. In dealing with a community challenge such as this one, it is imperative for companies to have a functional CCE department that is in charge of the community engagement strategy. These findings are consistent with those of Asif *et al.* (2013) who suggested that

strategy must be incorporated in the business core values, objectives and competencies to achieve benefits for both company and community. It therefore explains why interview participants understood CCE to mean strategy.

iv. Alignment (section 3.3.5.2)

From the qualitative results, alignment was rated a weighted frequency of 11.1%. Scholars such as Asif *et al.* (2013), Epstein and Buhovac (2014), and Grant (2016), supported the notion by postulating that the engagement plans of a company must align “with the development priorities of local communities and government to create a shared sense of value”. Franks (2012), Crane, Matten and Spence (2013), Davis and Franks (2014), and Deresky (2017) concurred by stating that companies must coordinate engagement plans with the company’s other policies and activities that may have an impact on the communities, such as local hiring, procurement and impact management. The National Planning Commission (2013) also stated that CCE must be aligned according to national, provincial and local community needs. It therefore shows why interview participants understood CCE to mean alignment.

v. Integration (section 3.3.5.3)

From the qualitative results, integration had a weighted frequency of 4.54%. These results are supported by supported by Baumgartner (2014) and Goetsch and Davis (2014), who posited that CCE plans must be integrated with the vision, mission, values, corporate objectives, key business strategies and business plans. This study argues that integrated CCE should anticipate the possible impacts of decisions taken and transform this awareness to better decision-making processes. It therefore explains why interview participants understood integration to be a vital component to CCE.

vi. Innovation (section 3.3.5.4)

Qualitative results show innovation as having a weighted frequency of 5%. This supports Fischer and Sawczyn (2013) empirical findings which demonstrated that community engagement and innovation were positively correlated. Innovation may take different forms and should be tailored to adapt to the ever-changing contexts. According to Rothwell (2015), innovation calls for “technology, talent identification, institutional reforms and competency development”. In addition, a study by Damanpour and Aravind (2012) described CCE

innovation as “that process where new ideas are established and implemented”. This study supports that notion by arguing that being equipped with the right knowledge, training, and experience enhances the cognitive skills of key decision makers. It therefore follows that interview participants would perceive CCE to mean innovation.

vii. Multi-stakeholder practices (section 3.3.5.5)

Qualitative results rated multi-stakeholder practices to have a weighted frequency of 10%. In a similar study, Dodman and Mitlin (2013) supported the notion by stating that multi-stakeholder practices should support community participation, planning and decision-making. This study also affirmed this view by suggesting that CCE must ensure that the company does not become the sole problem solver of community problems. Doing this will dilute company control by involving other stakeholders (Gyrd-Jones & Kornum, 2013; Gereffi & Lee, 2016). Dentoni and Bitzer (2015) further supported the idea further by arguing that extractive companies must institute multi-stakeholder CCE mechanisms that converge various stakeholders through formal and informal decision-making. It therefore makes sense that interview participants perceived CCE as involving multi-stakeholder practices.

viii. Sustainability (section 3.3.5.6)

Qualitative results show sustainability as having a weighted frequency of 2%. This supports Confucius (undated)’s philosophy that, "Give a man a fish, and you will feed him for a day. Teach a man to fish, and you've fed him for a lifetime". Results from a related study by Malik (2014) suggest that CCE activities should encourage self-sufficiency in order to realise permanent benefits that can outlive company sustenance. According to Nuer (2015), the company should commence CCE activities with a viable exit or handover strategy in place. This way, the company is forced to plan for what will happen to the CCE project long after it has left. Plummer (2013) proposes that the company should invest heavily in inclusive processes that allow local communities and other stakeholders to take greater roles in the engagement process. This also study underscores the need for CCE activities to reinforce indigenous processes rather than replace them. It therefore explains why interview participants perceived CCE to mean sustainability.

ix. Results measurement and communication (section 3.3.5.7)

Qualitative results indicated a 6% weighted frequency for results measurement and communication. These findings are consistent with those of Epstein and Buhovac (2014) who stated that companies must measure return on community investment. This is a notion that was also supported by results in a study by Rahman and Post (2012) who stated that CCE activities should “use outcome and impact indicators to measure the quantity and quality of change”. In the same vein, a study by Seele (2016) found that CCE activities must be able to track variations in community perceptions about CCE in order to obtain current and relevant feedback on performance. Results from a study by Phillips and Phillips (2016) listed the following as measures that could help companies improve the success of their CCE reporting so as to create more impact: (i) identify key indicators for measuring outcomes; (ii) Learn from others who have succeeded in finding indicators and improving the impact of their programs; (iii) Listen to your stakeholders and establish their needs and expectations; (iv) use both qualitative (subjective) and quantitative (objective) values to report on outcomes; (v) continuously improve and evolve your measurement. It therefore adds up that interview participants would perceive results measurement and communication as an indication of good CCE.

x. Process (section 3.3.5.8)

Qualitative results indicated a 6% weighted frequency for CCE as a process. A study by Wickson and Carew (2014) supported these findings by stating that CCE must be viewed as a process that evolves with the project life cycle to accommodate current demands. In this regard, CCE is said to be transformational, involving “learning over time and the ability to understand the specific context and confluence of stakeholder expectations” (Martinuzzi & Krumay, 2013), hence a process. This means focusing on consistently monitoring and tracking program activities to see what is working and what is not in the short to long-term. The process nature of CCE should then include a series of feedback loops outside of formal evaluations; thereby allowing companies to recognise and mitigate issues and challenges timeously. It therefore makes sense that interview participants would perceive the concept of a ‘process’ to refer to CCE.

xi. Communication with all concerned stakeholders at all levels (section 3.3.5.9)

The qualitative results of this study indicated a weighted frequency of 7% for ‘communication with all concerned stakeholders at all levels’. A study by Amaladoss and Manohar (2013) confirmed these results by claiming that the quality of CCE hinged on the nature and frequency

of communication. The quantitative results also supported the qualitative results with 87.4% of the survey participants indicating that frequency of communication between community and extractive company was important. A further 84.3% of the survey respondents felt that the nature of communication (consultative, two-way communication seeking the opinion/input of other stakeholders) rather than one directional (characterised by the domination of one stakeholder in the communication) was also very important. These findings were supported by Austin and Pinkleton (2015)'s findings who stated that it was imperative to track and share program outcomes with everyone so as to be able to build "program recognition, loyalty, and momentum". It therefore makes sense that interview participants would view 'communication with all concerned stakeholders at all levels' as a key descriptor of CCE.

xii. Responsibility sharing (section 3.3.4.2)

From the qualitative results, 'responsibility sharing' got a weighted frequency of 1%. Results from a similar study by Ducharme et al. (2013) supported the findings by stating that it was crucial for project roles and responsibilities to be defined at the onset of a project to avoid confusion later on. The quantitative survey results also supported the qualitative results by showing that 87.4% of the participants stated that 'responsibility sharing' was integral to the success of community projects. This study argues that community engagement projects must clearly define management structures that specify roles and responsibilities and indicate accountability for carrying out and supervising project activities in order to achieve objectives and results. The study further suggests that project resources must be clearly assigned by allocating adequate budgets to specific project activities. Given that background, it therefore makes sense that interview participants would perceive 'responsibility sharing' to be a reflection of CCE.

xiii. Relationship management (sections 3.2; 3.3).

From the qualitative results, 'relationship management' got a weighted frequency of 1%. These results are consistent with those of Carroll and Buchholtz (2014) and Schnackenberg and Tomlinson (2016) who described 'relationship management' as attempts made to manage the state of affairs amongst stakeholders. It therefore makes sense that interview participants would perceive 'relationship management' to reflect CCE.

On the other hand however, Table 5.29 presented results of the questionnaire items that sought to establish the value of importance placed by survey participants on the traditional elements of CCE. These elements were taken to mean the understanding of CCE from the perspective of local communities. These quantitative results showed that local communities understood CCE to mean:

xiv. Building trust between community and company (section 3.3.4.3)

Survey results showed that at least 86.4% of the survey respondents indicated that building trust between community and company was important to the success of CCE. The same respondents further stated that they did not trust extractive companies, citing the following reasons: (i) at least 87.4% of the participants believed that there was no frequent communication with other stakeholders, (ii) another 87.4% of the participants felt that local communities were not involved in the control of CCE processes, (iii) most of the participants (86.4%) also felt that they had no control over the benefits of the CCE projects, (iv) at least (85.9%) of the respondents felt that companies' were not seriously involved in the creation of local networks of community members, (v) about 85.3% did not see evidence of company efforts in setting grievance and resolution mechanisms, and that (vi) there was no awareness of community problems and priorities by companies as indicated by 84.8% of the participants. This has been exacerbated by the long standing view that extractive companies are not willing to take responsibility for the imbalances brought about by the apartheid era. As part of developing the Community-Based Participatory Research concept, Tobias, Richmond, and Luginaah (2013) suggested that there were two levels of trust. The first level of trust is between the business and community, and the following recommendations were proffered: (i) recognise individual and institutional histories, (ii) appreciate the historical context of the community, (iii) be present in the community, consult and listen to community priorities, (iv) appreciate the expert contributions of all stakeholders, and (v) state in advance the expectations and targets. The authors provided the following recommendations for the second level of building and maintaining trust: (i) not to assume that people know what implementation approach has been adopted, (ii) ensuring that new people to the project are aware of the first-level recommendations, and (iii) matching plans with actions. Lucero et al. (2013) supported the notion by stating that the second level of trust may include adding other people to work closely with the project (e.g., employees responsible for CCE activities in their companies or

community members) or who will be associated with it more distally (e.g., traditional leaders from the community).

v. Control of CCE processes

Another 87.4% of the participants felt that local communities were not involved in the control of CCE processes. Most of the participants (86.4%) felt that they had no control over the benefits of the CCE projects. In section 3.3.5.8 of this study, it was highlighted that companies should ensure that CCE activities evolve with the project life cycle and that different approaches are used at different stages of the project cycle to meet current demands. According to Wickson and Carew (2014), CCE must be an “iterative process involving monitoring, research, evaluation, learning and innovation to reduce risks”. In this regard, CCE is said to be transformational, involving “learning over time and the ability to understand the specific context and confluence of stakeholder expectations” (Martinuzzi & Krumay, 2013), hence organisational learning. This means focusing on consistently monitoring and tracking program activities to see what is working and what is not in the short to long-term. It is helpful also to include a series of feedback loops outside of formal evaluations, and these could include ongoing, general feedback for the program, as well as, avenues for feedback about specific initiatives (Barnett et al., 2012). This study argues that the process allows companies to recognise and mitigate issues and challenges timeously. Further, designing feedback loops allows companies to address challenges and reframe issues in real time, creating programs built on meaningful iterations. In addition, local community members, either collectively or through their chosen representatives or leadership must have an oversight role of knowing everything happening within the project.

Research objective 1 of this study sought to derive the meaning of CCE from the perspective of extractive companies and host communities. **In addressing research objective 1, the main finding was that, extractive companies and host communities understood CCE to be about: a social license to operate (sections 3.3.1.2; 3.3.2.1; 3.3.6), wealth redistribution (sections 3.3.6.1; 5.2.1.1; 5.2.1.6), strategy (section 3.3.5.1), alignment (section 3.3.5.2), integration (section 3.3.5.3), innovation (section 3.3.5.4), multi-stakeholder practices (section 3.3.5.5), sustainability (section 3.3.5.6), results measurement and communication (section 3.3.5.7), process (section 3.3.5.8), communication with all concerned stakeholders at all levels (section 3.3.5.9), responsibility sharing (section 3.3.4.2), relationship management (sections 3.2; 3.3), building trust between community and company (section**

3.3.4.3), control of CCE processes. It can be inferred from the results that extractive companies' seem to view CCE from the perspective of principal stakeholder or giver, whereas host communities understood CCE from a secondary stakeholder or receiver perspective. The focus with companies was on how best to give out assistance to communities. Conversely, it seems communities focus more on how much they can benefit from their relationship with extractive companies. The discussion on the understanding of CCE from the perspective of the different stakeholders was critical to the development of the *context variable* of the proposed CCE framework.

6.1.2 Research objective 2: Motivation for CCE

Objective 2 of the study focused on finding the motives for undertaking CCE by extractive companies. This brought into consideration the question of “why companies still embark on CCE activities” even though these activities constitute expenditure items on their balance sheets. A number of key changes have helped shape the new discourse surrounding CCE discussions. First, government is retreating from corporatism and is less interested in directly providing for the needs of society (Tremewan, 2016). This is however, contrary to South Africa's case where government is being accused of interference, a case in point being the disapproval emanating about the recently launched Mining Charter in June 2017. Secondly, companies are increasingly being proactive in their relations with both the government and communities (Kaldor, 2013; Mowforth & Munt, 2015). Third, community engagement initiatives used by major extractive companies have increasingly focused on reputation building and having core values that emphasise the brand rather than the profit motive alone (Michelon, Boesso & Kumar, 2013; Tai & Chuang, 2014; Grant, 2016). Fourth, communities have increasingly become aware of their rights, more powerful and more vocal (Cohen, 2013; Savitz, 2013). And fifth, there is a growing pressure for businesses to adopt sustainable development practices (Tregidga, Kearins & Milne, 2013; Lankoski, 2016). Given this background, the relationship between government, business and communities has been evolving.

Motive addresses issues of context, as discussed in sections 3.3.2 and 5.2.1.1, by looking at reasons compelling extractive companies to participate in CCE under different and often difficult circumstances. The discussion on motive also accentuated the outcomes of CCE. Therefore, motive is an important element of context and outcomes, which are some of the key variables of the proposed CCE framework. In that regard, it can also be said that research

question 2 was an attempt at understanding both context and outcomes from a qualitative view. Using the content analysis procedures of Cohen's Kappa and Atlas.ti™ described in section 5.2.1.1 above, Table 5.5 showed a list of the Key Words in Context or categories of common phrases or themes that denote motives for undertaking CCE by extractive companies. Research findings showed the following to be the key motives for CCE:

i. Compliance with CCE expectations

From the qualitative results, 'compliance with CCE expectations' had the highest frequency at 25%. Compliance with CCE expectations (section 5.2.1.2/3) include complying with government regulations (e.g. the Mining Charter, BEE), environmental compliance (e.g. avoidance of water and air pollution, and acid mine drainage), international standards compliance (e.g. Open Government Partnership, Extractive Industries Transparency Initiative, section 2.3.3), and compliance with societal expectations (e.g. health and wellness issues). The costs of non-compliance were reported to be far reaching, such as the heavy fine of \$20.8 billion charged to British Petroleum for the 2010 Deepwater Horizon oil spill to cover damages caused by the disaster (Doukas & Whitley, 2015; Vickner, 2016). It therefore stands to reason why 'compliance with CCE expectations' is considered an important motive for CCE by interview participants.

ii. Achieving the triple bottom line targets

Arguably the most important reason for companies to involve themselves in CCE are the anticipated economic benefits from CCE. Achieving economic benefits for companies was considered to be an important motive for partaking in CCE activities and it received a frequency rating of 20% from the interview participants. According to Carroll (1979)'s CSR pyramid, the economic responsibility of the firm is to earn profits. The argument is that, when stakeholder relations are good, company productivity and profitability increases (Servaes & Tamayo, 2013; Malik, 2015; Flammer, 2015; Saeidi *et al.*, 2015; Bajic & Yurtoglu, 2016), which leads to development of host communities (Wallerstein *et al.*, 2014; Brew *et al.*, 2015; Mathende & Nhapi, 2017). Wealth redistribution received a frequency of 1% and specifically refers to benefits for local communities. Achieving social benefits also received a frequency of 3%, making it an important motive for CCE. Additionally, achieving environmental benefits got a frequency rating of 10%. Archibald (2016) posited that some of the motives for partaking in CCE were the operating benefits resulting from CCE such as the easy of entering new

markets, favourable government relations and regulations, and reduced incidents of lawsuits, and work stoppages. Work stoppages could result in financial losses to companies (Savit, 2013). In essence, companies were managing the bigger picture, that of minimising losses resulting from potential industrial actions.

iii. Building trust with local communities

Building trust with local communities received a frequency of 13%, which made it one of the key motives for carrying out CCE by companies. The issue of building trust was discussed in detailed when addressing research objective 1 above.

iv. Relationship management

Managing relationships with other stakeholders received a frequency of 11% making it an important motive for CCE. It was also adequately addressed in research objective 1 above.

v. Maintaining a good reputation

Maintaining a good reputation received a frequency of 11%, also making it a key motive for CCE. In section 2.3.3 of this study, it was revealed that good reputation impacts company community relations positively (section 2.2.2/3). For example, Newmont's negative reputation in Yanacocha meant that the Conga project would not be accepted by the community. However, the positive reputation it built in Barrick enabled it to be accepted and to last more than two decades in Cajamaraca (Hilson, 2012; Roper & Fill, 2012; Melo & Garrido-Morgado, 2012; Davis & Franks, 2014). Over the years, Newmont has become a signatory to a number of CCE initiatives, such as the International Council of Mining and Metals (2001), the UN Global Compact (2004), and the Voluntary Principles on Security and Human Rights (Ross, 2017, Lukaszewicz et al., 2017). Following the Marikana incident of 2012, the extractive sector has a way to go to rebuild trust among the South African communities that provide the labour force.

vi. Obtaining a social license to operate

Obtaining a social license to operate got a frequency rating of 7% from the interview participants, also making it an important motive for CCE. The SLO is a reflection of the acceptance levels of companies by local communities and other stakeholders (Parsons, Lacey & Moffat, 2014; Hall, 2016). This was supported by literature reviewed for countries such as

Peru, Australia, Ghana and the USA which revealed that some of the motives for conducting CCE were being to avert conflict, build reputation, and responding to community concerns (see chapter 2).

In addressing research objective 2, the main finding was that companies were primarily motivated by: being compliant with CCE expectations (section 5.2.1.2/3); achieving the triple bottom line targets (section 3.3.1); building trust between community and company (section 3.3.4.3); relationship management (sections 3.2; 3.3); maintaining good reputation (section 2.2.2/3); and obtaining a social license to operate (sections 3.3.1.2; 3.3.2.1; 3.3.6). Furthermore, the understanding of the motives for carrying out CCE activities by extractive companies was critical to the development of the *context and outcomes variables* of the proposed CCE framework.

6.1.3 Research objective 3: Extractive companies compliance with CCE expectations

Companies were not complying with many of the CCE expectations, for instance: at least 87% of the interview participants stated that their companies did not have strategic CCE plans that are in line with the core business objectives and competencies. This was expected because none of the interviewed participants lived in the local communities and were thus divorced from the realities of problems facing these communities. The companies were not communicating and consulting adequately with communities which meant they were not in a position to offer solutions for the communities. Groenewald (2017) supported the findings by stating that a lack of adequate strategic CCE plans would consequently affect the quality of CCE initiatives, leading to non-compliance with societal expectations, and further eroding relations with communities (McKay, 2017; Botha, 2017). About 87% felt companies did not align CCE plans of their companies with the development priorities of local communities and government; 81% felt that the company did not integrate CCE plans with the company's business plans, that is, vision, mission, values, and corporate objectives.

Of the interviewed participants, 100% felt that their companies did not incorporate responsibility sharing (section 3.3.4.2) fully into all processes of CCE projects. These results were confirmed by 96.9% of the survey respondents who indicated that companies were not sharing responsibilities when it came to CCE activities.

At least 75% felt that companies did not have sufficient sustainability plans to allow community projects to continue long after the company had left. This is expected as companies did not consult well enough to fully appreciate the community priorities. A further 100% stated that the company did not measure return on investment on CCE activities. This may be so because there are currently no models available to measure community perceptions in relation to financial performance, specifically for the extractive sector. Another 100% felt companies did not promote CCE-driven innovations. Fischer and Sawczyn (2013)'s empirical findings demonstrated that community engagement and innovation were positively correlated. This study argues that any innovations must be tailored to the specific needs of the South African extractive context.

However, 94% felt that the company had grievance resolution mechanisms in place to handle CCE related matters with local community members. This is a standard practice for all companies in the extractives sector and a requirement of the Health and Safety Board. Also, 100% felt that companies were making huge attempts at living by the triple bottom line principle, including economy (e.g. the financial disclosure requirements which were done through the publication and presentation of the company's audited financial results); society (e.g., health and wellness promotions), and environment (e.g., duty of care).

It also seems that companies were complying with government regulations (e.g. the Mining Charter, BEE) as indicated by 100% of the interview participants as well as complying with international standards (e.g. Open Government Partnership, Extractive Industries Transparency Initiative, section 2.3.3) as indicated by 65% of the participants. In section 2.3.3, being Extractive Sector Transparency Initiative compliant was said to impact company community relations positively (Prno & Slocombe, 2012; Hilson, 2012; Sovacool & Andrews, 2015). The EITI is a multi-stakeholder approach involving a tripartite relationship between states, civil organisations and companies aimed at increasing transparency and accountability in the extractive sector. Through EITI, companies are expected to publish annually what they pay to government (Moffat & Zhang, 2014), and like-wise government is also expected to publish what it received from extractive companies (Patterson, 2015). EITI compliance means that the country has an effective process for annual disclosure and reconciliation of all revenues from its extractive sector. This allows citizens to see how much their country receives from extractive sector companies. South Africa however was not EITI compliant at the time of conducting this study preferring instead the adoption of the Promotion of Access to Information

Act (PAIA) No 2 of 2000 at the local level, and the Open Government Partnership (OGP) at the global level, as effective and sufficient alternatives to the EITI (Comparé, 2013). The core difference between the EITI and the OGP centres on the fact that, unlike the EITI, the OGP is general in nature and not specific to the extractive sector. Dominant official discourses have attributed South Africa's absence from the EITI to existing transparency frameworks in the country. While that may be true, this study argues that being EITI compliant would enhance the reputation of extractive companies and thus impact on company community relations positively (Hilson, 2012; Sovacool & Andrews, 2015).

The quantitative results also supports the qualitative findings. The majority of survey participants believed that the companies did not engage the community in matters relating to the control of processes (75.9%), control of benefits and impacts (78.0%), and in creating networks of community members (77.0%). It also seems as if the companies did not set up grievance and resolutions mechanisms as claimed by 75.4% of the survey participants.

In addressing research objective 3, the main finding is that companies were not complying with CCE expectations (section 5.2.1.2; 5.2.1.3) including complying with government regulations (e.g. the Mining Charter, BEE), environmental compliance (e.g. avoidance of water and air pollution, and acid mine drainage), international compliance (e.g. Open Government Partnership, Extractive Industries Transparency Initiative, section 2.3.3), and compliance with societal expectations (e.g. health and wellness issues). Furthermore, an understanding of extractive companies' compliance with CCE expectations was critical to the development of the *context variable* of the proposed CCE framework.

6.1.4 Research objective 4: Implementation strategy

In section 3.3.3, implementation strategy was described as a strategic delivery method for the intended CCE plan which is guided by distinct procedures, such as the company's objectives, project time, budget, reinforcement elements (section 3.3.4), and the characteristics of the local operating context (section 3.3.1) and group dynamics (section 3.3.2). Qualitative findings from the study showed that, of the 16 company participants, 75% stated that their companies did not have implementing plans that considered the local operating context. Baumgartner (2014) described context as the circumstances that form the setting. In this study, context is assessed in terms of the triple bottom line principles (economy, society, and environment). The failure by companies to proffer context specific solutions is not surprising because those tasked to

come up with CCE solutions have little understanding of the challenges faced by the communities. None of the interviewed participants lived in the local communities. Also, none of the survey participants were employed by the companies under investigation.

Further, 81% of the participants stated that their CCE plans did not consider the granular details of group dynamics (age, employment status, education levels, etc.) to be important, citing lack of resources. It therefore follows that any interventions resulting from such plans will be inadequate in addressing community problems. About 87% stated that their companies' strategic plans (including the vision, mission and values statements), did however include company community engagement plans. It is one thing to say something and another to actually do it. However, 88% of the 16 participants felt that their companies had sufficient project timelines in the form of Gantt charts which clearly spelt out when the project would start and when it would end as well as how much time would be required. All the participants (100%) stated that their companies had project budgets including financial, human and materials.

On the other hand, quantitative findings showed that 95.3% of the participants believed that partnering with civic organisations was essential to the success of CCE projects. This is due to the reputation that civic organisations have in championing community development or representing disadvantaged groups. However 68.4% were of the opinion that partnering with government institutions would not lead to successful CCE. The reported cases of corruption in the public domain make communities suspicious of government behaviour. Communities also blame government for political interference and corruption, and for not consulting them about policies that affect their livelihoods (Scherer *et al.*, 2016; Joseph *et al.*, 2016). The Mining Charter of 2017 is a case in point. On the other hand, businesses are viewed as profit making entities and they are suspected of exploiting opportunities for a gain. Partnering with local businesses was deemed as not important by 68.8% of the participants. It seemed that due to the impoverished background of host communities, most of them still consider receiving donations from companies as an important activity of CCE. This is evidenced by the 84.1% who felt that giving out educational assistance to local schools was important, and the 86.8% who believed that giving out food assistance to the needy and old was also important also. The majority also viewed the provision of social services such as shelter to the needy (83.1%), health and medical assistance to the community (86.2%) and providing the community assistance with basic amenities (83.6%) as important.

In addressing research objective 4, the main finding was that, companies were using implementation strategies that did not consider the local operating context, group dynamics, multi-stakeholder approaches, and local community leadership; but however made use of strategic plans which they were failing to effectively put into action. Furthermore, an understanding of implementation strategies used by extractive companies in carrying out CCE activities was critical to the development of the *implementation strategy variable* of the proposed CCE framework.

6.1.5 Research objective 5: The role of local communities

From the qualitative results, all the interview participants (100%) felt it was important for local communities to understand and define their social context (section 3.3.2.2). By knowing the population and demographic composition of their host communities, the companies would be aware of sensitive populations such as children, women of childbearing years, single parent headed households, vulnerable members of the community such as orphans and the elderly, and thus address their needs appropriately. Asif *et al.* (2013) postulated that assessing social context was about ascertaining the community's capacity and readiness to carry out community engagement programs. This claim is supported by Carroll (1979)'s CSR Pyramid which viewed the other three responsibilities (legal, ethical, and discretionary) as being socially inclined responsibilities. The notion was also supported by Green and Haines (2015), who stated that both company and community should first ascertain what resources the community has at its disposal so that the company can know how much is required for CCE in terms of resources and skills. This study argues that to fully understand the social context, both the company and community should assess their respective capacities to carry out community activities. An assessment of community capacity therefore is about measuring the capabilities of host communities in terms of their human, material, physical, and financial resources to solve their own problems. This way, companies are better equipped to appropriately assist the communities to “develop, implement and sustain their own solutions to problems in a way that helps them shape and exercise control over their physical, social, economic and cultural environments” (Leigh & Blakely, 2016).

The qualitative results also showed that all the interview participants (100%) felt it was important for companies to have an appreciation of the group dynamics affecting the host communities (section 3.3.3), including (i) structural dynamics (diversity, complexity, formal agreements, power sharing, resources, time in partnership); (ii) individual dynamics (core

values, participation motivation, personal relationships, cultural identities, beliefs, spirituality); and (iii) relational dynamics (community voice, trust, dialogue, flexibility, leadership, power dynamics, local knowledge integration, group processes). This is an important ingredient in the community capacity building process, which entails investing in an appreciation of the traits and intricacies of the local community landscape and using the information to plan for CCE (Roseland, 2012). Marc (2012) supported this notion by stating that assessing the historical background of a community was essential in revealing the actions that created mistrust among the local members. This is particularly relevant to this study given the social imbalances that were brought about by apartheid. The study further argues that assessment of the social context is also vital as it shows which demographic groups are mostly affected. Any meaningful community capacity building exercise should include women, youths and vulnerable groups, especially in those areas where they are excluded from decision making processes by cultural practices and value systems.

Qualitative results also show that all the interview participants (100%) felt strongly about the need for communities to identify their own credible community leaders to participate in community projects. This was supported by the quantitative results in which 88.9% of the survey respondents felt communities needed to identify their own leaders. Community leaders have an important role to play, including representing their communities in the CCE projects, guidance, receiving and dissemination of information, as well as being accountable. Leaders must be able to identify resources at their disposal and how they can access them, and network to identify key players whom they can approach for developmental assistance. Leaders must also be able to anticipate risks as they push for development within their communities and know how to mitigate these risks.

From the quantitative findings, at least 89.4% of the survey respondents were of the view that communities needed to identify and prioritise their own community needs; as well as identifying potential barriers to engagement. This is another important factor in community capacity building.

Establishing peaceful conflict resolution mechanisms was also highlighted by 84.1% of the respondents as important. Table 38 showed that 100% of the survey respondents were of the view that if the community has preventative measures to reduce the likelihood of company community conflict, this would help greatly in reducing the incidents of conflict which are so prevalent in South Africa's extractive sector. Company community conflicts have led

stakeholders to seek international cooperation (Prno & Slocombe, 2012; Esteves, Franks & Vanclay, 2012; Brown, den Heyer & Black, 2014). An example is the establishment of the Political Economy Southern Africa (PESA) which is a SADC regional association that helps to build constructive relationships and high impact partnerships between government and private companies in matters of the economy, society, and the environment. This study supports the notion by suggesting that communities with dedicated processes for handling complaints and grievances, as well as documenting all elements of the dispute resolution process have high chances of CCE success.

In addressing research objective 5, the main finding is that it is important for local communities to: understand and define their social context (including population and demographic composition) (section 3.3.2.2); have an appreciation of the group dynamics affecting them (structural, individual, relational) (section 3.3.3); identify their own credible community leaders; identify and prioritise their own community needs; and to establish peaceful conflict resolution mechanisms. Furthermore, the understanding of the role played by local communities in community engagement activities was critical to the development of the *group dynamics variable* of the proposed CCE framework.

6.1.6 Research objective 6: The outcomes of CCE framework

For the qualitative results, a number of themes featured prominently when the 16 participants were asked what they thought were the key outcomes of CCE. Nine key themes were referenced a total of 285 times. At least 81% of the participants felt that the primary reason for embarking on CCE activities was to obtain a Social License to Operate (SLO). This theme was referenced 28 times and carried a relative weight of 9.8% from the 285 total references made. Related to this theme was reputation building which was referenced 17 times and carried a relative weight of 6%. About 56% of the participants felt that it was important that companies maintain a good reputation both to local communities and to the international world. Wealth redistribution was however referenced 7 times and carried a relative weight of 2.5%. At least 44% of the participants felt it was important. This was probably because the interviews were conducted with middle management employees who could not speak authoritatively about whether or not extractive companies were obliged to redistribute wealth given the benefits that most of them enjoyed during the apartheid era.

Another theme that was prominent was trust between community and company. This theme was referenced 33 times (11.6%) and all 100% of the participants felt that it was critical for communities to trust extractive companies if they were to achieve success with community projects. Improved stakeholder relations was referenced the highest number of times at 66 times and carried the highest relative weight of 23.2%. All 100% of the participants felt that this was the ultimate reason why companies embarked on community projects. With improved relations comes reduced conflicts, another theme that featured prominently at 41 references (14.4%) with 100% of the participants agreeing that it was important.

Other themes that were referenced as key outcomes of CCE were economic benefits, which was referenced 39 times (13.7%), social development for the community with 27 references (9.5%), and environmental benefits, also with 27 references (9.5%). At least 100% of the respondents agreed that these three themes were critical to the success of a CCE project. This research sought to find out the extent of the outcomes and by how much companies were achieving those outcomes. The researcher thus developed the template shown in Table 5.9 to check from the 16 participants how their companies accounted for CCE outcomes.

However, upon further probing, all 100% of the participants confirmed that their companies did not have systems in place to track or measure qualitative and quantitative changes in community perceptions as a result of CCE activities, and did not measure return on investment for both business performance and project performance. These are key parameters critical in ascertaining whether the CCE project has been successful or not. It is clear from the results that the companies were not properly equipped to measure the impact of CCE projects both qualitatively and quantitatively in the communities they were operating. The only measurements the companies had was how much they had spent on a project without necessarily ascertaining how much the individuals within the communities had benefited. For instance, reporting on the number of hospitals built, or number of people given food handouts, without following up on the number of deaths reduced as a result of the treatment received by community members, or how many people they had saved from starvation, did not help in showing the actual impact of a CCE project. It therefore seems that the companies did not bother to track changes brought about by CCE project, nor measure business performance against the project performance.

The development of the qualitative research instrument used in this study was influenced by the extensive literature reviewed (chapters 2 and 3) and the in-depth interviews conducted, therefore three broad outcomes of CCE, as informed by the triple bottom line targets, were sought: economic, social, and environmental. It was also established that each of the three broad CCE outcomes was either intended consequences; unintended but positive consequences, or unintended negative consequences. The respondents indicated that the intended consequences of an effective CCE framework were improved stakeholder relations (100%), reduced conflicts (100%), increased sustainable socio-economic development (100%) and improved social and environmental benefits (100%).

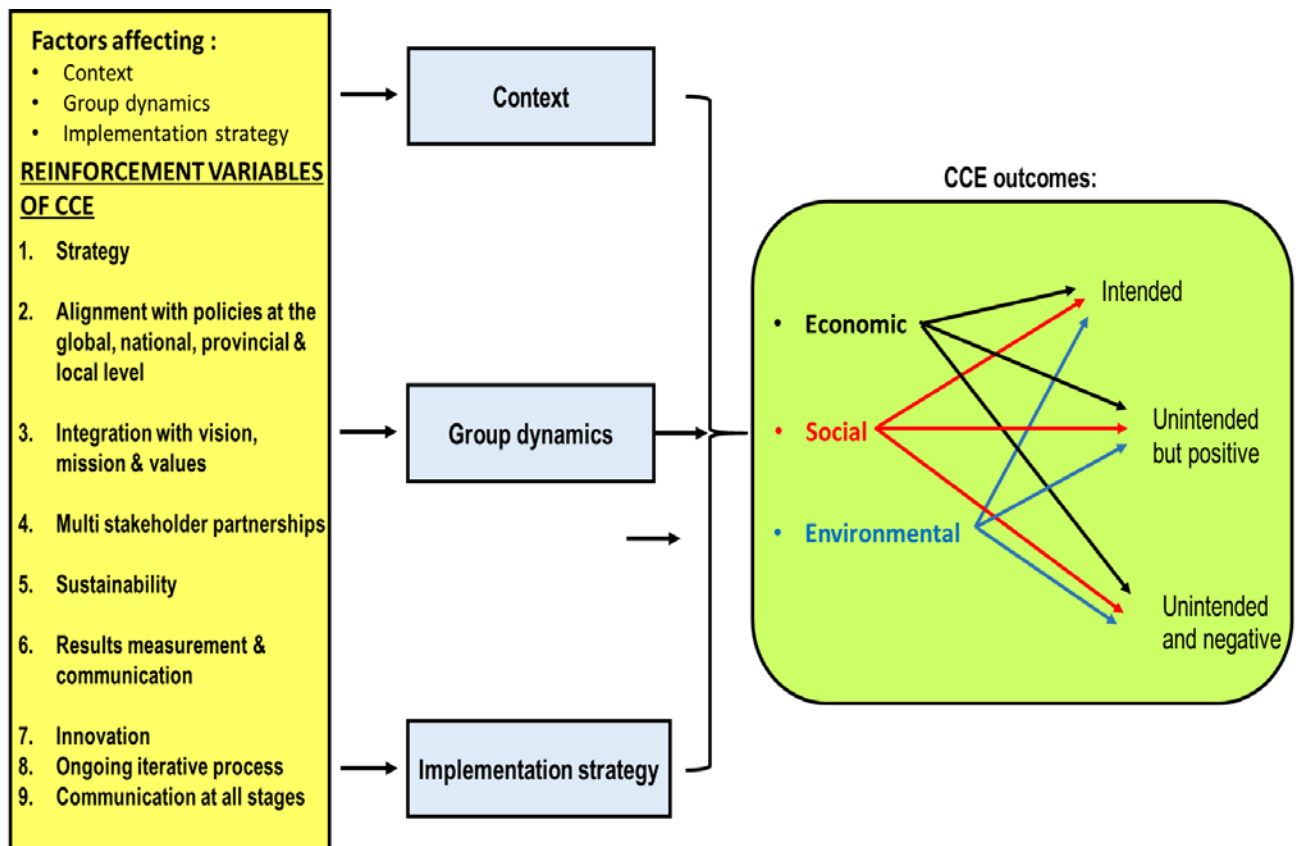
On the other hand, the majority of the respondents (100%) also felt that the unintended positive consequences of CCE included the coming into the local community of other businesses to set up and try and benefit from the positive spin-offs. Also, there is a likelihood of increased government support. Other positive spin offs include an increase in the general social wellbeing of residents as well as increased skills development by community members as they attempt to meet company recruitment policies. Finally, all 100% the participants indicated that the negative consequences of CCE include the strain on resources as a result of the population influx into the area, growth of informal settlements, as well as increase in social ills. Environmental impacts were also highlighted as having a negative effect to a very large or large extent by 100% of the participants.

Both qualitative and quantitative results agreed that improved stakeholder relations was the ultimate outcome of community engagement activities which could only be attained by meeting the triple bottom line targets (economy, society, and environment). These findings were also supported by Muntingh (2011)'s research, who identified community development, job creation, economic growth, preserve the environment against pollution as some of the common outcomes for community engagement initiatives. Muntingh (2011) however observed that many respondents recognised the negative impact mines had on the environment, but still felt that job creation and economic growth would take precedence over possible negative impacts if they were asked to choose. This can only be explained as a consequence of the poor economic background that is characteristic of most host communities in South Africa's extractive sector. Research objective 6 was therefore adequately addressed.

In addressing research objective 6, the main finding was that the main outcomes for conducting CCE activities were to: obtain a Social License to Operate (SLO); build reputation; redistribute wealth; build trust between community and company; improve stakeholder relations; and to achieve the triple bottom line targets. An understanding of the outcomes of CCE was critical to the development of the *outcomes variable* of the proposed CCE framework.

6.2 CONCEPTUAL FRAMEWORK

The CCE framework is an iterative process with numerous steps, some of which are taken from within by the company and others requiring engagement, feedback, and multi-stakeholder processes. CCE is organised around four closely linked variables comprising the context, group dynamics, and implementation strategy, as the independent variables, and outcomes as the dependent variable. The framework is an attempt to seek new approaches to break out of the low-results pattern of current CSR forms. Figure 6.1 shows how the variables relate to each other and thus presents the conceptual framework for this study.



Source: Author's own construct

Figure 6.1: Corporate Community Engagement Framework (CCEF)

6.3 OPERATIONALISATION OF REINFORCEMENT ELEMENTS

There are nine latent elements required to strengthen the impact of CCE and they are referred to in this study as reinforcement elements. Perceived strategy in the extractive sector is measured by the firm's ability to effectively assess the different contexts in which it operates; group dynamics; and the implementation strategy available to it, in order to achieve intended outcomes (section 3.3.4.1). The company should also ensure that CCE activities evolve with the project life cycle and that different approaches are used at different stages of the project cycle to meet current demands (section 3.3.5.8).

The first reinforcement variable is strategy (section 3.3.5.1). A strategy implies that something has been “planned, preconceived, or deliberate on” (Grant, 2016). In that regard, community engagement strategy is a series of plans intended to achieve a desired outcomes (Rangan, Chase & Karim, 2012; Arjaliès & Mundy, 2013). Extractive companies are therefore urged to have a functional CCE department that is in charge of the community engagement strategy. One of the reasons why companies formulate CCE strategy is to ensure that planning is not undertaken based on the personal whims of the responsible people. According to Cummings and Worley (2014), and Grant (2016), strategic CCE must reflect the value system of the company. Strategy spans across all CCE activities of the company.

The second reinforcement variable is alignment (section 3.3.5.2). Scholars such as Asif *et al.* (2013), Epstein and Buhovac (2014), and Grant (2016) postulate that the engagement plans of a company must align “with the development priorities of local communities and government to create a shared sense of value”. Franks (2012), Crane, Matten and Spence (2013), Davis and Franks (2014), and Deresky (2017) concur by stating that companies must coordinate engagement plans with other firm policies and activities that may affect communities, such as local hiring, procurement and impact management. This study argues that all three variables of CCE (context, group dynamics, and implementation strategy) must be aligned to the company's strategic plans and objectives as well as maintain ownership, visibility, and oversight of CCE. The National Planning Commission (2013) stated that CCE must be aligned according to national, provincial and local community needs. This study supports the notion by proposing that a company must therefore act as a catalyst in the alignment process.

The third reinforcement variable is integration (section 3.3.5.3). This study postulates that companies should have in place a process to integrate economic, social and environmental

concerns into their business operations with the aim of increasing the creation of common values for all shareholders; identifying and mitigating their possible negative impacts. This notion is supported by Baumgartner (2014) and Goetsch and Davis (2014), who posit that the CCE plans must be integrated with the company's vision, mission, values, corporate objectives, key business strategies and business plans. This study argues that integrated CCE should anticipate the many consequences of decisions made and develop this awareness into reliable decision-making processes.

The fourth reinforcement variable is multi-stakeholder practices (section 3.3.5.5). Crane, Matten and Spence (2013) argue that CCE activities should position the company as a partner in multi-stakeholder processes rather than making it the main actor in local community development. This study supports the notion by stating that a successful CCE framework is one that encourages a multi-stakeholder approach and ensures that the company does not become the sole problem solver of community problems. Doing this will dilute company control by involving other stakeholders (Gyrd-Jones & Kornum, 2013; Gereffi & Lee, 2016). Dodman and Mitlin (2013) supports the notion by stating that multi-stakeholder practices should support community participation, planning and decision-making.

The fifth reinforcement variable is sustainability (section 3.3.5.5). Malik (2014) opined that CCE activities should encourage self-sufficiency, seek to avoid dependency, and create lasting benefits that can outlast company support. According to Nuer (2015), the company should commence CCE activities with a viable exit or handover strategy in place. This way, the company is forced to plan for what will happen to the CCE project long after it has left. Plummer (2013) proposes that the company should invest heavily in inclusive processes that allow local communities and other stakeholders to take greater roles in the engagement process. This study underscores the need for CCE activities to reinforce indigenous processes rather than replace them.

The sixth element of reinforcement elements is results measurement and communication (section 3.3.5.6). According to Epstein and Buhovac (2014), CCE activities should measure return on community investment to both the company, community, and other stakeholders. This notion is supported by Rahman and Post (2012) who state that CCE activities should “use outcome and impact indicators to measure the quantity and quality of change”. In the same vein, Seele (2016) contends that CCE activities must be able to track variations in community perceptions about CCE in order to obtain current and relevant feedback on performance.

Innovation is the seventh reinforcement variable (section 3.3.5.7). Fischer and Sawczyn (2013) empirically demonstrated the existence of a positive relationship between community engagement and innovation. Innovation may take different forms and should be tailored to adapt to the ever-changing contexts. According to Rothwell (2015), innovation calls for “technology, talent identification, institutional reforms and competency development”. Damanpour and Aravind (2012) described CCE innovation as “that process where new ideas are established and implemented”. Autio (2014) supports the notion by stating that innovation should play a major role in multi-stakeholder CCE initiatives. (Smit et al, 2013). This study argues that knowledge, tools and techniques play a key role in enabling role-players make decisions. An example of innovative CCE is the link-pin support, which is an idea that was borrowed from Likert (1976) and Korontz (1980) and has been evolving since. The concept is based on the easing of communication channels between stakeholders to improve efficiency and do away with bureaucracy (Cummings & Worley, 2014).

The eighth reinforcement variable is CCE as an ongoing iterative and transformative process (section 3.3.5.8). According to Wickson and Carew (2014), CCE must be an iterative process involving “monitoring, research, evaluation, learning and innovation to reduce risks”. In this regard, CCE is said to be transformational, involving “learning over time and the ability to understand the specific context and confluence of stakeholder expectations” (Martinuzzi & Krumay, 2013), hence organisational learning. This means focusing on consistently monitoring and tracking program activities to see what is working and what is not in the short, medium and long-term. It is helpful to also include a series of feedback loops outside of formal evaluations; and these could include ongoing, general feedback for the program, as well as, avenues for feedback about specific initiatives (Barnett *et al.*, 2012). This study argues that the process allows companies to identify and address issues and challenges in a timely manner. Further, designing feedback loops allows companies to address challenges and reframe issues in real time, creating programs built on meaningful iterations.

The ninth and final reinforcement variable is communication at all levels (section 3.3.5.9). According to Amaladoss and Manohar (2013), the emphasis on CCE should be about communication at all stages. The authors elaborate by stating that the success of CCE programs hinge on needs endorsement and acceptance by all stakeholders, including management, employees and community members. Communication should be frequent and should report on progress and accomplishments in line with the triple bottom line principle (Mafemba, 2015;

Diamastuti & Prastiwi, 2016). Epstein and Buhovac (2014) point out that company management should inspire subordinates and other stakeholders to buy-in on CCE. Austin and Pinkleton (2015) supports the idea by stating that it is imperative to track and share program outcomes with everyone so as to be able to build “program recognition, loyalty, and momentum”. This study argues that communication can be used an essential tool for driving the change needed to influence corporate behaviour in efforts to manage stakeholder relations.

6.4 OPERATIONALISATION OF CONTEXT

Context is the first independent variable for the proposed CCE framework. Baumgartner (2014) describes context as the circumstances that form the setting. For the purposes of this study, context is a set of circumstances influencing the economic, social and environmental setting; as informed by the triple bottom line principles.

6.4.1 Economic context

In assessing the economic context for CCE (section 3.3.1.1), emphasis is on sustainability. The focus with economic sustainability is on the long term. Decisions must be geared towards achieving long-term economic success rather than short-term windfall gains (Stoddard, Pollard & Evans, 2012). This study supports the notion by adding that communities must continue to enjoy the benefits of CCE long after the company has stopped its operations. Measurement variables such as size of the project will be determined by the company and local communities. This study identified a gap in knowledge and suggests that while there is significant literature on the appropriate measures to adopt in measuring sustainability at the national level, methods of measurement at the local levels ought to be devised. The following are examples of the traditional economic sustainability measures in use today: income and expenditure measures, taxes, business climate factors, employment, and business diversity factors.

6.4.2 Social context

According to Van Rooy (2013) and Mander (2014), social sustainability requires that companies maintain healthy relationships with other stakeholders. This study supports the notion by arguing that companies have an obligation to do things right and advocate ethical values. Further, the study argues that reputation is key in order for companies to obtain trading licenses to operate from government. The study also suggests that a long-term commitment to community engagement enhances a company’s reputation. Proponents of the social license to

operate (SLO) idea argue that this is an unsigned agreement by local communities that extractive companies have complied with certain community expectations. Heledd (2012) agrees with Abu-Saifan (2012) by referring to the social license reasoning as the legitimacy theory. The concerns of the extractive local communities in South Africa include wealth redistribution, health and wellness, education, infrastructure development, and livelihood related CCE activities. The failure by extractive companies to come up with CSR strategies that show moral obligation, sustainability, license to operate and reputation lead to breakdown in stakeholder relations, resulting in conflict.

6.4.3 Environmental context

Assessing the environmental context for the extractive sector is used specifically in this study to refer to the assessment of the ecological environment, policy trends, jurisdiction or geographic context, and the operating environment under which the company operates (Franks, 2014; Harvey & Bice, 2014). Assessing the state of the environment allows organisations to have an awareness of how to manage it. Scanning the environmental context is necessary in assisting in the decision making (Bice & Moffat, 2014). Esteves, Franks and Vanclay (2012) state that organisations are therefore compelled to assess their environment so that they can be able to understand the external influences that may threaten their operations.

Assessing the environmental context can also be viewed as a process of policy setting for the organisation (Crane, Matten & Spence, 2013). Davern *et al.* (2017) state that economic and social context evaluation requires long-term efforts that are supported by policy applications. According to Knudsen, Moon and Slager (2015), policy context for CCE refers to the environment in which policies are set and implemented. The idea is supported by Owen and Kemp (2013), who state that the continued political instability may affect affects the extractive sector's attractiveness for capital. Environmental assessment can also be done by reviewing the operating environment and the process may include conducting socio-economic assessments (Crane, Matten & Spence, 2013), institutional mapping (Waibel, 2017) and partner reviews which allows a company to direct its CCE efforts with purpose (Epstein & Buhovac, 2014). This study argues that doing so would reduce the risk of unintended outcomes and increase the chances for achieving CCE objectives.

6.5 OPERATIONALISATION OF GROUP DYNAMICS

Group dynamics is a “system of analysing interrelationships and behaviours occurring within a social group (intragroup dynamics), or between social groups (intergroup dynamics)” (Avetisyan & Ferrary, 2013; Bartel & Wiesenfeld, 2013). Group dynamics as a discipline useful in understanding and aiding decision-making behaviour particularly in South Africa where aggravated protests are a common occurrence. Understanding group dynamics of a community is a process that requires having an appreciation of the background of the “community’s social and economic history, culture and collective character, current composition, community assets, and the physical, biological and functional attributes of the natural ecosystem(s) in which its members interact” (Gibson, 2016; Wozniak-Brown, 2017). This study argues that, assessment of the group dynamics is vital in managing the community’s problems and expectations. An understanding of group dynamics also helps in articulating a community’s priorities and vision, which a successful CCE framework should be able to respond to these.

According to Wallestein *et al.*, (2014), group dynamics can be analysed from a three dimensional perspective: the individual, structural and relational dynamics of partnerships. At the individual level, focus is on the individual members and the assessment includes demographics factors such as age, marital status, education levels and employment status, economic factors such as income levels and savings; as well as social factors including religious and cultural beliefs (Wilson , 2012; Stewart & Shamdasani, 2014). Structural dynamics on the other hand refers to the nature of the team, its composition, extent of diversity, and level of complexity of membership or issues addressed and to the rules and resources used to guide corporate community engagement (Scott, 2017). Finally, relational dynamics are the core interactive or communicative processes used to negotiate work, relationships, and identities during the partnership (Ting-Toomey, 2012). This study argues that an understanding of individual, structural and relational dynamics is critical in the process of capacity building. Building capacity entails enhancing the community’s skills, resources, and organisational structures in affected communities (Green & Haines, 2015). The study further argues that, because capacity building influences the triple-bottom-line elements, it is imperative to understand the group dynamics of the stakeholders concerned.

6.6 OPERATIONALISATION OF IMPLEMENTATION STRATEGY

This study proposes the adoption of CBPI by extractive companies as an implementation strategy. CBPI must be viewed as a multi-stakeholder approach to planning and implementing community projects in which the community members work in tandem with company representatives, by contributing expertise, decision-making and project ownership (Castleden, Morgan & Lamb, 2012). CBPI builds on capabilities and resources of the community, which enhances capacity building of both companies and host communities (section 3.3.2.2 - social context; and 3.3.3 - group dynamics). This is a notion also shared by Hacker (2013) and Guta, Flicker and Roche (2013), who contend that strengths include the “skills and assets of individuals and families” and social networks, faith-based organisations, and civic organisations, which allow community members to work together.

6.7 OUTCOMES

The key broad outcomes of an effective CCE framework were identified from the extensive literature reviewed, the in-depth interviews conducted, and the survey results to be: economic, social, and environmental. It was also established that each of the three broad CSR outcomes could either be intended; unintended but positive; or unintended and negative. Outcomes must be measured (section 3.3.6.10) and communicated for CCE strategic advantage (section 3.3.7).

6.8 CHAPTER SUMMARY

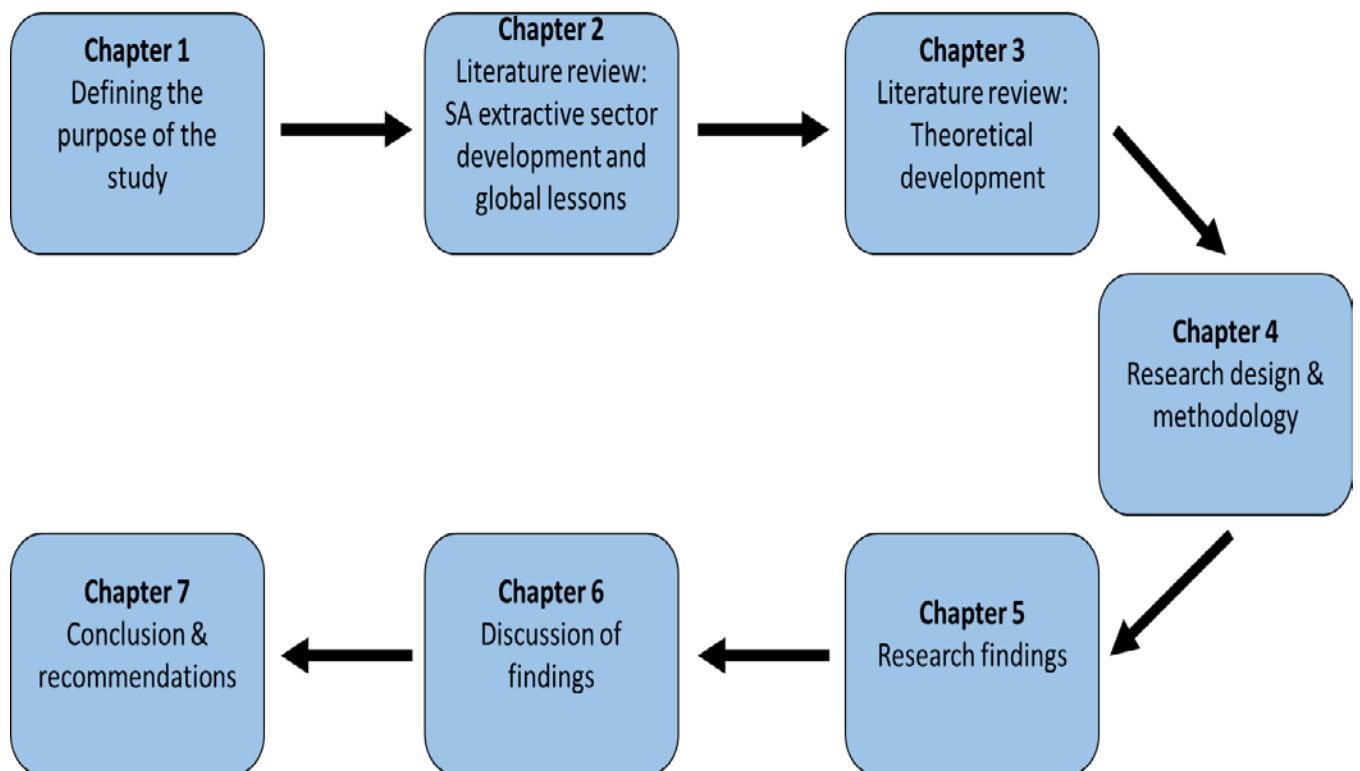
This chapter reviewed corporate community engagement by operationalising the reinforcement elements, independent variables and the outcome variable in order to view how each contributes to the development of the proposed CCE framework in an attempt to manage stakeholder relations in the extractive sector.

CHAPTER 7

CONCLUSION AND RECOMMENDATIONS

7.1 INTRODUCTION

In the previous chapter, results of the various statistical procedures were documented and some observations were made to see how they all converged to support the proposed CCE framework. This chapter presents the conclusion, limitations and recommendations for future research. It will also be pointed out in this final chapter how the objectives of the study, both theoretical and empirical, were achieved. Figure 7.1 below presents an overview of the sequence of the entire study.



Source: Author's own construct

Figure 7.1: Summary of the sequence of chapters of the study

7.2 SUMMARY OF RESEARCH OBJECTIVES AND QUESTIONS

The main objective of this study was to develop a CCE framework that would enhance stakeholder relations between extractive companies and host communities in the Western Cape Province of South Africa.

Table 7.1: Research objectives and questions reproduced here

Research objectives	Research questions
1. To understand the meaning of CCE from the perspective of the relevant stakeholders	1. What is the meaning of CCE from the perspective of the relevant stakeholders?
2. To determine the motives of extractive companies for undertaking CCE	2. What are the motives of extractive companies for undertaking CCE?
3. To investigate how extractive companies were complying with CCE requirements	3. How are extractive companies complying with CCE objectives?
4. To investigate the implementation strategy used by extractive companies in conducting CCE	4. What strategies are used by extractive companies in conducting CCE?
5. To investigate the role of local communities in the engagement process	5. What is the role of local communities in the engagement process?
6. To establish the outcomes of an effective CCE framework	6. What are the outcomes of an effective CCE framework?

7.3 CONCLUSIONS BASED ON LITERATURE REVIEW

An extensive literature study was done in Chapters 2 and 3. Chapter 2 was instrumental in presenting South Africa extractive sector development and global lessons learnt. On the other hand, Chapter 3 was key in supporting the development of the theoretical and conceptual frameworks for this study. The theoretical framework provided the basis for understanding the importance of CCE. The framework also emphasised the nature of intervening characters that can make companies and host community relationships to succeed or fail. Although theoretical literature exists on some community engagement models, it lacks a CCE framework that specifically addresses issues of context, group dynamics, implementing strategy, and reinforcement elements in managing stakeholder relations.

7.3.1 Extractive Sector Development in South Africa and Global Lessons Learnt (Chapter 2)

Chapter 2 was instrumental in outlining the historical developments in South Africa's extractive sector, including its apartheid background and how corporates operating in that context did not value community engagement. The discussion was important in addressing research objectives 1 (understanding of CCE by concerned stakeholders); research objective 2 (motives for CCE), research objective 3 (compliance with CCE activities), and research objective 4 (implementation strategy). The above narrative illustrated that businesses in the extractives sector in South Africa have benefited from decades of colonialism and apartheid. The result has been the rise in acute cases of unemployment, inequality and poverty, which has been growing over the years, leading to conflict, thereby necessitating the need for engagement framework that work. The discussion on recent developments in South Africa's extractive sector focussed on the development of the legal framework through the enactment of the Black Economic Empowerment (BEE) legislation (section 2.2.3.1), the King reports as a set of guidelines for corporate governance in South Africa (section 2.2.3.2), and the Mineral and Petroleum Resources Development Act (MPRDA) (section 2.2.3.3). All these efforts have had the benefit of regulating and standardising the application of community engagement efforts.

The discussion on global lessons learnt reviewed literature on the extractive sectors of Peru, Australia, Ghana and the USA, focussing mainly on the nature of conflict, community engagement initiatives implemented, and the lessons learnt, and how they would help address the research objectives for this study. It is worth noting that in places such as Peru, the nature of the conflict was similar to or worse than that of South Africa, which includes hostage taking and killings. However, CCE initiatives implemented by Newmont mining company at Barrick in Peru, such as establishing onsite communication and community relations teams, community grievance management resolution procedures, cleaning services, and water management systems have helped mitigate conflict.

7.3.2 Theoretical Development (Chapter 3)

Chapter 3 provided the broad context of the study by reviewing and synthesising current literature relevant to the influence of CCE on stakeholder relations. The literature discussion in this chapter started by reviewing Corporate Social Responsibility (CSR) with the intention to highlight its various attempts at addressing the stakeholder problems afflicting the sector.

CSR is the theory guiding community engagement development and was explicitly described by the use of the following sub-theories: the pyramid of CSR theory (section 3.2.2), corporate social performance (CSP) theory (section 3.2.3), and stakeholder theory (section 3.2.6). Stakeholder theory was reviewed, starting with its evolution, identification and classification. A review of stakeholder theory was crucial in forming the basis of what makes local communities a key stakeholder in the context of South Africa's extractive sector and the issues affecting them, leading to conflicts such as Marikana. However, scholars have suggested that CSR in its current forms (pyramid of CSR, CSP, and stakeholder theory) has not succeeded in managing stakeholder relations, thereby necessitating the development of the proposed CCE framework (section 3.3). This study argues that a successful CCE framework ought to satisfy the requirements of the triple-bottom-line (TBL) principles in terms of its analysis of the context, group dynamics, implementation strategy, and outcomes. This research persuades the notion that CCE is a subset within the broader CSR.

7.4 CONCLUSIONS BASED ON THE KEY VARIABLES FOR CCE FRAMEWORK

7.4.1 Conclusions based on context and CCE success

The study showed that context in all its three forms (economic, social, and environmental) was critical to the success of any corporate community engagement efforts. A regression model was fitted to the construct of intended consequences of an effective CCE framework as the response variable with the constructs of context, group dynamics and implementation strategy as independent variables (section 5.9.1). The results indicated that the traditional elements of CCE (coefficient=0.148, $t=2.447$, $p\text{-value}=0.015$) and partnership arrangements (coefficient=0.143, $t=2.680$, $p\text{-value}=0.008$) were the context constructs with significant and positive impact on intended consequences of CCE.

Another regression model was fitted to the construct of unintended but positive consequences of an effective CCE framework as the response variable with the constructs of context, group dynamics and implementation strategy as independent variables (section 5.9.2). The results indicated that the traditional elements of CCE (coefficient=0.137, $t=2.532$, $p\text{-value}=0.012$) and partnership arrangements (coefficient=0.127, $t=2.669$, $p\text{-value}=0.008$) were the context constructs with significant and positive impact on unintended but positive consequences of CCE.

Another regression model was fitted to the construct of unintended negative consequences of an effective CCE framework as the response variable with the constructs of context, group dynamics and implementation strategy as independent variables. The results indicated that the traditional elements of CCE did not have a significant impact on unintended negative consequences of CCE unlike with the other context constructs (coefficient=0.137, $t=2.532$, $p\text{-value}=0.012$). The results also showed that partnership arrangements (context construct) had a significant impact on unintended negative consequences of CCE (coefficient=0.110, $t=2.171$, $p\text{-value}=0.031$).

Overall, the strength of the framework is judged on whether intended outcomes are achieved, which is evident in the strong correlation between the intended consequences of CCE and the traditional elements of CCE with a $p\text{-value}$ of 0.000; CCE partnership arrangements used with a $p\text{-value}$ of 0.002; non-partnership arrangements of CCE with a $p\text{-value}$ of 0.022. Improved stakeholder relations, reduced conflicts, increased sustainable socio-economic development, and improved social and environmental benefits are some of the expected outcomes of a successful CCE framework.

7.4.2 Conclusions based on group dynamics and CCE success

The study also showed that group dynamics in all its three forms (structural, individual and relational dynamics) was critical to the success of any corporate community engagement efforts. Regression analysis of the quantitative analysis revealed that there is a significant correlation between the role played by communities in the engagement process and community needs with a $p\text{-value}$ of 0.000. If communities can be involved in identifying and prioritising their needs, identifying the barriers to engagement, identifying who to represent them in the engagement processes, and establishing peaceful conflict resolution mechanisms, there are high chances that their expectations will be attained in the form of economic, social and cultural, technological, and environmental needs.

There is significant correlation between intended consequences of CCE and the role played by communities in the engagement process with a $p\text{-value}$ of 0.001, broad critical local community needs with a $p\text{-value}$ of 0.014, barriers to engagement with a $p\text{-value}$ of 0.000, relational barriers with a $p\text{-value}$ of 0.005, and the key conflict resolution considerations for local communities with a $p\text{-value}$ of 0.000. There is also significant correlation between the unintended but positive consequences of CCE and the role of communities in the engagement

process with a p-value of 0.005, broad critical local community needs with a p-value of 0.000, the contextual barriers to engagement with a p-value of 0.000, relational barriers to engagement for local communities with a p-value of 0.000, and the key conflict resolution considerations for local communities with a p-value of 0.000. There is a significant correlation between the unintended and negative consequences of CCE and the role of communities in the engagement process with a p-value of 0.015, broad critical local community needs with a p-value of 0.000, contextual barriers to engagement for local communities with a p-value of 0.000, barriers to engagement for local communities with a p-value of 0.000, and the key conflict resolution considerations for local communities with a p-value of 0.000.

7.4.3 Conclusions based on implementation strategy and CCE success

Once the key parameters of the CCE framework have been established, the next step will be to figure out how best the program can be delivered. Implementation strategy is described as a strategic delivery method for the intended CCE plan which is guided by distinct procedures, such as the company's objectives, project time, budget, reinforcement elements (section 3.3.4), the characteristics of the local operating context (section 3.3.1) and group dynamics (section 3.3.2). One size certainly does not fit all; therefore context specific solutions must be tailor-made to address each situation. Because different implementation strategies have different advantages and disadvantages that may serve one set of objectives over another, it helps to understand the various options.

This study proposes the adoption of CBPI as an implementation strategy. CBPI must be viewed as a multi-stakeholder approach to planning and implementing community projects in which the community members work in tandem with company representatives, by contributing expertise, decision-making and project ownership (Castleden, Morgan & Lamb, 2012). CBPI builds on capabilities and resources of the community, which enhances capacity building of both companies and host communities (section 3.3.2.2 - social context - and 3.3.3 - group dynamics). This is a notion also shared by Hacker (2013) and Guta, Flicker and Roche (2013) who contend that strengths include the "skills and assets of individuals and families" and social networks, faith-based organisations, and civic organisations, which allow community members to work together. The implementation strategy construct (coefficient=0.134, $t=2.444$, p-value=0.015) and conflict resolution (coefficient=0.512, $t=7.167$, p-value=0.000) had significant and positive impact on intended consequences of CCE. In fact, conflict resolution, with a coefficient of 0.512 had the highest effect on intended consequences of CCE.

7.4.4 Conclusions based on reinforcement elements and CCE success

There are nine latent elements which are required to strengthen the impact of each CCE variable and they are referred to in this study as reinforcement elements. They include strategy, alignment, integration, multi-stakeholder partnerships, sustainability, results measurement and communication, innovation, ongoing iterative and transformational process, and communication at all levels (Formentini & Taticchi, 2016). The reinforcement elements may be present individually or collectively in each of the three independent variables identified for this study (context, group dynamics, and implementation strategy), to strengthen their impact on the outcomes (dependent variable).

7.5 CONCLUSIONS BASED ON RESEARCH OBJECTIVES AND EMPIRICAL RESULTS

The following is a summary of conclusions based on the statistical findings and is arranged according to research questions.

7.5.1 Research question 1: What is the meaning of CCE from the perspective of the relevant stakeholders?

From the numerous literature reviewed, CCE is described in this study as activities such as multi-stakeholder inclusion, consultation, advocacy, and infrastructure provision that companies involve themselves in to improve stakeholder relations with and enhance the general well-being of communities they operate, in sustainable ways. In fulfilment of the mixed methods approach adopted for this study, the qualitative results of the 16 participants produced 13 themes, namely: relationship management, responsibility sharing (section 3.3.4.2), strategy, alignment, integration, multi-stakeholder partnerships, sustainability, results measurement and communication, innovation, ongoing iterative and transformational process, and communication at all levels. On the other hand, the quantitative survey results that participants believed the following to be important: responsibility sharing (87.4%), frequent communication between stakeholders (87.4%), two-way communication (84.3%), amongst others (section 6.1.1). Research objective 1 of this study sought to derive the meaning of CCE from the perspective of extractive companies and host communities. It can be concluded from the above discussion that CCE is a process with inputs (context, group dynamics, implementation strategy, and reinforcement elements) and outputs (outcomes); whereby stakeholders can self-evaluate to see if their expectations have been met or not, and what can

be done to achieve desired results. An understanding of CCE from the perspective of extractive companies and communities will impact on CCE outcomes, which will ultimately affect the nature of the relationship between company and communities.

It is therefore concluded that understanding the meaning of CCE by the companies and communities influences stakeholder relations.

7.5.2 Research question 2: What are the motives of extractive companies for undertaking CCE?

Literature reviewed for countries such as Peru, Australia, Ghana and the USA revealed the motives for conducting CCE as being to avert conflict, build reputation, and responding to community concerns (see chapter 2). Archibald (2016) posited that some of the motives for partaking in CCE were the operating benefits resulting from CCE such as the easy of entering new markets, favourable government relations and regulations, and reduced incidents of lawsuits, and work stoppages. Furthermore, the need to obtain a social license to operate has been highlighted as the primary motive for CCE. Research findings showed that the following were the motives for conducting CCE: compliance with government regulations (25%), achieving economic benefits by companies (20%), building trust with local communities (13%), managing relationships with other stakeholders (11%), building reputation (11%), achieving environmental benefits (10%), and obtaining a social license to operate (7%). An appreciation of the motives for carrying out CCE activities by extractive companies influences the nature of relationships between company and communities.

It is therefore concluded that an understanding of the motives for conducting CCE influences stakeholder relations.

7.5.3 Research question 3: How are extractive companies complying with CCE objectives?

Literature reviewed showed that extractive companies have not complied with CCE expectations in a meaningful way that enhances local communities' development. Both qualitative and quantitative results indicated that companies were not fully compliant with what was expected of them. Non-compliance has been mentioned as a leading cause of the breakdown in stakeholder relations in the extractive sector.

It is therefore concluded that CCE compliance by extractive companies influences stakeholder relations.

7.5.4 Research question 4: What strategies are used by extractive companies in conducting CCE?

Both qualitative and quantitative findings showed that extractive companies were not sure of which implementation strategy to adopt. This study proposes the adoption of CBPI as an implementation strategy. CBPI must be viewed as a multi-stakeholder approach to planning and implementing community projects in which the community members work in tandem with company representatives, by contributing expertise, decision-making and project ownership (Castleden, Morgan & Lamb, 2012). CBPI builds on capabilities and resources of the community, which enhances capacity building of both companies and host communities (section 3.3.2.2 - social context - and 3.3.3 - group dynamics). This is a notion also shared by Hacker (2013) and Guta, Flicker and Roche (2013) who contend that strengths include the “skills and assets of individuals and families” and social networks, faith-based organisations, and civic organisations, which allow community members to work together. The implementation strategy construct (coefficient=0.134, $t=2.444$, $p\text{-value}=0.015$) and conflict resolution (coefficient=0.512, $t=7.167$, $p\text{-value}=0.000$) had significant and positive impact on intended consequences of CCE. In fact, conflict resolution, with a coefficient of 0.512 had the highest effect on intended consequences of CCE. The choice of implementation strategy by extractive companies will impact on CCE outcomes; which will ultimately affect the kind of the relationship between company and communities.

It is therefore concluded that the choice of CCE implementation strategy influences stakeholder relations.

7.5.5 Research question 5: What is the role of local communities in the engagement process?

Qualitative findings (section 5.2.1.5) suggest that the role of local communities in the engagement process is an important component of group dynamics, which is one of the four key variables for the proposed model. Group dynamics is described in section 3.3.2 as an assessment of the stakeholder landscape through reviewing the structural, individual and relational dynamics of the actors, institutions, and networks. An assessment of group dynamics

as a key variable for CCE influences the nature of relationships between company and communities.

It is therefore concluded that the role played by local communities influences stakeholder relations.

7.5.6 Research question 6: What are the outcomes of an effective CCE framework?

Section 2.3.3 describes outcomes of CCE as being economic, social, and environmental. An appreciation of the potential outcomes of CCE as the dependent variable may also influence the nature of relationships between company and communities.

It is therefore concluded that an appreciation of the outcomes of CCE influences stakeholder relations.

7.5.7 Attainment of the set objectives

The completion of the research has proved the attainment of all the set objectives as given in Chapter 1. Table 7.1 indicates in which chapter(s) and or section(s) each of the research's objectives were attained.

Table 7.2: Research objectives covered in the relevant chapters and sections

Objective	Where Objective was covered
1. To understand the meaning of CCE from the perspective of the relevant stakeholders	<ul style="list-style-type: none"> • Chapter 2: Section 2.2 • Chapter 3: Section 3.3 • Chapter 5: Section 5.2.1.1 • Chapter 6: Section 6.1.1 • Chapter 7: Section 7.5.1
2. To determine the motives of extractive companies for undertaking CCE	<ul style="list-style-type: none"> • Chapter 2: Section 2.2 • Chapter 3: Section 3.2 • Chapter 5: Section 5.2.1.2 • Chapter 6: Section 6.1.2 • Chapter 7: Section 7.5.2
3. To investigate how extractive companies were complying with CCE requirements	<ul style="list-style-type: none"> • Chapter 2: Section 2.2 • Chapter 3: Section 3.2 • Chapter 5: Section 5.2.1.2

Objective	Where Objective was covered
	<ul style="list-style-type: none"> • Chapter 6: Section 6.1.2 • Chapter 7: Section 7.5.2
<p>4. To investigate the implementation strategy used by extractive companies in conducting CCE</p>	<ul style="list-style-type: none"> • Chapter 2: Section 2.2 • Chapter 3: Section 3.2 • Chapter 5: Section 5.2.1.4 • Chapter 6: Section 6.1.4 • Chapter 7: Section 7.5.2
<p>5. To investigate the role of local communities in the engagement process</p>	<ul style="list-style-type: none"> • Chapter 2: Section 2.2 • Chapter 3: Section 3.2 • Chapter 5: Section 5.2.1.5 • Chapter 6: Section 6.1.5 • Chapter 7: Section 7.5.5
<p>6. To establish the outcomes of an effective CCE framework</p>	<ul style="list-style-type: none"> • Chapter 2: Section 2.2 • Chapter 3: Section 3.2 • Chapter 5: Section 5.2.1.5 • Chapter 6: Section 6.1.5 • Chapter 7: Section 7.5.5
<p>Main objective: To develop a CCE framework that will enhance stakeholder relations in the extractive sector in the Western Cape Province of SA.</p>	<ul style="list-style-type: none"> • Chapter 7: Section 7.6

7.6 FRAMEWORK FOR CCE

The framework for corporate community engagement presented here is based on the conclusions derived from the literature review and empirical data analysis. It provides a structured approach which companies can use to understand the basis for successful community support. This enables companies to identify the reasons why community support may be failing and thus motivate them to develop targeted approaches for enhancing corporate-community relationships. It is hoped that this framework would support and promote corporate community engagement success in the extractive sector in the Western Cape Province of South Africa, particularly, by applying the CCE reinforcement elements identified to be effective in influencing context, group dynamics and implementation strategy.

7.6.1 Discussion of the framework

The framework is extracted from some of the gaps found in the literature review (section 3.4) and the empirical findings (chapter 5) which is made up of context, group dynamics and implementation strategy as the key independent variables and supported by the following reinforcement elements: strategy, alignment, integration, multi-stakeholder partnerships, sustainability, results measurement and communication, innovation, ongoing iterative and transformational process, and communication at all levels (Formentini & Taticchi, 2016). The outcomes of the application of these variables may either be economic, social, and environmental as informed by the triple-bottom-line principles and each of the outcomes may either be intended, unintended but positive, and unintended and negative. The statistical conclusions on the inter-relationships and impact on outcomes are presented below.

1. The results indicate that traditional elements of CCE (coefficient=0.148, $t=2.447$, $p\text{-value}=0.015$) and partnership arrangements (coefficient=0.143, $t=2.680$, $p\text{-value}=0.008$) are the context constructs with significant and positive impact on intended consequences of CCE.
2. The group dynamics and implementation strategy constructs (coefficient=0.134, $t=2.444$, $p\text{-value}=0.015$) and conflict resolution (coefficient=0.512, $t=7.167$, $p\text{-value}=0.000$) have significant and positive impact on intended consequences of CCE. In fact, conflict resolution, with a coefficient of 0.512 has the highest effect on intended consequences of CCE.
3. The results indicate that traditional elements of CCE (coefficient=0.137, $t=2.532$, $p\text{-value}=0.012$) and partnership arrangements (coefficient=0.127, $t=2.669$, $p\text{-value}=0.008$) are the context constructs with significant and positive impact on unintended but positive consequences of CCE.
4. The group dynamics and implementation strategy constructs (coefficient=0.221, $t=4.515$, $p\text{-value}=0.000$), key relational barriers (coefficient=0.147, $t=2.820$, $p\text{-value}=0.005$) and conflict resolution (coefficient=0.408, $t=6.390$, $p\text{-value}=0.000$) have significant and positive impact on intended consequences of CCE. Conflict resolution, with a coefficient of 0.408 has the highest effect on unintended but positive consequences of CCE.
5. The results indicate that traditional elements of CCE do not have a significant impact on unintended negative consequences of CCE unlike with the outcomes constructs (coefficient=0.137, $t=2.532$, $p\text{-value}=0.012$). The results also show that partnership

arrangements have a significant impact on unintended negative consequences of CCE (coefficient=0.110, $t=2.171$, $p\text{-value}=0.031$).

6. The group dynamics and implementation strategy constructs (coefficient=0.208, $t=3.977$, $p\text{-value}=0.000$), key relational barriers (coefficient=0.179, $t=3.228$, $p\text{-value}=0.001$) and conflict resolution (coefficient=0.416, $t=6.116$, $p\text{-value}=0.000$) have significant impact on intended consequences of CCE.

7.6.2 Application of the CCE framework

The CCE framework can be used as an important decision making tool by extractive company management. The framework can also be used to influence host community perceptions. Communities view and react positively to perceptions of possession and ownership and the emphasis by this CCE framework on multi-stakeholder engagement enhances success. The framework also captures all the essential elements of a successful framework from planning and designing as informed by the context and group dynamics, and the implementation strategy. Since CCE is a subset within the broader CSR theory, the success of the framework can be viewed as an overall success of CSR. CSR has been underperforming due to deficiencies in analysing context, group dynamics and implementation strategy. This framework provides a panacea to these vices.

7.7 STRATEGIC OPTIONS AND RECOMMENDATIONS

The study reveals a number of critical issues pertaining to the state of the extractive sector in South Africa, focusing on the Western Cape Province. The South African economy currently manifests a high level of unemployment, especially among the youth and women, leading to high levels of poverty and disparity in income distribution. The economy is also characterized by an increasing number of informal settlements, and the extractive sector has not been spared from this scourge. The informal settlements are characterised by squalor and abject poverty, a result of the apartheid era. Scholars have also criticised government for not doing enough to alleviate housing and settlement problems more than two decades after attaining independence.

Community profiling by this researcher revealed that all the eight participating companies were within a proximity of less than five kilometres from the affected communities; yet the demographic results showed that none of the survey participants were employed by the extractive companies. The same results also showed that almost half of the participants were unemployed at 45%, whilst 25.7% were contractually employed. This confirmed the Quarterly

Labour Force Survey released by Pali Lehohla, Statistician-General of Statistics South Africa which stated that South Africa's unemployment rate for the first quarter of 2017 increased by 1.2 of a percentage point to 27.7%, the highest figure in fourteen years since September 2003. Only 15.7% of the participants were employed permanently, though not by the extractive companies. This means that the companies were not responding to one of the community's most critical needs; that of addressing unemployment.

7.7.1 Balancing human rights with mining rights

A lot of countries seem to have no legislation intended to protect the rights of host communities. South Africa's policies have been inconsistent and have thus failed to reliably balance human rights with extractive sector rights, hence the many cases of conflict witnessed around extractive project areas. It should be made mandatory that, in order to secure funding and licenses to operate, extractive companies ought to conduct social and environmental assessments, which include protection of human rights.

7.7.2 Mapping the extractive sector to Sustainable Development Goals (SDGs)

Extractive companies should navigate how their operations can help the world achieve the SDGs. SDGs are a shared universal developmental call to end poverty, protect the planet and ensure that all people enjoy peace and prosperity. Extractive companies can lead developmental efforts in the attainment of these SDGs by adopting a structured CCE framework that actually works. Through partnerships with host communities and other relevant stakeholders, companies can ensure that benefits of CCE outlive the life of the mine itself and of current generations in those host communities. The result will be a shared responsibility to safeguard the world for future generations. In return, extractive companies committed to the SDGs should benefit from improved relationships with other stakeholders such as host communities, civic organisations, funders, and government.

7.7.3 Maintaining a Social License to Operate

A successful CCE model allows the extractive company to obtain a Social License to Operate (SLO). Obtaining an SLO is essential to averting resource-based conflicts. However, obtaining the SLO is just the first step. Maintaining a Social License to Operate should therefore be pivotal to risk profiling of every extractive project. It entails participation, consultation, and communication, all essential ingredients of the proposed CCE framework. In

the absence of their participation, communities often perceive that the benefits from extractive activities are enjoyed by others far placed from the extractive operations, yet they are the ones who bear the impacts, including loss of livelihoods and lives, environmental degradation, and cultural invasion, and receive little or nothing in return. This is a common basis of many resource-based conflicts. Maintaining the SLO requires that companies invest time and resources.

7.8 RECOMMENDATIONS

7.8.1 Recommendations to organisations

It is recommended that organisations invest in training those employees directly involved in carrying out the CCE activities of the company on how to analyse context and group dynamics and how to devise a successful implementation strategy if they are to yield positive CCE outcomes. Companies must be encouraged to do away with the perception that “one-size-fits-all”. Every engagement attempt should be analysed on its merits (i.e. context and group dynamics) and applying implementation strategy as proposed in this structured CCE framework.

Effectively assessing the context and group dynamics may lead to lots of positive CCE outcomes. Conducting institutional mapping and partner reviews allows a company to conduct its CCE activities with aim. This reduces unintended outcomes and enhances the chances of success for CCE projects. CCE should be viewed as a system or process with inputs (context, group dynamics, and implementation strategy) and outputs (outcomes) which will not succeed if one element of the system is not fulfilled. To ensure success, companies must strive to make continual improvements to parts of the CCE framework and its sub-units such as putting in place reliable community grievance and conflict resolution mechanisms, environmental and social impact management, and local community hiring and procurement processes. This study further argues that the process and spirit by which CCE is conducted, are as important to the success of CCE as the framework itself. In designing the CCE framework, distinction must be made between the short-term and long-term objectives. The benefits of quick impact projects such as community donations need to be weighed carefully against the risks of creating dependencies. A good CCE framework will allow companies to communicate at all levels thereby ensuring that stakeholders are informed about the progress on community projects and the value they are creating. A company that has both internal and external communications

plans for CCE, and which implements these proactively, will yield a lot benefits such as a good corporate reputation, and cordial working relations with other stakeholders.

7.8.2 Recommendations for future research

It is recommended that future studies should be directed towards measuring and tracking changes in community perceptions about CCE, both qualitatively and quantitatively. This should enable companies to identify the reasons why community engagement efforts may be failing and thus motivate them to develop targeted approaches for enhancing corporate-community relationships. This measurement should be able to assess the strength of the relationship that exists between an extractive company and its host communities. The primary value of the recommended future research lies in the ability to measure the quality of relationships and the change in relationships over time. The secondary value is in identifying areas where the relationships are negative in terms of whatever indicators would be derived from the study. This should assist extractive companies to avert conflicts before they can occur. The recommended future research should be able to devise ways to reliably measure community support in terms of a number of variables, which may include respect, trust, legitimacy and compatibility of interests. Further research can be focussed on replicating this study in other provinces. This would ensure the incorporation of a large sample size, which would facilitate a more favourable outcome.

7.9 THE VALUE CONTRIBUTION OF THE STUDY

The value of this study was twofold. First, it was able to determine the level of engagement needed to enhance stakeholder relations. Second, it managed to present a CCE framework that is hoped to enhance stakeholder relations in the extractive sector, focusing on the Western Cape Province of South Africa.

7.10 LIMITATIONS OF THE STUDY

The following limitations were observed:

- The focus of this study was fundamentally on the relations existing between extractive companies and host communities. However, the extractive sector contends with more than just these two groups. Other groups whose contribution matter include environmental

pressure groups, civic organisations and government. Their participation in the study would probably improve the quality of the framework.

- Despite the sample size of this study being adequate, a larger sample size would certainly make for better generalisations of results.
- Also, the focus on the Western Cape Province of South Africa only may inhibit the generalisations of results to the entire extractive sector in South Africa, and the world at large.

7.11 CHAPTER SUMMARY

The main objective of this study was to develop a corporate community engagement framework that would enhance stakeholder relations in the extractive sector, focusing on the Western Cape Province of South Africa. A conceptual framework was developed that specified strategy, alignment, integration, innovation, multi-stakeholder practices, sustainability, results measurement and communication, process (ongoing iterative and transformational), and communication at all levels; as the reinforcement elements of a good CCE model. The independent variables of the framework were identified as being context, group dynamics and implementation strategy.

The empirical results proved the existence of some relationships in the three variables and their impact on outcomes. Three broad outcomes of this framework were suggested as being economic, social, and environmental; each of which could either be one of three forms, namely: intended, unintended but positive, and unintended and negative consequences. For example, social outcomes may either be intended (e.g. building a good reputation); or unintended but positive (e.g. socially responsible behaviour by consumers and employees); or unintended and negative (e.g. increase in social ills such as crime and prostitution as a result of increases in disposable incomes for community members). The completion of the study has also proved the achievement of all the set research objectives as set out in Chapter 1. (See Table 7.1.) The discussion in this chapter concluded with recommendations to organisations and for further future research on CCE.

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Annexure A: Letter of request to conduct study



CENTRAL UNIVERSITY OF TECHNOLOGY, FREE STATE
SENTRALE UNIVERSITEIT VIR TEGNOLOGIE, VRYSTAAT
YUNIVESITHI E BOHARENG YA THEKENOLOJI, FOREISTATA

FACULTY OF MANAGEMENT
SCIENCES

To whom it may concern,

D.TECH – Business Administration

Researcher: Jimmy Makoni (Contact 0722119931)

Supervisor: Prof. MN NAONG (Contact 051 507 3217)

My name is Jimmy Makoni. I am a Doctor of Technology (Business Administration) student at the Department of Business Support Studies, Central University of Technology, Free Sate. I would like to request permission to study your company's community engagement practices in a research project entitled '*Corporate Community Engagement Framework for Stakeholder Relations in the Extractive Sector in the Western Cape, South Africa*'. The aim of this study is to develop a CCE framework that will help improve relations, thereby reducing the prevalence of conflict amongst stakeholders in the sector. I would prefer to conduct in-depth interviews on those company employees directly involved with community engagement projects, if available.

Through your company's participation, I hope to have a better understanding of CCE. The collected results are intended to contribute to the body of knowledge on the broader stakeholder theory, particularly on effective corporate community engagement. Your company's participation in this project is voluntary. You may refuse to participate or withdraw from the project at any time with no negative consequences. Your company's participation may be kept confidential and anonymous by the Department of Business Support Studies, Central University of Technology, Free Sate; if you so choose.

If you have any questions or concerns about participating in this study, you may contact me or my supervisor at the numbers listed above. The interviews are expected to last between 45 minutes to one hour. I hope you will find this request to be in order.

Sincerely,

Investigator's signature



Date: 06 November 2016

Annexure B: Signed consent form by responsible company management to conduct interviews

Consent

Norman Viteles

I _____ hereby confirm that permission has been granted to Mr Jimmy Makoni to conduct interviews on *'The influence of Corporate community engagement (CCE) on stakeholder relations in the extractive sector'*.

I further wish to confirm that the results of the research related to Lafarge will be held in confidence and a copy of which would be made available to the Line Managers of the participating Business Units.

Viteles

06-11-2016

Participant's signature _____ Date _____

Annexure C: Covering letter for interviews



CENTRAL UNIVERSITY OF TECHNOLOGY, FREE STATE
SENTRALE UNIVERSITEIT VIR TEGNOLOGIE, VRYSTAAT
YUNIVESITHI E BOHARENG YA THEKENOLOJI, FOREISTATA

FACULTY OF MANAGEMENT
SCIENCES

Dear Respondent,

D.TECH – Business Administration

Researcher: Jimmy Makoni (Contact 0722119931)

Supervisor: Prof. MN NAONG (Contact 051 507 3217)

My name is Jimmy Makoni. I am a Doctor of Technology (Business Administration) student at the Department of Business Support Studies, Central University of Technology, Free State. You are invited to participate in a research project entitled '*Corporate Community Engagement Framework for Stakeholder Relations in the Extractive Sector in the Western Cape, South Africa*'. The aim of this study is to develop a CCE model that will help improve relations, thereby reducing the prevalence of conflict amongst stakeholders in the extractive sector.

Through your participation, I hope to have a better understanding of CCE. The collected results are intended to contribute to the body of knowledge on the broader stakeholder theory, particularly on effective corporate community engagement. Your participation in this project is voluntary. You may refuse to participate or withdraw from the project at any time with no negative consequences. Your participation will be maintained confidential and anonymous by the Department of Business Support Studies, Central University of Technology, Free State.

If you have any questions or concerns about participating in the in-depth interviews for this study, you may contact me or my supervisor at the numbers listed above. The interviews are expected to last between 45 minutes to one hour.

Sincerely,

Investigator's signature



Date: 06 November 2016

Annexure D: Signed consent form for interviews (sample)

Consent

Tudy Daniels

I _____ the undersigned have read and understood the above information. I hereby consent to participate in the study outlined in this document. I understand that participation is voluntary and that I may withdraw at any stage of the process.

Daniels

07/11/16

Participant's signature _____ Date _____

Annexure E: Interview questions

INTERVIEW PROTOCOL

Research topic: The influence of corporate-community engagement (CCE) on stakeholder relations in the extractive sector

Interview code

Interviewer

.....

Location

.....

Date

.....

Time

Start

time.....End

time.....

Age group

.....

Educational level

.....

Occupation

.....

Gender

.....

Ethnic group

.....

Introduction and instructions

My name is Jimmy Makoni. I am a Doctor of Technology (Business Administration) student at the Department of Business Support Studies, Central University of Technology, Free State. I am kindly requesting your participation in my interview by answering the questions I have for you. Your participation in this interview will help me gather information necessary for the completion of my PhD thesis.

The primary objective of this study is to examine and understand how CCE can be used to support stakeholder relations in the extractive sector, focussing on South Africa.

The purpose of talking to you today is to learn more about your understanding, thoughts, feelings, and experiences about CCE. Please be advised that all information given by you will be kept strictly confidential. Anonymity will be maintained throughout and after the research process, therefore you are not required to tell me your names. Anything that you tell me will not be personally attributed to you in this research. Your participation in this interview is completely voluntary.

Are you willing to be interviewed?

.....

Do you have any questions before we begin?

.....

Question 1: What is your understanding of corporate community engagement?

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Question 2: What are the motives for undertaking CCE by extractive companies?

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Question 3: How are extractive companies complying with CCE objectives?

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Question 4: What implementation strategy are used by extractive companies in conducting CCE?

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Question 5: What is the role of local communities in the engagement process?

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Question 6: What are the outcomes of an effective CCE strategy?

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Annexure F: Signed verification form for transcription notes

Consent

Tudy Daniels

I _____ the undersigned have read and understood the transcription notes. I hereby confirm that the transcription notes are a true reflection of the interview that I participated in titled:

'The influence of corporate community engagement (CCE) on stakeholder relations in the extractive sector'. My participation was voluntary and I had the option to withdraw at any stage of the process, if I chose to.

Daniels

07/11/16

Participant's signature _____ Date _____

Annexure G: Thank you letter for participating companies

To: Mr. Maanda Nengome
Lafarge Holcim, Tygerberg Quarry
Sustainability and Environmental Manager

From : Mr. Jimmy Makoni

01 March 2017

RE: THE PROCESS OF COLLECTION OF DATA FOR MY STUDIES

I wish to express my sincere appreciation for the support and co-operation that I received from your reputable company and its personnel. I would to give special praise to you Mr Nengome, for your tolerance, understanding, unqualified support and willingness to lend your helping hand throughout the duration. It might not have been easy at times, but your patience and willingness to assist made this possible. This kind of cooperation and support was definitely a breath of fresh air for me, seeing that some of the companies gave me a run around before they could finally agree to participate in my research study. For that reason, I will forever be indebted to your company, management, and you in particular. This company is definitely fortunate to have someone of your calibre in their ranks. You are indeed a valuable asset to this company, and may you continue to be so.

I will forever treasure this support, and as promised, I am going to furnish your management with the findings of this study, no matter how long it might take me to complete this project, and please hold me to my word.

Once again, my greatest gratitude to your company and management.

Yours faithfully,

Jimmy Makoni

DBA – student: University of Central University of Technology

0722119931

jimmakochi@yahoo.com

Annexure H: Thank you letter for interview participants

To: Mr. Godfrey Mhlongo
Lafarge Holcim, Tygerberg Quarry
Sustainability and Environmental Officer
From : Mr. Jimmy Makoni

01 March 2017

RE: THE PROCESS OF COLLECTION OF DATA FOR MY STUDIES

I wish to express my sincere appreciation for the support and co-operation that I received from your reputable company and its personnel. I would to give special thanks to you Mr Mhlongo, for your tolerance, understanding, unqualified support and willingness to lend your helping hand throughout the duration. It might not have been easy at times, but your patience and willingness to assist made this possible. This kind of cooperation and support was definitely a breath of fresh air for me, seeing that some of the companies gave me a run around before they could finally agree to participate in my research study. For that reason, I will forever be indebted to your company, management, and you in particular. This company is definitely fortunate to have someone of your calibre in their ranks. You are indeed a valuable asset to this company, and may you continue to be so.

I will forever treasure this support, and as promised, I am going to furnish your management with the findings of this study, no matter how long it might take me to complete this project, and please hold me to my word.

Once again, my greatest gratitude to your company and management.

Yours faithfully,

Jimmy Makoni

DBA – student: University of Central University of Technology

0722119931

jimmakochi@yahoo.com

Annexure I: Covering note for survey participants (extrapolated to online LimeSurvey)

Welcome

This survey is anonymous. The record of your survey responses does not contain any identifying information about you. Nowhere in the entire survey will you be asked to give your personal identification details. If you used an identifying token to access this survey, please rest assured that this token will not be stored together with your responses. It is managed in a separate database and will only be updated to indicate whether you (or did not) complete this survey. There is no way of matching identification tokens with survey responses.

End note

I wish to thank you for your time, support and cooperation.

Annexure J: Questionnaire

Section A: Demographics

All the information provided in this section will be used purely for administrative and statistical purposes only

1. Gender

Male		Female	
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2. Race:

African	
Coloured	
Indian	
White	
Other, please specify	

3. Age group:

21 – 25		41 – 45	
26 – 30		46 – 50	
31 – 35		51 – 55	
36 – 40		56 and above	

4. Home language:

Afrikaans	
English	
Xhosa	
Zulu	
Sotho	
Other, please specify	

5. Marital status:

Married		Single		Divorced/separated	
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6. State of employment

Employed		Self-employed		Unemployed		Other	
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7. Are you employed by the company under study: (Yes or No)
8. How many years' experience do you have working in the same job:
9. How many years have you been working for the same company:

10. Qualifications:

Did not complete high school	<input type="checkbox"/>
Completed matric (grade 12 or equivalent)	<input type="checkbox"/>
Completed Technical College N1 – N6	<input type="checkbox"/>
Completed university undergraduate degree (Bachelors or Honours), diploma or certificate	<input type="checkbox"/>
Completed university postgraduate degree (Masters, PhD, D.Tech etc.), diploma or certificate	<input type="checkbox"/>
Other, please state	<input type="checkbox"/>

Section B: Measurement of Corporate Community Engagement strategies used by extractive companies to engage with local communities

Item 1: To what extent is the company involved in the following community engagement issues?					
<i>On a scale of 1 to 5, please tick one option that accurately reflects the extent of engagement with local communities by extractive companies:</i>	<i>To a very large extent = 5</i>	<i>To a large extent = 4</i>	<i>Neutral/indifferent =3</i>	<i>To a lesser extent =2</i>	<i>To no extent =1</i>
1. Responsibility sharing in decision making	5	4	3	2	1
2. Frequency of communication between community and extractive company	5	4	3	2	1
3. The nature of the communication (consultative (two way communication seeking the opinion/input of other stakeholders) rather than one directional (characterised by the domination of one stakeholder in the communication))	5	4	3	2	1
4. Trust between community and company	5	4	3	2	1
5. Learning of new skills and greater awareness of other stakeholders' needs (for both firm and community)	5	4	3	2	1
6. Control of Processes (e.g. mineral extraction, land restoration etc.)	5	4	3	2	1
7. Control of benefits and impacts	5	4	3	2	1
8. Creation of local networks of community members	5	4	3	2	1
9. Setting grievance and resolution mechanisms	5	4	3	2	1
What additional information would you like to provide to explain these responses:					
Item 2: What is the value of importance you would place on these traditional elements of CCE as the extractive company engages with local communities?					
<i>On a scale of 1 to 5, please tick one option that accurately reflects the level of importance would place to these CCE elements:</i>	<i>Very important = 5</i>	<i>Important = 4</i>	<i>Neutral/indifferent =3</i>	<i>Almost important =2</i>	<i>Not important =1</i>
1. Responsibility sharing in decision making	5	4	3	2	1
2. Frequency of communication between community and extractive company	5	4	3	2	1

3. The nature of the communication (consultative (two way communication seeking the opinion/input of other stakeholders) rather than one directional (characterised by the domination of one stakeholder in the communication))	5	4	3	2	1
4. Trust between community and mine	5	4	3	2	1
5. Learning of new skills and greater awareness of other stakeholders' needs (for both firm and community)	5	4	3	2	1
6. Control of Processes (e.g. mineral extraction, land restoration etc.)	5	4	3	2	1
7. Control of benefits and impacts	5	4	3	2	1
8. Creation of local networks of community members	5	4	3	2	1
9. Setting grievance and resolution mechanisms	5	4	3	2	1

What additional information would you like to provide to explain these responses:

Item 3: How important are these partnership arrangements when engaging the community?

<i>On a scale of 1 to 5, please tick one option that accurately reflects the importance of these partnership arrangements as the company engages the community:</i>	<i>Very important = 5</i>	<i>Important = 4</i>	<i>Neutral/ indifferent =3</i>	<i>Almost important =2</i>	<i>Not important =1</i>
1. Partnering NPOs working in the community	5	4	3	2	1
2. Partnering government institutions in the area	5	4	3	2	1
3. Partnering local businesses	5	4	3	2	1
4. Partnering existing community social networks e.g. churches, clubs, etc.	5	4	3	2	1
5. Partnering existing social service providers e.g. schools, hospitals etc.	5	4	3	2	1

What additional information would you like to provide to explain these responses:

Item 4: How important are these non-partnership arrangements when engaging the community?

<i>On a scale of 1 to 5, please tick one option that accurately reflects the importance of these non-partnership arrangements as the company engages the community:</i>	<i>Very important = 5</i>	<i>Important = 4</i>	<i>Neutral/ indifferent =3</i>	<i>Almost important =2</i>	<i>Not important =1</i>
1. Directly giving out educational assistance to local children e.g. school fees, uniforms, books	5	4	3	2	1

2. Directly giving out food assistance the needy, old or vulnerable in the community	5	4	3	2	1
3. Directly giving out shelter assistance the needy, old or vulnerable in the community	5	4	3	2	1
4. Directly providing health & medical assistance to the community	5	4	3	2	1
5. Directly providing the community assistance with basic amenities such as clean water, sanitation, sewerage, etc.	5	4	3	2	1

What additional information would you like to provide to explain these responses:

Item 5: How important are donations when engaging the community?

<i>On a scale of 1 to 5, please tick one option that accurately reflects the importance of donations as the company engages the community:</i>	<i>Very important = 5</i>	<i>Important = 4</i>	<i>Neutral/ indifferent =3</i>	<i>Almost important =2</i>	<i>Not important =1</i>
1. The company helps local children with their educational needs e.g. school fees, uniforms, books etc.	5	4	3	2	1
2. The company helps the needy, old or vulnerable with food	5	4	3	2	1
3. The company helps provides health & medical assistance	5	4	3	2	1
4. The company helps with basic amenities such as clean water, sanitation, sewerage, etc.	5	4	3	2	1

What additional information would you like to provide to explain these responses:

Section C: Establishing the role played by local communities in the engagement process

Item 1: Do you agree the following are important roles of the community in the engagement process?					
<i>On a scale of 1 to 5, please tick one option that accurately reflects whether you agree or not that the following are key roles for local communities in the engagement process:</i>	<i>Strongly agree = 5</i>	<i>Agree = 4</i>	<i>Neutral/ indifferent =3</i>	<i>Disagree =2</i>	<i>Strongly disagree =1</i>
1. Identifying and prioritising their needs	5	4	3	2	1
2. Identifying the barriers to engagement	5	4	3	2	1
3. Identifying who to represent them in the engagement processes	5	4	3	2	1

4. Establishing peaceful conflict resolution mechanisms	5	4	3	2	1
What additional information would you like to provide to explain these responses:					
Item 2: To what extent do you agree that these are the broad local community needs?					
<i>On a scale of 1 to 5, please tick one option that accurately reflects the extent to which the following are important broad community needs:</i>	<i>To a very large extent = 5</i>	<i>To a large extent = 4</i>	<i>Neutral/indifferent =3</i>	<i>To a little extent =2</i>	<i>To no extent =1</i>
1. Economic needs	5	4	3	2	1
2. Social and cultural needs	5	4	3	2	1
3. Technological needs	5	4	3	2	1
4. Environmental needs	5	4	3	2	1
What additional information would you like to provide to explain these responses:					
Item 3: To what extent are these key barriers for local communities to engage with the company?					
<i>On a scale of 1 to 5, please tick one option that accurately reflects the extent to which the following factors are barriers to engagement for the local community:</i>	<i>To a very large extent = 5</i>	<i>To a large extent = 4</i>	<i>Neutral/indifferent =3</i>	<i>To a lesser extent =2</i>	<i>To no extent =1</i>
Community context	5	4	3	2	1
1. Low educational levels	5	4	3	2	1
2. Expectation/ entitlement	5	4	3	2	1
3. Complex environment	5	4	3	2	1
4. Not taking responsibilities	5	4	3	2	1
5. Community leadership issues	5	4	3	2	1
6. Missing inclusive communication	5	4	3	2	1
7. Politics and power	5	4	3	2	1
Relational issues					
8. Lack of trust	5	4	3	2	1
9. Conflict between actors	5	4	3	2	1
10. Different agendas	5	4	3	2	1
11. Difficulties in identifying stakeholders	5	4	3	2	1
12. Implementation structure	5	4	3	2	1
What additional information would you like to provide to explain these responses:					
Item 4: To what extent do you feel the following would effectively represent local communities when engaging with the company?					

<i>On a scale of 1 to 5, please tick one option that accurately reflects how you agree or not whether the following should represent local communities during CCE:</i>	<i>Strongly agree = 5</i>	<i>Agree = 4</i>	<i>Neutral/ indifferent =3</i>	<i>Disagree =2</i>	<i>Strongly disagree =1</i>
1. Traditional leaders – including chiefs,	5	4	3	2	1
2. Official leaders – i.e. those holding elected positions or working for government agencies, e.g. mayor, legislators, council members, or non-elected government officials	5	4	3	2	1
3. Business leaders – owners & managers	5	4	3	2	1
4. Opinion leaders	5	4	3	2	1
5. Hierarchical leaders – e.g. army, police, or prison services	5	4	3	2	1
6. Civic leaders –e.g. religious leaders	5	4	3	2	1
7. Connectors – i.e. people who spread ideas, messages, and social norms from place to place. They have no official capacity	5	4	3	2	1
8. Catalysts – those whom people look up to in their every-day lives for community expertise, historical perspective and wisdom. They include respected neighbours, co-workers, and lay church leaders	5	4	3	2	1
What additional information would you like to provide to explain these responses:					
Item 5: To what extent do you feel that these are key conflict resolution considerations for local communities?					
<i>On a scale of 1 to 5, please tick one option that accurately how you agree or not whether these are key conflict resolution considerations for local communities:</i>	<i>Strongly agree = 5</i>	<i>Agree = 4</i>	<i>Neutral/ indifferent =3</i>	<i>Disagree =2</i>	<i>Strongly disagree =1</i>
1. The community has preventative measures to reduce the likelihood of company-community conflict	5	4	3	2	1
2. The community has a dedicated process for handling complaints and grievances	5	4	3	2	1
3. All elements of the dispute resolution process are formally documented, including criteria for admissibility, timelines for resolution, investigation processes, joint company and community fact-finding, protocols for communicating with complainant(s), close-out and follow-up procedures,	5	4	3	2	1
4. The process reflects local preferences for dispute resolution i.e. all community members are consulted about its design	5	4	3	2	1

5. All groups within the community are aware of the process and are able to access it	5	4	3	2	1
6. The process has local community leadership support	5	4	3	2	1
7. All community leadership levels are aware of the process & actively involved in using it	5	4	3	2	1
8. There is a process for seeking to understand contributing factors to serious complaints or grievances	5	4	3	2	1
9. The community involves the company in finding collaborative solutions	5	4	3	2	1
10. If the community is unable to resolve issues, there are other trusted mechanisms or processes that disputing parties can turn to, which the community makes known to all	5	4	3	2	1
What additional information would you like to provide to explain these responses:					
Item 6: To what extent do you feel that these are important factors for implementing CCE?					
1.Context – does implementing plan take context into account	5	4	3	2	1
2. Group dynamics – has implementing plan considered group dynamics	5	4	3	2	1
3. Do company objectives specifically state the CCE activities to be conducted	5	4	3	2	1
4. Project time – does the CSR projects state time lines – when to start & end	5	4	3	2	1
5. Budget – are there project budgets – i.e. financial, human, and materials	5	4	3	2	1
6. Reinforcement elements: - has implementing plan considered <ul style="list-style-type: none"> • Strategy • Alignment • Multi-stakeholder practices • Sustainability • Results measurement and communication • Innovation • Ongoing iterative and transformational process • Communication at all levels 	5	4	3	2	1
7. Capacity: preparedness to implement	5	4	3	2	1

8. Proactive plan – are the company's CSR plans proactive to changes	5	4	3	2	1
9. Transforming knowledge into action	5	4	3	2	1
What additional information would you like to provide to explain these responses:					

Section D: Establishing the outcomes of effective CCE strategies

Item 1: To what extent do you feel that these are intended consequences of an effective CCE strategy?					
<i>On a scale of 1 to 5, please tick one option that accurately reflects the extent to which you agree or disagree:</i>	<i>To a very large extent = 5</i>	<i>To a large extent = 4</i>	<i>Neutral/indifferent =3</i>	<i>To a lesser extent =2</i>	<i>To no extent =1</i>
1. Improved stakeholder relations	5	4	3	2	1
2. Reduced conflicts	5	4	3	2	1
3. Increased sustainable socio-economic development	5	4	3	2	1
4. Improved social and environmental benefits	5	4	3	2	1
What additional information would you like to provide to explain these responses:					
Item 2: To what extent do you feel that these are unintended POSITIVE consequences of an effective CCE strategy?					
<i>On a scale of 1 to 5, please tick one option that accurately reflects the extent to which you agree or disagree:</i>	<i>To a very large extent = 5</i>	<i>To a large extent = 4</i>	<i>Neutral/indifferent =3</i>	<i>To a lesser extent =2</i>	<i>To no extent =1</i>
1. Investment centres – other businesses will begin to set up in the community	5	4	3	2	1
2. There may be increased government support – e.g. hospitals, schools etc.	5	4	3	2	1
3. Increase in general social wellbeing	5	4	3	2	1
4. Increased skills development by community members as they try to meet company requirements e.g. employment, suppliers, etc.	5	4	3	2	1
What additional information would you like to provide to explain these responses:					
Item 3: To what extent do you feel that these are unintended NEGATIVE consequences of an effective CCE strategy?					

<i>On a scale of 1 to 5, please tick one option that accurately reflects the extent to which you agree or disagree:</i>	<i>To a very large extent = 5</i>	<i>To a large extent = 4</i>	<i>Neutral/indifferent =3</i>	<i>To a lesser extent =2</i>	<i>To no extent =1</i>
1. Strain on resources as a result of population influx into the area	5	4	3	2	1
2. Growth of informal settlements around the area	5	4	3	2	1
3. Increase in social ills such as crime, prostitution etc.	5	4	3	2	1
4. Environmental impacts	5	4	3	2	1
What additional information would you like to provide to explain these responses:					

THANK YOU FOR YOUR TIME, SUPPORT

AND CO-OPERATION!!!

Annexure K: Letter from the Language Editor



One Stop Solution
24 Firenze Gardens
Warbler Road
Cotswold Ext
Port Elizabeth
6045
www.onestopsolution.co.za
26 January 2018

TO WHOM IT MAY CONCERN

I, Carol Christie, declare that I have done the language editing for the dissertation of:

JIMMY MAKONI (215144234)

entitled:

**CORPORATE COMMUNITY ENGAGEMENT FRAMEWORK FOR STAKEHOLDER
RELATIONS IN THE EXTRACTIVE SECTOR IN THE WESTERN CAPE, SOUTH
AFRICA**

Submitted in fulfilment of the requirements for the degree of Doctor of Business Administration in the Faculty of Management Sciences at the Central University of Technology, Free State.

I cannot guarantee that the changes that I have suggested have been implemented nor do I take responsibility for any other changes or additions that may have been made subsequently.

Any other queries related to the language and technical editing of this treatise may be directed to me at 076 481 8341.



Carol Christie