



MONITORING AND EVALUATION OF CORPORATE SOCIAL RESPONSIBILITY PROGRAMMES IN ZIMBABWE. A CASE OF THE MINING INDUSTRY

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PRISCILLA MUSARIWA (21143500)

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Abstract

Zimbabwe like any other developing country, invests funds in supporting the upliftment of communities and in social programmes that enhances community development. The increasing rate of unemployment and low skills level poses a threat to sustainable development. To support a strategic shift towards impactful results, organisations need constructive and efficient monitoring and evaluation, which is simple and user friendly. This can assist project managers and company managers to improve effectiveness and efficiency of Corporate Social Responsibility (CSR) programmes.

Monitoring and evaluation frameworks play a pivotal role in planning, allocating and utilising resources for optimal CSR projects. This study reviewed literature and theories within South Africa and from the international front that were significant to monitoring and evaluation and CSR. To achieve the objectives of the study, two questionnaires were administered. The first questionnaire was administered to 120 benefiting community members and the second questionnaire to 20 employees of mining companies. Structured interviews were also conducted with selected management from the CSR department of the mining companies. Focus group discussions were conducted with the benefiting community members.

Findings from the study revealed that mining companies are involved in CSR projects around the communities they operate in, however companies are facing challenges including limited financial resources and lack of participation from benefiting communities. Employee involvement in CSR and stakeholder participation, are factors that stimulate CSR implementation in Zimbabwe. Findings further revealed that there are no monitoring and evaluation guidelines to guide the companies when implementing CSR. Based on these findings, the study developed a monitoring and evaluation framework and guideline to assist and guide CSR managers on strategies that may be applied to overcome challenges associated with monitoring and evaluation and CSR implementation.

Declaration

I, Priscilla Musariwa, declare that the content of this thesis represents my own unaided work, and that the dissertation has not previously been submitted for academic examination towards any qualification. Furthermore, it represents my own opinions, ideas and not necessarily those of the Durban University of Technology. I further declare that all the sources cited or quoted are indicated and acknowledged by means of a comprehensive list of reference.

Priscilla Musariwa

Date: 08 August 2023

Approved for final submission.

Supervisor

Date: 08 August 2023

Professor R. Rampersad (DPHIL)

Co-Supervisor:

Date: 08 August 2023

Dr Nereshnee Govender (DPHIL)

Dedication

This thesis is dedicated to my beautiful children Munashe and Anashe. I also dedicate this to my dear parents Mr and Mrs Musariwa, your prayers have been answered.

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I want to give all gratitude and glory to my heavenly Father, who made this achievement possible. I thank Him for His grace, mercies, and strength that He blessed me with throughout the period of this study.

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List of acronyms

ANC:	African National Congress
ASGISA	Accelerated and Shared Growth Initiatives for South Africa
BBBEE	Broad-Based Black Economic Empowerment
BEE:	Black Economic Empowerment
BRICS:	Brazil, Russia, India, China and South Africa
CEO:	Chief Executive Officer
COSATU:	Congress of South African Trade Unions
CSI:	Corporate social investment
CSR:	Corporate social responsibility
DBE	Department of Basic Education
DTI:	Department of Trade and Industry
EEA:	Employment Equity Act
GDP:	Gross Domestic Product
GEAR:	Growth, Employment and Redistribution
HIV/AIDS:	Human Immunodeficiency Virus/ Acquired Immunodeficiency Syndrome
IODSA:	Institute of Directors Southern Africa
JSE:	Johannesburg Stock Exchange
KPI	Key Performance Indicators
KPMG	Klynveld Peat Marwick Goerdeler
M&E	Monitoring and Evaluation
OMEFP	Old Mutual Education Flagship Project
RDP:	Reconstruction and Development Programme
SAQ	Self-Administered Questionnaire
SDG	Sustainable Development Goals
SPSS:	Statistical Package for the Social Sciences
TBL	Triple Bottom Line
UN:	United Nations
Zimplats	Zimbabwe Platinum Mines
ZCDC	Zimbabwe Consolidated Diamond Company

Chapter One

Introduction and background to the study

1.1 Introduction

Corporate social responsibility (CSR) programmes have become critically important for companies world-wide. Zimbabwe, like other developing countries, is faced with multiple challenges such as inflation, unemployment, and poverty, and the lack of regulation to the mining industry in particular for sound CSR programmes causing a threat to sustainable development. This status calls for constructive and effective community development as a pillar to the economic and social growth of Zimbabwe as a nation.

The Zimbabwean mining sector plays a pivotal role in implementing community development projects to ensure the upliftment of the communities they operate in. This increases the need for sound CSR policies to ensure impactful community development projects. CSR policies guide and enable companies to work ethically, considering human rights as well as the social, economic and environmental impacts of what they do as a business. Furthermore, monitoring and evaluation can contribute to ensuring that community development programmes yield better results. Monitoring and evaluation can contribute to an organisation understanding the perceptions and expectations of key stakeholders.

Monitoring and evaluation enable project managers to improve effectiveness and efficiency of CSR programmes (Onyango 2018). Tanimoto (2019) agrees with the sentiments of Onyango and believes that monitoring and evaluation enables the organisation to learn from past practices and experiences and improves the delivery approach of CSR programmes (Tanimoto 2019). The implementation of this approach has the potential to augment an organisation's capacity to effectively involve, seek input from, and cooperate with its stakeholders. The monitoring and evaluation of CSR initiatives play a crucial role in an organisation's strategic planning and result measurement, thereby ensuring accountability to its primary stakeholders. This study

focuses on CSR programmes in the mining sector in Zimbabwe and uses Zimbabwe Platinum Mines (Zimplats) and Zimbabwe Consolidated Diamond Company (ZCDC) as case studies. These are well known mining companies in Zimbabwe and are amongst the top 10 companies that have impactful CSR projects in communities they operate in (Marinina 2019). It was therefore necessary to investigate the monitoring and evaluation of CSR programmes in the mining sector in Zimbabwe.

1.2 Context of the research

According to Singh, Holvoet, and Pandey (2018), research on CSR is more prevalent in developed countries than in developing countries. It can be contended that CSR is imperative in developing nations due to significant deficiencies in social welfare and governance. In such scenarios, enterprises located in emerging economies like Zimbabwe are subject to increased demands and anticipations to address those deficiencies. Although CSR initiatives have specific objectives, they are frequently designed and evaluated based on their financial resources. Nevertheless, relying solely on financial metrics may not be a reliable gauge of the comprehensive return on investment (Kala 2020).

To produce the best results from the CSR project, it is important to consider the monitoring and evaluation of CSR programmes to ensure stakeholder's attitudes and perceptions are prioritised for the success of projects and benefit both the organisation and the community (Tanimoto 2019). Monitoring and evaluation is important to assess the success of CSR initiatives. Research has focused on the impact of CSR on communities; however, little research focused on monitoring and evaluation of such programmes (Kala 2020). CSR facilitates the enhancement of diverse societal aspects and fosters a favourable brand reputation for companies. Meanwhile, monitoring and evaluation techniques enable the assessment of programme benefits relative to their costs and the identification of interventions with the most significant rate of return (Rampersad 2015). The present investigation centres on the surveillance and assessment of CSR initiatives in Zimbabwe, with a particular emphasis on the mining industry as an illustrative example. The aim is to evaluate the investment of the mining company on beneficiary communities, through monitoring and evaluation of the projects.

1.3 Research problem

In Zimbabwe, the mining industry has a significant impact on community growth and social provisioning. As a result of CSR's emergence as a vehicle for community development, monitoring and evaluating these programmes has proved to help businesses achieve stakeholder expectations from both an economic and social standpoint. Illicit financial transfers from underdeveloped countries to wealthier ones further deplete the country of vital resources (Hira and Basumtwi-Sam 2021). Other developing countries such as South Africa have regulations requiring listed businesses on the Johannesburg Securities Exchange (JSE) to produce codes of ethics and report on their triple bottom line (social, environmental, and financial) performance (Hira and Basumtwi-Sam 2021). The aforementioned obligation demonstrates the adherence of South African corporations to meet legal requirements and their voluntary adoption of measures aimed at enhancing the welfare of their employees and the local communities where they conduct their operations. In Zimbabwean corporate settings, social responsibility tends to be relegated to a secondary role, with primary emphasis being placed on the core business operations (Makwara, Mutambara & Magagula-Hlatjwako, 2019). In Zimbabwe, corporations are required to strategically reposition their practises to ensure their competitiveness and survival. In light of the nation's recuperation from a period of economic decline spanning over ten years, it is crucial for entities to enhance their operational efficiency and fulfil the requirements of all interested parties (Makwara et al. 2019; Mandevere 2020). In addition, the increasing pressure from stakeholders for CSR has prompted organisations to integrate the notion of CSR into their strategic plans (Katekhaye & Magdha, 2017). The process of conceiving and executing community development initiatives is a complex undertaking that presents a range of obstacles that can impede the success of such projects. In order to effectively tackle these challenges, it is recommended that organisations facilitate the participation of all stakeholders in decision-making processes related to developmental projects. This study therefore investigates the monitoring and evaluation of CSR programmes in the mining sector in Zimbabwe to understand the policies of CSR and how they can be used to influence the outcome of CSR programmes. CSR allows an organisation to be aware of its impact on all societal elements, including economic, social, and environmental

issues, and being a socially responsible organisation can help improve the image and brand of a company (Kim, Rhou, Uysal & Kwon 2017).

1.4 Aim and objectives

To evaluate the investment of mining companies in beneficiary communities, through monitoring and evaluation of CSR projects.

Objectives

To achieve this, the following objectives were deemed necessary:

- To assess the nature of CSR programmes in mining companies
- To assess the CSR policies in mining companies
- To assess the progress of the CSR projects against outputs and achievement of results, over the past ten years
- To design standard monitoring and evaluation framework to be used by Zimbabwean companies.

1.5 Research questions

Main research question: To assess whether there is successful monitoring and evaluation of CSR projects by the selected mining companies.

This study sought to answer the following sub-questions:

1. What is the nature of CSR projects in mining companies in Zimbabwe?
2. Are there policies that exist and does each company subscribe to specific guidelines by the government?
3. What is the overall progress and achievement of the project in the past five years. Do they have expected targets for monitoring and evaluation of projects?
4. What are the major bottlenecks/challenges?

5. Have there been any recommendations to increase efficiency.
6. Are there any strategies in place to improve the effectiveness of the CSR projects?

1.6 Literature Review: A brief overview

The founding principle that companies that obtain material and human resources from society are obligated to give something back in exchange brought the concept of integrating social aspects with corporate growth (Rim and Dong 2018; Fatima and Elbanna 2022). Despite the constantly debated dimensions of CSR by researchers and economists, businesses around the world are under increasing pressure to be more socially conscious and active contributors to their local and global communities (Zaman, Jain, Samara & Jamali 2022). CSR has emerged as a significant subject of discourse in both the business and academic realms in recent times. The notion of CSR has been employed in diverse manners to embody social investment, social engagement, and commendable organisational conduct within both the workplace and the community. Notwithstanding, there exists no universally recognised definition of CSR. CSR has been linked to corporate governance, a framework for measurable business policies and processes, managing relationships with stakeholders, ethical conducts, philanthropic gifts, and sponsorship of local events, as well as ethical conducts (Agudelo, Johannsdottir & Davidsdottir 2019). Corporate social responsiveness describes how businesses interact with their stakeholders and take care of the environment. CSR, on the other hand, refers to a company's moral duty to the community. As a result, responsibility and responsiveness are related (Cillo, Castellano, Lamotte, Ardito & Del Giudice 2020). The responsiveness of corporations can be fostered by public expectations of their responsibilities. Advocates of the notion of corporate social responsiveness contend that the emphasis of CSR on accountability or duty is insufficiently dynamic to characterise the willingness and actions of businesses in addressing social demands. This study focussed on CSR as it has investigated the moral obligation of organisations and their response to the demands of the community.

CSR has been associated with poverty eradication, voluntary efforts to address social issues, adherence to legal mandates, and the notion that businesses should prioritise

societal interests by assuming accountability for the effects of their operations on the communities in which they operate (Tanimoto 2019; Ali, Danish & Asrar-ul-Haq 2020). In the event that a larger segment of the population is elevated and engages in the formal economy, there exists a heightened possibility of cultivating essential competencies that are imperative for the nation, creating a more extensive consumer demographic for commodities and amenities, or mitigating the disruptive manifestations of an inequitable society, such as criminal activity and protests regarding service provision. This calls for community involvement in planning and implementation of these CSR programmes. The involvement of the community in the planning and execution of CSR initiatives is a crucial aspect. However, there exists a dearth of comprehension regarding the manner in which organisations interact with this particular stakeholder group or groups (Marinina 2019). The present research posited that Carroll's pyramid possesses the potential to serve as a theoretical framework for investigating this particular form of involvement. Carroll's pyramid will be discussed in the literature review chapter two section 2.2. Community engagement in CSR programmes encourage communities to participate in important decisions of the organisation such as monitoring and evaluation. The practice of monitoring and evaluation in the context of developmental activities offers the corporate sector an enhanced opportunity to gain insights from previous experiences, enhance the service delivery system, engage in systematic planning, optimise resource allocation, and demonstrate outcomes as a means of being accountable to key stakeholders (Rampersad 2015). The implementation of monitoring and evaluation process facilitates the prompt identification of pertinent concerns, thereby enabling the utilisation of appropriate indicators to address such issues (Singh *et al.* 2018). This approach also supports management in making informed decisions through further consultation. In the context of this study, focus is on engagement with community of place. Having said that, the purpose of this study is to investigate the monitoring and assessment of CSR in the mining sector in Zimbabwe with the intention of drawing attention to the efforts that have been made to ensure the efficacy and efficiency of CSR programmes.

1.6.1 Corporate Social Responsibility

Companies all around the world are recognising the crucial need of implementing social and community development programmes. Contemporary businesses are presently engaged in the deliberate allocation of resources towards CSR initiatives, with the aim of fulfilling their ethical and moral obligations to society, as well as augmenting their financial gains and long-term viability and creating favourable consumer attitudes (Kamal & Ali 2022; Espinoza-Ramos 2020; Gupta, Nawaz, Alfalah, Naveed, Muneer, and Ahmad 2021) Companies that successfully carry out their CSR initiatives are held in high esteem as excellent corporate citizens who contribute to a genuine change in the surrounding socio-economic environment (Sharma 2019; Bhatia and Makkar 2019). Companies that ensure monitoring and evaluation of their CSR activities stand a better chance to achieve their aim of transforming their social and economic environment. In the context of Zimbabwe, there is limited knowledge about how CSR can be measured, there is also limited support from the government and limited engagement with stakeholders, thus the CSR projects end up not delivering the desired impact. As a result, this study investigates monitoring and evaluation at two mining companies in Zimbabwe with the aim of identifying and addressing the challenges in the implementation of CSR projects and to contribute to the effectiveness and efficiency of these projects.

Although CSR initiatives have specific objectives, they are frequently designed and evaluated based on their financial resources. There exists a necessity to transition from a concentration on return on investment to a greater emphasis on the outcomes of societal initiatives, in order to facilitate a strategic shift towards achieving impactful results. Abbas, Shirazi, and Qureshi (2018) assert that the notion is substantiated and emphasise the necessity for organisations to establish a robust and cohesive monitoring and evaluation framework to accomplish this objective. The alignment of planned interventions by an organisation with the needs of people, coupled with the implementation of CSR initiatives that encourage active citizenship, can be inferred to improve the quality of monitoring and evaluation.

1.6.2 Monitoring and evaluation of CSR programmes

Monitoring is defined as a task that is performed on a periodic basis that allows results, processes, and experiences to be documented so that they can be utilised as a basis for guiding decision making and learning (Abbas *et al.* 2018). Evaluation is defined as the rational and objective examination of a programme, project, or policy that is either ongoing or has been completed, as well as the assessment of its design, implementation, and results (Tanimoto 2019). The purpose of a CSR programme evaluation is to establish whether the programme is relevant and whether it fulfils its objectives, as well as its level of development, efficiency, effectiveness, impact, and sustainability. It is easier to incorporate previously acquired knowledge into decision-making for both the organisations that are the recipients of the programme and the organisations themselves when programmes are evaluated because they provide information that is both reliable and beneficial. In general, monitoring occurs throughout project implementation and evaluation occurs during or after project execution. Continuous evaluation falls under monitoring as it focusses on the type of bottlenecks that may impede the successful implementation of the project and the course of action to be taken to put CSR implementation back on track. This study investigates the monitoring and evaluation of CSR programmes in the mining sector in Zimbabwe to understand the progress of Zimbabwe Platinum Mines (Zimplats) and Zimbabwe Consolidated Diamond Company's (ZCDC) involvement in CSR projects from 2012 - 2022.

1.6.3 CSR programmes in the mining sector of Zimbabwe

Zimbabwe is rich in natural resources which could be used for sustainable development and delivery of services. The sector accounts for about 12 percent of the country's gross domestic product (GDP), and the minister of mines claims the sector has the potential to generate US\$12 billion annually by 2023 if the government addresses challenges such as persistent power shortages, foreign currency shortages, and policy uncertainties (Zimbabwe - Country Commercial Guide 2022). Contrary to this, there is little evidence that demonstrates positive impacts of the industry to the development of local communities, alleviation of poverty and service delivery in mining communities in Zimbabwe. Institutional resources (policies, laws and organisational arrangements)

related to mining are silent on how mining companies should report on their impact on service delivery, stakeholder participation, monitoring and evaluation processes and how these issues affect sustainable development of communities (Sharma 2019). With the aim of closing this gap, this study focuses on monitoring and evaluation of CSR projects in the mining sector in Zimbabwe.

1.7 Research design

For the purpose of this study, both qualitative and quantitative methods of data collection are utilised. Quantitative research requires the collecting of data so that information may be quantified and put through statistical processing to either support or refute alternative knowledge assertions (Akcem, Guney, & Cresswell 2019). Quantitative research entails the acquisition of data, which is most frequently numerical, and the researcher frequently use mathematical models as the methodology for doing data analysis. According to Cresswell, Hinch, and Cage (2019), qualitative research is a type of social science research that collects and works with non-numerical data and that seeks to interpret the meaning from these data that help us to understand social life through the study of targeted populations or places. Within a qualitative framework, the case study approach was identified as appropriate for use in this study, and it is interpretive in character. In this study, a case study research methodology was adopted, and the Zimplats and ZCDC were the research subjects. These companies were selected because they are recognised mining companies, and they also have in-depth CSR programmes (Mining Zimbabwe 2022). Interviews were conducted with management in the CSR department and focus discussions were conducted with community members who were directly involved with the CSR projects. The qualitative approach enabled the researcher to ask open-ended questions to obtain in-depth knowledge about the state of monitoring and evaluation of CSR in the mining sector in Zimbabwe.

1.7.1 Target population

Population is defined as a group of people, event, or areas of interest with which the researcher seeks to conduct research. Target population as a group of people whom the data will be collected from and the research results will be applied to (Haven & Van

Grootel 2019). According to Zikmund (2013), the target population needs to be defined in relation to the elements that exist within it, the geographical population and time. This study targeted members of the community who directly benefits from the CSR activities of Zimplats and ZCDC mines and the employees who are directly involved in the planning and execution of CSR activities at the selected companies.

Case study companies

Prior research indicates that Zimbabwe is one of the few nations that lacks a comprehensive national code of corporate governance (Maune 2015). However, corporate governance practice in Zimbabwe is regulated by the Companies Act, Zimbabwe Stock Exchange Act, as well as rules of various other professional bodies. For example, one of the mining companies under case study, Zimplats has complied with the requirements of the Australian Stock Exchange Corporate Governance Principles and Recommendations as well as the King IV Report on Corporate Governance for South Africa (Zimplats Integrated Annual Report 2022). In addition, the company embraces the principles of sustainable development, which focus on responsible citizenship in the process of creating value for employees, shareholders and the communities in which it operates.

ZCDC adopted and implemented an Integrated Management System (IMS) in which it was certified in 2020. The IMS comprises of the following standards, ISO 45001:2018 Occupational Safety and Health Management System. ISO 14001:2015 Environmental Management ISO 9001:2015 Quality Management System (ZCDC Environmental Sustainable Governance 2022) Furthermore, the organisation has embarked on a journey to adopt and implement a more stringent standard called the Initiative for Responsible Mining Assurance (IRMA) whereupon it is subjecting itself to scrutiny by its various stakeholders. This standard is intended to ensure that customers can buy the product with confidence knowing that the diamonds are not only ethically produced, but responsibly so, for the benefit of the nation. ZCDC is fully compliant to Kimberly Process Certification Scheme (KPCS) compliant organisation. To ensure the highest standard of safety in the way assets are managed and operated, ZCDC has also embarked on the ISO 55001 Asset Care and Management Standard in order to guarantee

the efficacy of process and engineering equipment management in-line with international best practice.

1.7.2 Sampling

The process of selection known as non-probability occurs when the likelihood of choosing any one individual or subject is not equal to the probability of choosing another individual or subject. There is no way to determine either the chance of being included or the extent to which the sample is representative of the whole population. In this investigation, non-probability sampling was applied. Purposive sampling is a method that falls under the umbrella of non-probability sampling. This approach involves selecting subjects based on criteria that are already (Berndt 2020). The researcher determines the topic that will be researched and then decides to identify participants who are willing and able to take part based on their information, knowledge, and skills. With the help of the gatekeeper and community leaders, the researcher identified relevant employees and community members who were willing and able to participate. To this study, the sample included 120 members from the communities surrounding Zimplats and ZCDC and twenty employees (ten from Zimplats and ten from ZCDC) who are directly involved with CSR activities within Zimplats and ZCDC mines. According to Sekaran (2003), the determination of the sample size is based on the desired level of precision and confidence in estimating the population parameters, as well as the variability present within the population. This study evaluated the CSR projects of Zimplats in Mhondoro-Ngezi community in the Mashonaland province, and the ZCDC CSR projects in the Marange community in the Manicaland province.

1.7.3 Data collection methods

The term data collection methods pertain to the tools utilised for gathering research data from study participants. The present study will employ questionnaires and semi-structured interviews as research instruments. Welman, Kruger and Mitchel (2015) maintain that the personal method of data collection has a high response rate from participants compared to other methods. In this study, the researcher explored the views of Zimplats and ZCDC employees from the CSR department and community members

on the mine's involvement in monitoring and evaluation of CSR programmes. The researcher administered the data collection instruments to participants from both the community and CSR department employees. The utilisation of focus group discussions and semi-structured face-to-face interviews facilitated the acquisition of comprehensive and unprocessed data, as well as enabled engagement with the subjects pertaining to the subject matter under investigation (Hirose and Creswell 2023). Interviews and focus group discussions were held at "Dare" which refers to a meeting place for discussion.

1.7.4 Data analysis

Data analysis was compiled using the information provided by respondents to the surveys. After that, the researcher sought out the assistance of a statistician so that the required statistical tests could be carried out. The data analysis was conducted using the most recent version of the Statistical Package for the Social Sciences (SPSS), specifically version 20, on the Windows operating system. Since there is a requirement to discover common themes that stretch across the interviews, qualitative data was analysed using a technique called a thematic analysis. The thematic analysis is an independent qualitative descriptive method that is used to locate, investigate, and report on recurring themes or patterns within the data (Braun and Clarke 2016).

The study was feasible because the researcher lives in a community that benefits from a Zimbabwean mining companies' CSR programme. As a result, the researcher was able to access the required information and participants for this study.

1.8 Validity and reliability

The term "validity" refers to the degree to which the data obtained from an investigation are accurate and reliable (Gray, Connolly, & Brown 2019). Checking the accuracy of the findings is essential since doing so helps determine whether the results are accurate from the point of view of the investigator, the participant, and the people who will read the final research report. The researcher audio-recorded the interviews as well as the conversations that took place during the focus groups with the participants' agreement. Additionally, the researcher checked the transcripts to make sure that there were no

mistakes. After that, the information obtained from the myriad of different measurement sensors was triangulated. Ultimately, the researcher employed the method of member checking, which involves presenting the final research findings to the participants with the aim of eliciting feedback and verifying the accuracy of the results (Hirose and Creswell 2023). The concept of reliability pertains to the extent of concurrence or uniformity in which the instrument gauges the attributes that it is designed to assess (Wiid and Diggines 2009; Haven and Van Grootel 2019). The audit trail will serve to assure reliability as it provides a foundation for performing retrospective analyses during the course of the study's execution. The internal validity and reliability of the data that was collected was ensured by the format of the questionnaire and the rigorous nature of the pre-testing. Data was processed with precision and uniformity throughout the process. The researcher took measures to ensure that the respondents understood the questions in the same way the researcher had meant them to be understood, and that the researcher would decode the participant's answers in the same way the respondent had intended them to be decoded. Rigorous standards for ensuring the trustworthiness of qualitative research were used which include credibility, dependability, confirmability, and transferability (Lincoln and Guba 1985).

1.9 Limitations

The scope of the study is limited to mining sector's CSR programmes. It is understood that other sectors might not have similar responses.

1.10 Ethical considerations

Ethics are essential to research, and the researcher made sure that all essential aspects of ethics were considered by employing the criteria that has been agreed upon by all parties (Suri 2020). The researcher took into consideration the potential ethical challenges that could occur during the data collection process and put into action measures that will protect the participants' safety, privacy, and confidentiality. Protecting research participants, maintaining participant anonymity, and respecting participant privacy will all serve to bolster the study's commitment to ethical research standards. Additionally, the researcher adhered to principles for proper research

methods, such as obtaining participants' informed consent, maintaining confidentiality and privacy, safeguarding data, and preventing harm for participants. To proceed with this study, permission was first secured. For Zimplats mine, permission was requested and granted by the community development manager who is responsible for all CSR projects. For ZCDC, permission was requested and granted by one of the directors in the company. The researcher obtained ethical approval from the Faculty of Management Sciences Ethics Committee at the Durban University of Technology.

1.11 Contribution of the study

The study's results make a valuable contribution to the existing body of literature concerning the monitoring and evaluation of CSR initiatives within Zimbabwe's mining industry. Most literature on CSR and monitoring and evaluation in developing countries tend to discuss the concepts from a singular perspective. This study postulates that monitoring and evaluation is a necessary requirement for the successful implementation of CSR. This study further contributes to the body of knowledge with regard to monitoring and evaluation of CSR and would assist the mining sector in ensuring that their policies are in line with international standards.

1.12 Structure of dissertation

Chapter One: The current chapter provides an overview of the research focus by presenting the introduction, background, problem statement, and research aim and objectives. This section provides a succinct overview of CSR in the mining industry of Zimbabwe, highlighting the importance of monitoring and evaluation in augmenting the efficacy of community development initiatives undertaken by companies.

Chapter Two: This chapter presents literature on CSR programmes in the mining sector of Zimbabwe. This chapter defines CSR and details the issue of CSR in the mining industry in South Africa. The study however uses the South African context to unpack CSR concepts due to Zimbabwe's limited resources to research on CSR (Makwara *et al.* 2019). In addition, South Africa was selected as it shares related economic and social ideologies to Zimbabwe. Although limited literature is noted, this section discusses the

government policies that govern CSR in Zimbabwe. In addition, the chapter describes CSR in the mining industry and sustainability in the same industry. This section also details the South African Government's stance on CSR and the challenges faced by the mining sector when implementing CSR projects.

Chapter Three: This chapter describes the theories underpinning CSR. Three main theories are discussed including stakeholder theory, institutional theory and legitimacy theory. The analysis of these theories makes it possible for a corporation's managers and decision makers to implement long term social and environmental strategies with more accurate achievements.

Chapter Four: This chapter is a continuation of the literature review and focuses specifically on monitoring and evaluation frameworks for CSR programmes. This chapter introduces the evolution of CSR under the King Report. The chapter also describes the levels of measurement to track outcomes of community initiatives and ways of tracking outcomes of social investment. The chapter examines three case studies for best practice for CSR in South Africa and best practice for monitoring and evaluation.

Chapter Five: This chapter detailed the research methodology and design that was used in this study. In doing so, the chapter details the quantitative and qualitative research design. Data collection instruments including questionnaires and interviews will be discussed in this chapter. The sampling procedure and targeted population will also be explained in detail. Data analysis strategies and ethical consideration will also be unpacked.

Chapter Six: This chapter offers the presentation and analysis of data. It will present the results from both the questionnaire and the interviews. The latest version of SPSS was used to analyse quantitative data while qualitative data was analysed using thematic analysis. For qualitative data, coding was done first and then themes were identified from the coded data. The chapter also interpreted the data using literature review insights.

Chapter Seven: Conclusions and recommendations

This chapter provides the summary of the study. This chapter also presents the recommendations based on the participant's experiences and the data collected.

1.13 Potential outputs

Articles will be published from this study. Findings will be presented at local and international conferences. In addition, mining companies can use the findings for monitoring and evaluation of their CSR projects.

Chapter Two

An Overview of Corporate Social Responsibility in South Africa

2.1 Introduction

Corporate Social Responsibility (CSR) and sustainable development are multifaceted and globally relevant concepts that hold significant importance for businesses worldwide. It is widely believed that CSR is primarily observed in Western countries, particularly those with globally-oriented corporations, democratic political systems, and vibrant civil society organisations (Ahmad et al., 2022; Aust et al. 2018). The notion of CSR has garnered attention from people all over the world, helping companies achieve global recognition and importance as a means of broadening an organisation's focus beyond its profit line and improving the lives of communities. Over the course of the last several years, there has been a steady increase in the amount of pressure placed on the global business environment to both act and acknowledge the social and environmental responsibilities that the company has. This has led to a growing interest in the question of whether the adoption of CSR disclosure and strategies by organisations that actively support sustainable economic, social, and environmental development can play a key role in the generation of competitive advantage and organisational value. Specifically, this interest has been spurred on by the question of whether organisations that actively support sustainable economic, social, and environmental development can play a key role in the generation of the business' competitive advantage.

There is a growing trend among companies to prioritise engagement in CSR endeavours. The mining industry's role in promoting sustainable development has been subject to scrutiny due to its significant consumption of natural resources, including electricity and paper, as well as its generation of waste materials (Sampong et al. 2018). CSR initiatives are a means of making direct or indirect contributions towards the sustainable development of a society. Siueia and Wang (2019) assert that the mining industry plays a crucial role in a nation's economic advancement, and it is imperative

for mine managers to adopt sustainable practises that prioritise environmental conservation over shareholder profits. CSR, corporate social investment (CSI), community involvement, community development, and social responsibility are crucial factors that contribute to enhancing the well-being of individuals and the natural environment. As a result, they play a pivotal role in promoting sustainable and inclusive economic growth (Shao, Janssens & Greenwood 2020; Song & Dong 2022). In order to achieve desired outcomes, it is imperative to monitor and evaluate projects to ensure that they are meeting their intended objectives. This study is centred on the monitoring and evaluation of CSR in two mining companies located in Zimbabwe, with the aim of attaining the intended outcomes of CSR.

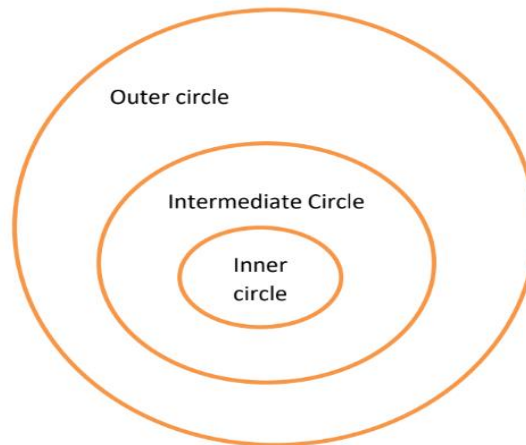
2.2 Evolution of corporate social responsibility

CSR has evolved from a limited and inconsequential notion to a comprehensive, meaningful, and multifaceted concept (Stutz 2021). This section offers a comprehensive overview of the evolution and comprehension of CSR with the aim of elucidating its origins and the subsequent modifications that have occurred throughout its history. CSR originated as a conventional approach where a company solely engages in philanthropic activities that may not necessarily align with its operational practices. In this form of CSR and in seminal research presented by Spencer (1979), companies did not consider the perspectives of stakeholders other than their shareholders (Spencer 1979). The determinants of this form of CSR encompassed factors such as corporate reputation and societal approval (Carroll 2008). CSR has undergone significant transformation over the years and is currently regarded as a modern approach, where companies perceive responsible conduct as a strategy to enhance profitability while prioritising the societal demands of their operational environment (Phillips, Schrempf-Stirling & Stutz 2020). The following is a chronological account of the evolution of the subject matter.

During the 1960s, scholars formulated definitions of CSR that emphasised the notion that businesses must take into account the welfare of society in addition to their economic decisions (Carroll 2008). During the period spanning from the 1960s to the 1970s, the stakeholder approach was introduced. This approach posits that, in addition to pursuing increased profits for shareholders, corporations should also take into

account the interests of various other parties, including employees, suppliers, dealers, local communities, and the broader nation (Moura-Leite & Padgett 2011). The topic of CSR was significantly advanced by the Committee for Economic Development through their development of the concept of three concentric circles of CSR.

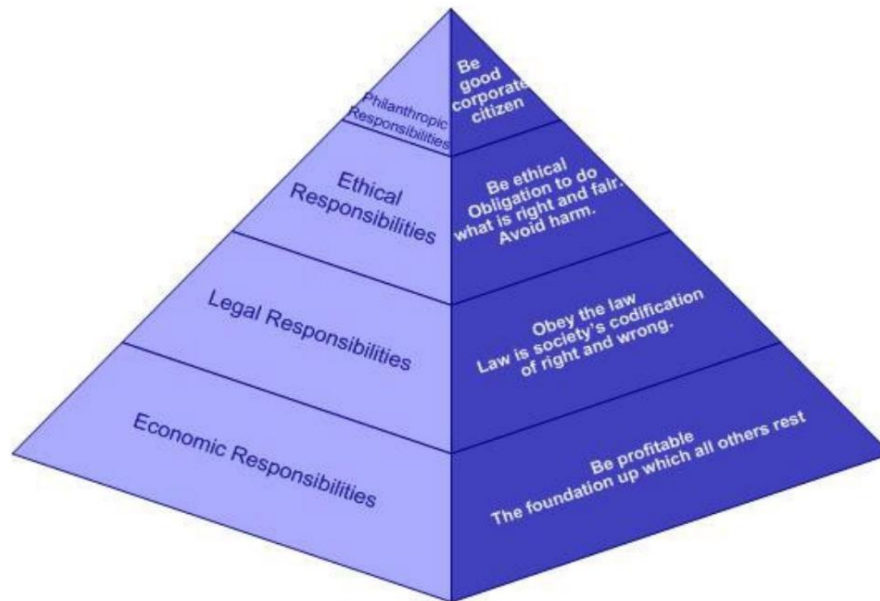
Figure 2.1 Concentric circles of CSR



Source: Committee for Economic Development (1971)

The inner circle pertains to duties that have a direct impact on the economic operations of a business, encompassing the provision of goods and services, employment opportunities, and the promotion of economic expansion (Mandeverre 2020). The intermediate circle pertains to the duties that demonstrate a business's attentiveness to the evolving social values and priorities while carrying out its inner circle obligations. The outer circle pertains to duties that enhance the societal milieu, such as the mitigation of poverty (Carroll 2008). The consensus was reached that the responsibility of attaining a sustainable environment lies with corporations and other relevant stakeholders. The concept of CSR has witnessed a proliferation of themes and theoretical contributions in the 21st century (Moura-Leite & Padgett 2011). Additional areas of interest include Corporate Social Performance (CSP), sustainability, and corporate citizenship (Carroll 2008). Schwartz and Carroll (2003) proposed a modification of concentric circles of CSR to Carroll's four-fold categorisation of CSR.

Figure 2.2: Carroll's CSR pyramid



Source: Carroll (1991)

2.2.1 Economic responsibility

The economic responsibilities that individuals and organisations have refer to their obligations to manage financial resources in a manner that is ethical, sustainable, and effective (Sheehy 2015). These responsibilities encompass a range of activities, including budgeting, investing, and managing debt, among others. Effective management of economic responsibilities is crucial for achieving long-term financial stability and success (Phillips *et al.* 2020). The provision of goods and services that are deemed necessary by society is regarded as a social obligation of businesses (Agudelo *et al.* 2019). In order to provide these goods or services, it is necessary for the organisations to do so at a profitable margin. The generation of profits is crucial for the sustenance and expansion of a business, as these profits can be reinvested into the business (Carroll 2016). The economic aspect of a business is fundamental to its survival, as profitability is a foundational element. This notion of profit maximization is widely acknowledged, yet there are additional responsibilities that businesses must undertake beyond the pursuit of profit (Sheehy 2015).

2.2.2 Legal responsibility

Legal responsibilities pertain to an individual or entity's obligations under the law. In the context of business operations, it is expected that the entity adheres to the fundamental guidelines, namely the laws and regulations, as set forth by society. To conduct business operations, it is necessary for organisations to comply with the laws and regulations that govern their industry (Moura-Leite & Padgett 2011). The legal obligations of a business involve adhering to governmental expectations, complying with both local and federal laws, ensuring that goods meet the minimum government requirements, and fulfilling responsibilities to societal stakeholders (Carroll 2016).

2.2.3 Ethical Responsibility

The ethical obligations that individuals or organisations have towards society, including but not limited to the duty to act in a morally responsible manner and to avoid causing harm to others. The ethical dimension of a business entails a commitment to pursuing actions that are morally upright, equitable, and impartial, beyond the mere adherence to economic and legal requirements (Mandeverere 2020). The concept of ethical responsibilities entails that businesses are obligated to adhere to the societal norms, standards, beliefs, and practices, even in the absence of legal mandates (Stutz 2021; Carroll 2016). The organisation is accountable to a comprehensive set of regulations, benchmarks, ethics, beliefs, and anticipations that mirror and uphold what stakeholders, including consumers, employees, owners, and the community, perceive as congruent with safeguarding their ethical entitlements (Carroll 2008). Whilst the distinction between legal and ethical responsibilities may be subtle, it is important to acknowledge that legal responsibilities are mandated by society, whereas ethical responsibilities are anticipated by society (Sheehy 2015).

2.2.4 Philanthropic responsibility

The concept of philanthropic responsibilities refers to the ethical obligation of individuals and organisations to engage in charitable activities and contribute to the betterment of society. This notion is grounded in the belief that those who have been

fortunate enough to accumulate wealth and resources have a moral duty to give back to their communities and support those in need (Wilson 1958). Philanthropic responsibilities are often viewed as a complement to legal and economic responsibilities and are seen to promote social welfare and address issues that may not be adequately addressed by government or market forces (Phillips *et al.* 2020). The philanthropic sector pertains to the allocation of resources towards fulfilling the social, recreational, and cultural requirements of a given community. The philanthropic duties are considered aspirational rather than mandatory in terms of moral obligations, (Wilson 1958; Carroll 2016). CSR is widely accepted across various countries and cultures, albeit with varying implementation approaches (Sheehy 2015). Carroll's pyramid posits that economic responsibilities constitute the foundation, followed by legal obligations, ethical considerations, and finally, philanthropic pursuits (Carroll 2008). To fulfil its obligations, a business must first satisfy the foundational responsibilities before progressing to subsequent tiers. The fundamental basis for all other responsibilities is the economic responsibilities.

2.3 Defining corporate social responsibility

The phrase corporate social responsibilities are often used interchangeably with terms such as social responsibility, corporate responsibility, corporate social and environmental responsibility, corporate citizenship, company stakeholder responsibility and corporate sustainability management. In addition, CSR has frequently been linked to concepts such as sustainable development, the triple bottom line, strategic philanthropy, corporate ethics, and corporate governance. Due to these diverse origins, definitions have centred on the idea that CSR is essentially sustainable development for business, whereby businesses voluntarily achieve a balance of economic, environmental, and social dimensions, or the so-called triple bottom line approach (Rim and Dong 2018).

CSR and Corporate Social Investment are frequently utilised as synonyms. According to Trialogue, CSR is a comprehensive value-driven framework that encompasses all social aspects of business operations (Triologue 2023). It ensures that a company engages in responsible and ethical manufacturing of its products and conducts its

business in a socially responsible manner. CSI is a component of CSR that pertains to a corporation's monetary and non-monetary contributions, beyond its core business activities, aimed at promoting social welfare and uplifting underprivileged communities and individuals (Trialogue 2023).

CSI exhibits a strategic philanthropic approach that prioritises partnerships to attain quantifiable and targeted societal benefits. The Broad-Based Black Economic Empowerment Act of 2007 stipulates that a company's Corporate Social Investment contribution must be a minimum of 1% of its net profit after taxes (NPAT), as per the Codes of Good Practice (Thomas 2014). This requirement is legally binding.

Although CSI initiatives are not implemented independently of other CSR considerations, they represent a single approach through which corporations meet their social responsibility commitments (Ackers and Grobbelaar 2021). Consequently, CSI constitutes merely a component of the wider CSR framework. However, in the context of South Africa, Corporate Social Investment has emerged as a significant component of this agenda. The transformation of CSI from a spontaneous act of charitable giving to a deliberate and calculated business concern is evident (Rampersad 2015).

The available literature suggests that the definitions of CSR are grounded in two fundamental concepts. One of the key tenets of contemporary business ethics is that corporations have obligations that go beyond mere profit maximisation. The second is that organisations need to be aware of social values and contributing to the social environment along with their economic obligations (Gallardo-Vázquez and Lizcano-Ivarez 2020). Song and Dong (2022) argue that CSR involves a company's acknowledgement and addressing of issues that extend beyond the basic requirements of economics, technology, and legal frameworks, with the aim of achieving social benefits. Shao, Janssens, and Greenwood (2020) explicate that CSR is a strategic approach that enables organisations to integrate societal expectations, including economic, legal, ethical, and discretionary considerations. Moreover, CSR is a notion whereby organisations proactively incorporate social and environmental considerations into their business practises and their engagement with stakeholders (Espinoza-Ramos 2020). This definition is commonly employed to substantiate this concept. This involves

not only complying with one's legal obligations, but also embracing wider social, environmental, and economic objectives (Ahmad et al. 2022). When viewed from its broadest vantage point, CSR involves how an organisation, as well as the services and products it offers, interacts with society and the environment (Olsen 2020). As a result, the implementation of ethical business practises can enhance the standard of living and expand the range of prospects for individuals, while simultaneously demonstrating reverence for and safeguarding the natural ecosystem. Within the framework of CSR, the implementation of sophisticated human resource management strategies, environmental awareness, philanthropic endeavours, the creation of socially responsible products, and the promotion of local commerce are all significant considerations (Gatti, Seele, & Rademacher 2019). In addition, the concept encompasses various examples such as stakeholder engagement, responsible supply chain management, ethical leadership, among others (Aust 2022). In addition to this, organisations have a responsibility to empower individuals and invest in the communities in which they do business. This does not only ensure the ongoing improvement in living standards for the community, but it also guarantees the continuous support of the business by the community and maximisation of profits in the long run.

Apart from being responsible to the economy and environment, there is increasing emphasis on the responsibilities of companies not only to their shareholders but to a broader group of stakeholders (Song and Dong 2022). The adoption of ethical business practises can lead to an improvement in the quality of life and an increase in opportunities for individuals. Additionally, such practises demonstrate respect for and protection of the natural environment. In the context of CSR, the adoption of advanced human resource management tactics, environmental consciousness, charitable initiatives, the development of socially responsible goods, and the support of regional commerce are all noteworthy factors.

The overarching objective of social responsibility is to enhance living standards while maintaining the profitability of the organisation, for individuals both within and beyond the organisation (Fatima and Elbanna 2022). In addition, socially responsible companies tend to experience tax benefits especially in developing countries including South Africa. In sub-Saharan countries there is no legal requirements for companies to

contribute to the communities they operate in unlike other western countries. The following section discusses CSR, corporate reputation and brand equity.

2.3.1 Corporate Social Responsibility, Corporate Reputation and Brand Equity

According to Jones (2005) daisy-wheel model of brand equity, the degree of brand equity is positively associated with the extent to which the expectations of its stakeholders are fulfilled. The demand for socially responsible behaviour is considered to be of utmost importance. CSR has been employed as a strategic instrument by various stakeholders, including non-governmental organisations (NGOs), consumers, and the media, to fulfil their objectives (Wang, Liao, Wu & Le 2021). Hence, the CSR initiatives and corporate image of an organisation play a pivotal role in fostering equity by augmenting stakeholders' perceptions of its superior brand. According to Martínez and Nishiyama (2019), stakeholders are more likely to value an organisation if its identity aligns with their own worldview. In addition to their service experience, stakeholders frequently associate themselves with a brand's CSR endeavours aimed at the wider community. The perception of a company's CSR actions has a positive impact on stakeholders who exhibit sensitivity towards social issues (Sharma & Jain 2019).

CSR initiatives serve as an indication that the organisation in question has enhanced its capabilities to produce top-notch products or services. The findings of Hur et al. (2014) research indicate that CSR is positively associated with a company's brand equity. Consequently, CSR enjoys a favourable standing among entities of varying magnitudes. Adherence to CSR guidelines is imperative for businesses to remain competitive and uphold a favourable image, particularly in a digitally interconnected world. CSR has become increasingly vital to businesses and their stakeholders due to the volatile nature of brand equity, which can fluctuate rapidly (Cowan & Guzman 2020). In contemporary times, an organisation's success or failure is contingent upon the influence wielded by its customers, employees, and other stakeholders. According to Diallo, Ben Dahmane Mouelhi, Gadekar, and Schill (2021), communities are presently regarded as a crucial stakeholder group by all organisations. The augmentation of a socially responsible organisation's brand worth and future profitability, as well as its goodwill, is facilitated by the reinforcement of communities. CSR initiatives are a means by which businesses

can enhance their reputation, thereby influencing their brand equity. CSR initiatives surpass the minimum legal obligations, indicating that the enterprise is concerned with matters beyond financial gains.

2.3.2 Corporate Social Responsibility and Stakeholder engagement

Stakeholder engagement can be defined as the set of strategies that an organisation employs to effectively involve interested parties in its operational activities (Amoako 2017). This section aims to explicate the procedural aspects of establishing, enhancing, and sustaining relationships with stakeholders. The stakeholder elements may encompass the acknowledgement, consultation, cooperation, discussion, and engagement of relevant stakeholders (Andrews, Andrews, & Yurova 2019). In contemporary times, the ISO 26000 guidelines pertaining to social responsibility have recognised stakeholder engagement as a comprehensive set of measures aimed at creating favourable circumstances for interaction between an organisation and one or more of its concerned parties. The primary objective of such measures is to establish a robust foundation for the organisation's decision-making processes (Del Baldo & Aureli 2019).

To encapsulate, the rationale for the utilisation of the term engagement' in the literature pertaining to the stakeholder concept and CSR is to emphasise that businesses must go beyond mere communication with stakeholders. Establishing a positive relationship with stakeholders is a crucial aspect of effective business operations (Aggarwal and Singh 2019). Engagement can be conceptualised as a mechanism for accomplishing a variety of objectives, including but not limited to consensus-building, exertion of influence, cooperative efforts, openness, and involvement. It can serve as a means of strengthening reliance or as a substitute for genuine trust, as a forum for promoting equity or as a framework for corporate administration (Boadi, He, Darko, & Abrokwah 2018; Mensah, Agyapong, & Oteng-Abayie 2017).

In an ideal scenario, the involvement of stakeholders ought to be perceived as a mutually advantageous and cooperative agreement that embodies a moral partnership of equals (Adongo, Kim, & Elliot 2019). Several economic and behavioural perspectives provide

additional insights for examining the autonomy present in these partnerships within this context (Rendtorff, Adams, Balfour, Althammer, Andersen & Andersen 2018). Ansong (2017) argues that stakeholder engagement is morally neutral, as evidenced by an analysis of various theoretical frameworks such as corporate ethics, social accounting and reporting, and personnel management, which offer different potential interpretations of this concept. Consequently, the task can be executed in a manner that adheres to ethical standards or in a manner that violates moral principles. The purpose of a pursued engagement in business culture is ultimately determined by the value of the stakeholder involved. Hence, it is noteworthy that stakeholder engagement does not necessarily align with responsible corporate conduct (Mohammed, Xiao, and Hilton 2019). Hence, the assertion that stakeholder engagement is synonymous with corporate accountability to stakeholders is overly simplistic.

The primary aim of engaging with corporate stakeholders is to cultivate connections with them in order to gain a thorough understanding of their viewpoints and apprehensions regarding pertinent matters. Subsequently, these perspectives and concerns are considered, as appropriate and judicious, when devising the company's corporate strategy (Panda & Barik 2014). Stakeholder engagement refers to the various formal and informal methods employed by a company to maintain its connection with its stakeholders (Shnayder, van Rijnsoever, and Hekkert 2016). The literature provides clear evidence that stakeholder engagement plays a critical role in CSR, as demonstrated by Park et al. (2014).

Boadi, He, Bosompem, Say, and Boadi (2019) conducted a study that examined the methodology, extent, rationale, and consequences of stakeholder engagement in the management of CSR. The findings suggest that the complete autonomy of CSR and involvement of stakeholders may diminish their strategic impact and sustainability. To mitigate this issue, it is imperative to establish a mechanism that can enhance the informed participation of relevant stakeholders and encourage the adoption of feasible CSR measures.

According to the findings of Osei-Kojo and Andrews (2020), the level of commitment observed in CSR initiatives appears to be overly controlled and lacking in authenticity.

Additionally, the stakeholder engagement process needs improvement in order to ensure that stakeholders are adequately informed and involved in a balanced manner, and to facilitate the ongoing development of CSR initiatives.

In contrast, Abugre and Anlesinya (2020) conducted a quantitative research study to examine the relationship between CSR and small business stakeholders. The findings of this study indicate that small businesses have a noteworthy group of stakeholders in the local community, whose involvement in the enterprise is often multifaceted and extensive. According to Khan, Muttakin, and Siddiqui's (2013) study, there were no significant differences in the levels of engagement among employees who were exposed to external and internal CSR strategies.

2.4 An international overview of corporate social responsibility

This section reflects and reviews existing literature on CSR implementation from countries outside Africa. There is growing public concern that private corporations exist only to make a profit, however, it is important for them to combine business and ethics for the benefit of the organisation and its stakeholders. Yasir et al (2021) observe that developed nations exhibit a discrepancy between their level of dedication and their management strategies concerning labour standards, environmental protection, human rights, and anti-corruption measures. In developed nations, conducting business without practising CSR is no longer an option. It is no longer limited to charitable events, gifts, or doing good on a superficial level for the media but is instead increasingly integrated into the fundamental plans and corporate beliefs of organisations (Sampong et al. 2018). CSR represents the goal and message of the organisation, which is especially significant in today's world, when companies compete not just on product quality but also on public relations and media management. CSR reflects the organisation's mission and message. In the cutthroat economic environment of industrialised countries, companies need to create dependable and long-term strategies for winning new customers and keeping the ones they already have (Gupta *et al.* 2021). The most pressing problem that developed nations need to address is how to better control and lessen their contribution to global environmental degradation (Sharma 2019). As a direct consequence of this, there is a growing amount of pressure being put on businesses to quantify and publish their

environmental footprints, in addition to making their manufacturing processes greener and more ecologically friendly. The automotive industry in Germany has come under increased scrutiny as a result of rising concerns regarding the possibility of diesel vehicle bans in cities, which have been sparked by carbon dioxide emissions and the excessive exploitation of fossil fuels. This has prompted businesses like BMW to engage in responsible CSR efforts (BMW Group 2018). Since 2006, the BMW Group has decreased the amount of energy that is consumed by each vehicle that it produces by 55%. In addition, 99 percent of the waste generated during annual production is reused or recycled. The BMW Group has set a goal to cut CO2 emissions from its supply chain by 20% per vehicle by the year 2030. Businesses that are more conscious of their impact on the natural world tend to have stronger financial results (BMW Group 2018).

People-powered programmes, often known as CSR in industrialised nations, tend to focus on social responsibility through elevating neglected or discriminated elements of society. This highlights that it is not only about elevating neglected societies, but also in involving community members in planning and executing CSR programmes. Thus, this study emphasises the importance of monitoring and evaluating CSR programmes to make sure both the organisation and the community benefit from these projects.

To cultivate a compassionate brand identity in the eyes of the public, companies are progressively leveraging emotional and philanthropic dimensions of human behaviour. CSR and corporate image have been discussed in section 2.3.1 and CSR and stakeholder engagement has been discussed in section 2.3.2 Google's campaign included people by involving them from the planning and implementation to the evaluation of these programmes. Linshi (2014) highlights Google's Fight Ebola Campaign as a noteworthy instance of targeting individuals directly. Google made a commitment to provide a matching donation of \$2 for every dollar contributed by its users. The organisation has attained its maximum threshold of \$7.5 million, comprising of \$5 million from Google and \$2.5 million from benefactors. Numerous brands effectively utilise direct public engagement via social media as a component of their CSR endeavours.

An additional example of this phenomenon is the "Ice Bucket Challenge," which was instigated by the Myotrophic Lateral Sclerosis Association (MLSA) with the objective

of augmenting cognizance of amyotrophic lateral sclerosis (ALS) and amassing contributions to finance ALS research. The successful outcome of CSR initiatives was made evident through a concrete accomplishment, which was made possible by the endorsement of individuals on various social media platforms. The ALS Ice Bucket Challenge, commonly referred to as the Ice Bucket Challenge, is a campaign aimed at promoting awareness of amyotrophic lateral sclerosis (ALS) by means of pouring a bucket of ice water over an individual's head. The activity can be carried out by the individual themselves or by another person, with the goal of encouraging donations towards further research on the disease. The objective of the challenge is to raise awareness about the ailment and to motivate individuals to donate funds towards advancing research. The identified examples above reveal that CSR programmes in industrialised countries enjoy considerable public support and, if carried out well, have the potential to bring major advantages to businesses. As a result of an increased awareness of CSR among the general population, society has become more cautious. This phenomenon is particularly obvious in industrialised countries, while it is also visible in wealthy developing countries at the same time. People living in nations that have undergone industrialisation are becoming more aware that companies have a moral and ethical commitment to the people and society that they serve. The ubiquitous availability of the internet and immediate connectivity provided by social media both contribute to an increase in public knowledge and an intensification of public outrage directed against failing enterprises.

This section provided some international perspectives of CSR, specifically CSR in developed countries. The following section will discuss the global CSR reporting mechanism.

2.5 International regulatory policy frameworks for corporate social responsibility

The mining industry is witnessing a growing need for the reorganisation and augmentation of CSR, as per the findings of Agudelo, Jóhannsdóttir, and Davídsdóttir (2019). The importance of this matter has been underscored by the increased scrutiny and adoption of sustainable development practises aimed at improving both society and the environment (Halkos & Nomikos, 2021). Currently, sustainable development is

integrated into virtually all initiatives aimed at improving human well-being and preserving the environment. According to Bux, Zhang, and Ahmad (2020), promoting the implementation of regulatory frameworks for CSR within the mining sector can enhance sustainable development. The presence of diverse worldwide standards and regulations ensures the execution of sustainable practises in the mining industry via substantial CSR endeavours (Matten & Moon 2020). Tamvada (2020) asserts that there exist multiple standards and regulations that are designed to regulate CSR. Several initiatives have been established to promote CSR in the extractive industry. These initiatives include the United Nations Global Compact, the Extractive Industry Transparency Initiatives, the Global Reporting Initiative, the International Standards Organisation system, and the Responsible Mining Index (RMI), which is presently in the developmental phase.

2.5.1 The United Nations Global Compact

United Nations global compact is a voluntary initiative that encourages businesses and organisations to adopt sustainable and socially responsible policies and practices (Tsalis, Malamateniou, Koulouriotis & Nikolaou 2020). The United Nations Global Compact is a worldwide endeavour that espouses principles that, if effectively implemented by nations, can be regarded as CSR frameworks due to their emphasis on human rights, optimal labour practices, and environmental preservation (Michalczyk & Konarzewska 2020). The primary objective of the United Nations Global Compact initiative is to enhance the advantages of development by means of corporate policies and actions (Abu Al-Haija, Kolsi & Kolsi 2021). The United Nations Global Compact requires companies to adopt, endorse, and implement the universally recognised principles in the domains of human rights, labour, environment, and anti-corruption (UNGC 2010: 40) within their scope of influence.

It is suggested that mining corporations, such as Zimplats and ZCDC, should utilise the principles of the United Nations Global Compact within their operational framework (Tembo 2018). The principles, while not encompassing the financial gain of stakeholders, offer corporations a set of directives to enhance their CSR involvement within their operational contexts. The UNGC's core stipulations, which include

respecting human rights, the environment, fair labour practices, and anti-corruption measures, can also be utilised by mining communities in Zimbabwe. However, the UNGC has been subject to criticism for disregarding the economic interests of stakeholders (Michalczyk & Konarzewska 2020). Additionally, it has been noted that organisations are able to become members without undergoing adequate monitoring or assessment, which has been a point of contention among scholars (Abu Al-Haija, Kolsi & Kolsi 2021). It is possible for organisations to become members of the UNGC without adhering to the fundamental values and principles that the organisation upholds. This phenomenon is commonly referred to as blue-washing (Tembo 2018). The impact of UNGC corporate membership on the mining sector's behaviour and its subsequent effect on socio-environmental conditions remains uncertain. The document in question lacks specific principles pertaining to the mining industry, such as those outlined in the Extractive Industry Transparency Initiative.

2.5.2 The Extractive Industries Transparency Initiative

Extractive Industries Transparency Initiative is a global standard that promotes transparency and accountability in the extractive sector. The Extractive Industries Transparency Initiative operates in conjunction with other CSR standards and aims to promote openness in the allocation of funds derived from the extractive industry by both organisations and the government (Lopez & Fontaine 2019). The utilisation of mining proceeds is a highly disputed matter within the extractive sector (Murombo 2022). The formulation of policies that effectively ensure the meaningful distribution of mineral proceeds among all stakeholders can become a source of contention for both corporate entities and governmental bodies (Tembo 2018). Amidst the difficulties arising from insufficient or unenforced policies that serve the interests of mining participants in Zimbabwe, the Extractive Industries Transparency Initiative possesses the potential to address the deficiencies of given policies through the lens of CSR in the mining industry.

The implementation of a policy regulatory framework for Zimplats and ZCDC in Zimbabwe may consider the Extractive Industries Transparency Initiative principle, which emphasizes the significance of utilising natural resource wealth in a responsible

manner to promote sustainable economic growth and development (Murombo 2022). Notwithstanding its imperfections, the mining industry in Zimbabwe has the potential to embrace the principles of the Extractive Industries Transparency Initiative, which acknowledge the capacity of both organisations and governments to utilise mining as a means of achieving sustainable development and poverty reduction. The implementation of transparency and accountability measures in mining communities is crucial for ensuring that mining corporations are disclosing their proceeds and activities related to mining and are held accountable for their actions within their respective mining areas (Oppong & Andrews 2020). It is possible to argue that Zimbabwe and the mines operating in Zimbabwe can ratify and implement the proposals and policies of the Extractive Industries Transparency Initiative through the Zimbabwe Mining Revenue Transparency Initiative by incorporating them into the appropriate mining legislation. This would promote accountability and transparency among all stakeholders involved, as noted by various sources (Tembo 2018; Murombo 2022).

2.5.3 The Global Reporting Initiative

This is an additional CSR standard that prioritises transparency and accountability. The Global Reporting Initiative is a widely recognised framework for sustainability reporting that provides guidelines for organisations to disclose their economic, environmental, and social impacts (Laing, Upadhyay, Mohan & Subramanian 2019). Global Reporting Initiative is a set of guidelines that is centred on sustainable reporting in the business sector (Ruokonen 2020). The implementation of the Global Reporting Initiative framework facilitates the precise completion of sustainable reports by corporations and allows them to conduct comparative analyses with their industry peers (Diaz-Becerra, Leon-Chavarri & Ampuero-Alfaro 2021). The practice of sustainable reporting provides a framework for impartial and equitable reporting of an organisation's performance (Nhavira 2019). As per the guidelines set by the Global Reporting Initiative, a Sustainability Report is a comprehensive document that outlines an organisation's economic, environmental, and social impacts (Laing *et al.* 2019). The initiative aims to provide an equitable representation of both favourable and unfavourable contributions to the organisation's overall performance (Wilson, 2022). The sustainable report should align with the organisation's commitment, strategy, and

management approach in accordance with the sustainability reporting guidelines (Diaz-Becerra *et al.* 2021).

The Global Reporting Initiative offers directives aimed at fostering organisational transparency, accountability, and engagement with stakeholders (Wilson 2022). Like the Extractive Industries Transparency Initiative, the Global Reporting Initiative serves as a tool for reporting but does not provide specific recommendations on CSR in the mining industry to contribute to the advancement of sustainable economic development within the communities in which they operate (Tembo 2018). The GRI Reporting Framework is subject to ongoing development and enhancement through extensive engagement with multiple stakeholders, including reporting organisations and information seekers. Such engagement enables collaborative content development and review for the Reporting Framework (Laing *et al.* 2019). The involvement of stakeholders facilitates the application of the Global Reporting Initiative as a reporting framework in Zimbabwe's mining sector, specifically by Zimplats and ZCDC, to report on their operational performance. By incorporating the perspectives of relevant parties, it is possible to ensure that organisation practices are reported in an equitable manner and that appropriate remedial actions are implemented. When organisations disclose their operations, it is advisable for them to report based on the fundamental principles of the socio-economic and environmental norms as prescribed by established standards, such as the International Standards Organisation (ISO) 26 000 and 14 000.

2.5.4 International Standards Organisation

The International Standards Organisation is among the various systems that are employed to regulate business operations. For instance, ISO 26 000, which pertains to social responsibility, and ISO 14 000, which relates to environmental standards, are some of the standards that are utilised (Moroe, Khoza-Shangase, Madahana & Nyandoro 2019). The ISO 26000 offers guidance to businesses and organisations regarding socially responsible operations and ethical and transparent conduct in their interactions with society (Lasrado & Hai 2019).

The ISO 26000 serves as a tool for corporations to surpass legal obligations by considering various factors such as societal, environmental, legal, cultural, political, and organisational diversity, as well as economic conditions (Mirtsch, Kinne & Blind 2020). This is done while maintaining conformity with international norms and ethical standards. The ISO 26 000 standard outlines six fundamental principles that guide CSR practices. These principles include accountability, transparency, ethical conduct, consideration for stakeholders' interests, adherence to the rule of law, compliance with international norms and standards, and respect for human rights (Givano & Sholichah 2019).

In this standard, managers are required to recognise pertinent concerns and establish precedence on fundamental topics such as organisational governance, human rights, labour practices, environment, equitable operating practices, consumer matters, and community engagement and development (Lasrado & Hai 2019). The ISO 26 000 standard presents a comprehensive framework on CSR that may be embraced by mining corporations in Zimbabwe, including ZCDC and Zimplats. The established norm facilitates the oversight of organisation operations by means of openness and responsibility, while simultaneously promoting ethical behaviour among corporations that upholds the concerns of stakeholders, legal regulations, global standards, and human rights (Mirtsch *et al.* 2020). While the standard in question is of a general nature, it adequately addresses the majority of issues pertaining to the mining industry (Tembo 2018). The ethical dimension of ISO 26000 encompasses environmental standards guidelines, albeit in a less comprehensive manner than ISO 14000, which provides a more detailed account of the same (Givano & Sholichah 2019). The incorporation of this facet of ISO 14000 into the Environmental Management Agency of Zimbabwe is feasible, with the caveat that adherence to its stipulations is a prerequisite for the acquisition of operational permits (Nyikahadzoi *et al.* 2022).

2.5.5 Responsible Mining Index

The Responsible Mining Index is a tool that assesses the performance of mining companies with regards to responsible practices. The Responsible Mining Index was instituted by the Responsible Mining Foundation with the objective of promoting

ongoing enhancement in responsible mining within the minerals and metals sector (G'afurovich, Abdurashidovich & Ogli 2020). This is achieved by showcasing exemplary practices and transparently evaluating the performance of mining corporations. The primary objective of the Responsible Mining Index is to promote the ongoing enhancement of ethical mining practices by means of fostering transparency in matters pertaining to economic, environmental, social, and governance concerns (Verrier, Smith, Yahyaei, Ziemski, Forbes, Witt & Azadi 2022). The Responsible Mining Foundation is currently in the developmental stage of creating an index that assesses responsible mining practices (G'afurovich *et al.* 2020). The Responsible Mining Index methodology pertains to the topics that are currently prioritised in Africa, namely poverty, economic gain, and environmental concerns, in relation to the extraction of minerals and metals. The methodology exclusively focuses on major corporate entities and does not address the majority of smaller mining companies (Vo, He, Liu & Xu 2019). Nevertheless, the non-targeted smaller firms have the potential to leverage the Responsible Mining Index's objectives to the advantage of both the corporations and the neighbouring communities of the mining firms.

2.6 A South African overview of corporate social responsibility

CSR in South Africa has advanced well over the years; one is therefore able to find more academic literature in South Africa as compared to the African continent (Contini, Annunziata, Rizzi. & Frey 2020; Makwara *et al.* 2019, Bhatia *et al.* 2019). Contini *et al.* (2020) adds that South Africa is one of the pioneer African countries to provide lawful support to CSR practices by endorsing flagship legislation and codes of good practice (Bhatia *et al.* 2019). Thus, South Africa is seen as the catalyst for CSR programmes on the African continent (Bhatia *et al.* 2019). Due to the country's apartheid legacy, CSR in South Africa after 1994 took on a different meaning, one in which the term Corporate Social Investment was adopted instead (Kloppers & Kloppers 2018). This was due mostly to the trepidation of the business community which, was widely assumed to have contributed to and profited from colonial rule, that it would be held 'accountable' for the injustices of the colonial era or expected to help in correcting the injustices (Haji *et al.* 2022; Contini *et al.* 2020). Hence, the CSI terminology is more acceptable to South African companies and South African businesses have reacted more

favourably to the investment concept, as it does not refer to legacies, history, or justice (Makwara *et al.* 2019, Contini *et al.* 2020). However, for the purpose of this study the term CSR will be used as it is mostly concerned with an organisations' responsibility towards the environment and the community that it operates in.

According to Makka and Nieuwenhuizen (2018), a comprehensive understanding of CSR in South Africa requires an examination of the country's unique historical and contextual complexities, as well as its regulatory framework. The legal framework in South Africa is a fusion of Roman-Dutch and English jurisprudence, as well as African customary law (Ijabadeniyi, and Govender 2018). Prior to 1994 (Bhatia *et al.* 2019) South Africa was controlled by a parliamentary structure with little government intervention in how companies conducted their operations. According to Anwana (2018) the apartheid government was not involved in or concerned with human rights which left the communities with no business dedication to their development.

As per the Department of Justice and Constitutional Development (2017), the Bill of Rights ensures the protection of the socioeconomic rights of all citizens of South Africa, encompassing the right to equitable and secure climatic conditions, sufficient housing, healthcare, sustenance, and water, as well as social security. The binding nature of the Bill of Rights on individuals, corporations, and governmental entities is widely regarded as its most significant attribute (Ndiweni & Sibanda 2020, Contini *et al.* 2020). Notwithstanding the constitutional protection of these fundamental entitlements, a significant portion of the South African population remains deprived of the socio-economic rights and services enshrined in the Bill of Rights (Inekwe, Hashim, & Yahya, 2020, Haji, Coram, & Troshani 2022). The stark socio-economic legacy of apartheid will continue to plague South Africa for several more decades. There is no doubt that more needs to be done to boost the socio-economic condition of many South Africans. For this reason, South Africa supports projects encouraging upliftment of citizens and communities, for example: Ndiweni and Sibanda (2020) identifies common CSR projects that in South Africa including health programmes, sports promotion, provision of clean water and energy and improving education and providing scholarships.

CSI was initially represented in South Africa as corporate or strategic philanthropy, with a focus on education and health care, especially HIV/AIDS, as well as social welfare packages at both the local and national levels. South African companies donate to social causes as part of their CSR programmes, particularly in areas where the government falls short. Education, health, conservation, and the arts are among the projects (Bernard 2018; Kloppers and Kloppers 2018 Haji *et al.* 2022). However, in recent years, South Africa's CSI has shifted to a more societal emphasis, focusing on topics such as sustainable growth, corporate governance, and public-private partnerships in social development (Ndiweni and Sibanda 2020, Inekwe *et al.* 2020). Despite CSR's transformation from philanthropy to sustainability, the effect on the larger South African community, especially previously disadvantaged people, has yet to be felt (Makka and Nieuwenhuizen 2018; Inekwe *et al.* 2020).

The South African government embarked on legislative and economic reform policies aimed at establishing CSR framework for companies in order to ensure that businesses played a part in the country's socio-economic growth. These policies will be discussed in detail in section 2.6. Such responsibilities included Black people's ownership of businesses, establishing social and ethical obligations for businesses to follow, and providing preferential employment opportunities for Black people through affirmative action (Makka and Nieuwenhuizen 2018; Contini *et al.* 2020). This demonstrates how far South Africa has progressed in terms of sustainability; however, the country's development is hampered by problems of corruption and other socio-economic challenges, which are worsening by the day in South Africa.

South Africa is confronted with several socioeconomic problems, which are usually due to the apartheid regime's legacy. Owing to the wealth gap that exists between rich and poor South Africans, the nation is regarded as one of the most unequal societies in the world (Plagerson, Patel, Hochfeld & Ulriksen 2019). White South Africans are overwhelmingly wealthy, lower-class Black South Africans are mainly poorer and live in shanty towns, informal settlements, and separated municipalities. The existence of inequality has haunted the growth of the economy and the standards of living for communities that were previously disadvantaged.

According to the findings of Arrive and Feng (2018), there was a decline in South Africa's Gross Domestic Product (GDP) from \$136 billion to \$385 billion during the specified period. Additionally, the average inflation rate decreased from 14 percent (1980-1994) to 6 percent (1994-2012). Furthermore, the authors elucidated that there was a significant rise in gross gold and foreign reserves from \$3 billion in 1994 to \$50 billion in 2012. Additionally, tax receipts increased from R114 billion, obtained from 1.7 million individuals, to R814 billion, collected from 13.7 million citizens. The aforementioned advancements have led to a surge in foreign commerce with China, and Africa has effectively compensated for the decline in European trade. Consequently, there has been a noteworthy upsurge in the middle class over the past two decades, which has resulted in a structural enhancement in investment. This is where CSR closed the gap of unemployment by initiating projects that created employment through CSR programmes (Arrive and Feng 2018).

Despite the progress made over the last two decades, Arrive and Feng (2018) highlight that South Africa still faces several challenges. These include a high youth unemployment rate as well as high-income disparity between the lower-income categories and the middle to upper-class categories, current account deficit, the dwindling contribution of the mining and manufacturing sector, mining and labour uncertainties, poor education and health outcomes; and an underperforming public sector (Sharma 2019).” These challenges imply that although South Africa has made notable progress since its independence in 1994, much still needs to be done for the country to transform its socio-economic realities if it is to preserve its startling political transformation (Uduji, Okolo-Obasi & Asongu, 2019). Poverty eradication amongst the majority Black population constitutes one of the most urgent and priority areas of concern for South Africa. Without the eradication of poverty; reduction in unemployment; ensuring a bona fide transformation of the workplace; slowing HIV/AIDS affliction rates; and increasing basic household income, the business community will not have a business environment within which to function and succeed (Melissen *et al.* 2018).” Despite these challenging socio-economic realities confronting the country, Adeleye, Muthuri and Amaeshi (2020) recommends synergy between businesses and the government. These authors contends that CSR programmes cannot be effective in achieving its principal objectives of being an object of sustainable

development if it is detached from the government's national development priorities. Companies need to contribute to the public interest and become more inclusive and avoid the narrow company interest in focusing only on specific market sectors (Bhatia and Makker 2019). A significant concern is the slow rate at which CSR implementation contributes to socio-economic development transformation required for sustainable growth.

This section discussed the socioeconomic challenges facing South Africa on implementing CSR. This has been identified as hindering the progress in the upliftment of previously disadvantaged communities. To address this, the government of South Africa has designed policies aiming at addressing the challenges. The following section unpacks CSR in the mining sector in South Africa.

2.7 Corporate Social Responsibility in the mining industry in South Africa

CSR has become significant in South Africa as it demonstrates how many organisations are working to improve the mining and community condition (Bernard 2018; Flores 2019; Bester and Groenewald 2021). Many authors assert that CSR can contribute to poverty alleviation and socioeconomic development (Ansu-Mensah *et al.* 2021; Budu & Scheepers 2022). However, despite having abundant natural resources, South Africa is economically dependent on other importing countries, which leads to exploitation (Bester & Groenewald 2021). Since 1994, the democratic government has tried to address these imbalances through social programmes, governmental initiatives, and business sector involvement. The leading CSR corporates in South Africa are primarily globalised businesses with foreign investments, substantial foreign listings, or compliance with international rules of conduct (Amoah and Aweje 2020; Munkuli & Horne 2018). Companies that prepare yearly sustainability or social reports claim to consult diverse stakeholders, or have quality controls in place to monitor health, safety, and environmental risks fall into this category.

AngloGold Ashanti is a worldwide mining business based in South Africa that operates on four continents. AngloGold Ashanti has been incorporated into several indices,

including the JSE Top 40 Index, the S&P Global CSA, the FTSE/JSE Responsible Investment Index Series (also known as the FTSE4Good Index), the Responsible Mining Index, and the Bloomberg Gender-Equality Index 2022 (AngloGold Ashanti Sustainability Report 2022). In terms of the company's social contribution to the communities, it focuses on enterprise development, infrastructure development, public health initiatives, education and skills development, as well as gender equality (AngloGold Ashanti Sustainability Report 2022). This mining company advocates for caring about the communities in which it operates and to provide possibilities to improve the economic and social conditions both before and after the mining process (AngloGold Ashanti Sustainability Report 2022).

Self-regulatory techniques, particularly in the South African mining sector, are needed for CSR programmes. Research has shown that the South African government is perceived as too weak or hesitant to act against huge corporations when it comes to environmental, health, and safety legislation (Makka & Nieuwenhuizen 2018; Arrive 2018; Plageron *et al.* 2019). Organisations have opted to draft their own CSR policies to guide the organisations into being socially responsible.

Harmony Gold Mining Company Limited is one of the South African mining companies involved in CSR and community development. The company is involved with sustainable health programmes and youth empowerment. To ensure impactful CSR programmes, the projects initiated by the company go through a process of monitoring and evaluation. Continuous evaluation, monitoring, and reporting provides evidence of performance, success stories and areas requiring attention (Rampersad 2015). Reporting on CSR activities demonstrates to Harmony shareholders and other interested parties the progress the company has made with respect to CSR; contributing to corporate citizenship and complying with relevant mining legislation (Harmony Sustainability Report 2022). This further enables feedback and continuous improvement. By being involved in sustainable health activities, the company creates employment and ultimately improves the standards of living for local community members. It is important to provide better health services and benefits in the community after being exposed to negative externalities because of mining activities. Investing in CSR

programmes help the organisations to build and maintain a mutually beneficial relationship between the organisation and its internal and external stakeholders.

2.7.1 Sustainability in the South African mining sector

The mining sector, widely recognised as a key indicator of the global economy, has positioned itself as an integral element of the sustainable development framework. According to Böhling, Murguía, and Godfrid (2019), the mining industry's long-term survival is jeopardised by its inability to meet the expectations of the public. The mining industry in South Africa has garnered a negative reputation due to increasing criticism regarding the adverse impacts of large-scale mining on the natural environment and the local communities residing in these mining areas (Flores, 2019). Due to these apprehensions, the sector has emerged as a leading performer in sustainability reporting and CSR evaluations. As is apparent from the majority of mining endeavours, mining corporations are dependent on the endorsement of stakeholders in the global and local contexts in which they function, as they aspire to be regarded as sustainable, ethical, or reliable. Little thought has been given to the negative environmental consequences of industrial mining, as well as its poor human rights record (Böhling *et al.* 2019). This could be due to corruption, in which individuals who are supposed to be following up on CSR matters are bribed to only play to the tune of wealthy organisations (Flores 2022). The management of the mining industry's corporate reputation, which refers to how well a company is considered by its shareholders and stakeholders, is the goal of nonfinancial information disclosure (Ackers and Grobbelaar 2021). The organisations are realising the significance of CSR project monitoring and evaluation as calls have been made to concentrate CSR on a wider stakeholder group (Mandeveré 2020).

The widespread conviction that stakeholder involvement in CSR helps the mining industry overcome its unfavourable reputation as a dirty company, attests to the importance of institutional dynamics (Inekwe *et al.* 2020; Haji *et al.* 2022). The notion that mining companies are reluctant to expose themselves to outside scrutiny falls apart when the focus is shifted to their efforts to engage stakeholders. By balancing internal risk aversion with external expectations and adopting a less defensive, more collaborative style of stakeholder interaction, organisations can win back stakeholder

trust (Arrive and Feng 2018; Ijabadeniyi, and Govender 2019). Companies can improve their reputation capital by engaging directly with stakeholders, participating in PR campaigns or enhancing transparency (Munkuli and Horne 2018). Even after benefiting from reputation capital, the majority of mining villages remain impoverished, demonstrating that these large corporations use CSR to their advantage.

Governments that lack adequate information fail to supervise corporate operations or face inter-agency conflict may benefit from supplementing command-and-control legislation with nonfinancial transparency legislation (Amoah and Eweje 2020). Making nonfinancial disclosure mandatory can help organisations improve data collection and analysis capabilities. South Africa is working on developing and implementing non-financial disclosure policies; however, socioeconomic challenges are impeding progress (Bernard 2018).

2.8 South African Government's stance on Corporate Social Responsibility

The goal of CSR is to ensure that communities affected by a company's operations enjoy socio-economic benefits offered by these companies. These large companies deemed it necessary to use their increased net profits to uplift communities they operate in through CSR. Political observers expected the government to take a more serious position against companies that helped the apartheid regime, but this move by the government was criticised. Rather than keeping South African businesses accountable for their past acts, it appears that the new government wanted to force companies to become more socially responsible to their customers by enacting voluntary codes of good practice and legislation (Amoah and Eweje 2020; Haji *et al.* 2022). As a result, the government established a regulatory structure to ensure that companies pay attention to social, environmental, and economic problems, as well as how their activities influence these concerns. The existence of inequalities including wealthy inequality, treatment and responsibility inequality, political inequality, life inequality, employment inequality and membership inequality. To rectify these inequalities of apartheid, the government implemented socio-economic policies such as the 1994 Reconstruction and Development Plan (RDP), the 1996 Growth, Employment, and Redistribution (GEAR)

Initiatives, and the 2004 Accelerated and Shared Growth Initiatives for South Africa (ASGISA). This research details the RDP, GEAR and other policies such as Broad Based Black Economic Empowerment Act, Employment equity and the companies Act. Unpacking these policies shows how the government guides companies into being socially responsible when conducting business to ensure both the company and the stakeholders benefit from the ongoing business activities. The ANC government hoped to use these initiatives to address South Africa's numerous socio-economic problems (Ndiweni and Sibanda 2020). It is important to reflect on how effective these initiatives were in addressing the socioeconomic issues in the country.'

The Broad-based Black Economic Empowerment Act 53 of 2003 (BBBEE), the Jobs Equity Act 55 of 1998, the National Empowerment Fund Act 105 of 1998, and the Skills Development Act 97 of 1999 were all passed by the ruling party's government (Cracker 2018). These laws were meant to compel South African companies to support the country's transition and give the previously marginalised community a stake in the country's economy by encouraging Black people to engage in business ownership and providing preferential work opportunities for Black people through affirmative action initiatives and jobs equitisation (Spencer 2019).' Encouraging Black people to engage in business may not be enough without giving them enough knowledge on how to work and manage those businesses.

The update of the expired 1973 Companies Act No. 61, which was replaced by the Companies Act No.71 of 2008, is a more recent initiative. The 2008 Companies Act was advocated not only to replace the 1973 Companies Act, but also to provide legal support to the King III Report on Corporate Governance, which had no legal backing prior to the Act and was merely a collection of voluntary rules and guidelines for companies (Rohling, Hibbert, Grant, Galaasen, Irvall, Kleiven, Marino, Ninnemann, Roberts, Rosenthal, and Schulz 2019). This Act will be discussed further in section 2.6.5. To some extent, these initiatives were a success. Businesses, on the other hand, have decided to tighten work standards to the point that they claim unattainable skills and experience, which black people cannot afford (Cracker 2018). As a result, black people are in dire need of opportunities, which are theoretically entitled to them. There is need to offer training in terms of business management and ethics and professionalism

so that the given resources will be used efficiently. This section details the RDP, GEAR, BBBEE Amendment Act and the Employment Equity Amendment Act as these initiatives are directly related to CSR.

2.8.1 Reconstruction and Development Programme

The Reconstruction and Development Programme (RDP), launched by the ruling party in 1994, was one of the first large-scale development projects in South Africa. It was aimed at turning South Africa from an apartheid state where citizens were discriminated based on their ethnicity or race, into a non-racial and non-sexist democratic society (Wallman 2021). The key goal of this development programme was to achieve long-term economic growth and development, as well as to reduce unemployment, reduce inequality, and eliminate poverty. Industrialisation, land reform, production upgrades and reforms, human capital development, agricultural growth and infrastructure development, and the provision of basic social services such as housing, education, and health care for people were among its core policies (Amoah et al. 2021). The RDP, however, had a range of flaws, according to (Hazebroek *et al.* 2020, Amoah and Eweje 2020, Cracker 2018), and was criticised for sounding more like a ‘wish list’ than a strategy text.

Key reasons for the ruling party lacking the capability to execute RDP policy are staff lacking proper implementation acuity and large backlogs in the provision of basic services (Ebhojie 2019). Furthermore, concerns were raised about issues such as provincial mismanagement of primary nutrition services, increasing dissatisfaction with service delivery, and a lack of job growth, which was a key component of the RDP. The party's other major flaw was that it had not adequately thought out a concrete plan for achieving its key goals (Baffoe 2019, Cracker 2018, Rohling 2019). This shows that the ruling party was overwhelmed to the extent that they could not produce results. This was because the RDP objectives were not realistic, or carefully set considering that the country was still recovering from the wounds of apartheid (Rifdan, Haris, Akib, Nasution, and Agus 2021).

The RDP did not define priorities or delegate responsibility for programme implementation. As a result, the programme lacked inter-departmental coordination structures, and it failed to recognise that local governments, which were given statutory responsibility for fostering socio-economic growth, lacked sufficient professional staff, preparation, and implementation capability (Hazebroek *et al.* 2020). An additional challenge for the RDP scheme was the ANC government's first currency crisis, which started in February 1996 when the rand's value plummeted by more than 25% (Amoah *et al.* 2021).

Despite the fact that the RDP was developed in collaboration with the government, labour, and civil society, there was no formal consultation to ensure continuity during implementation (Vos, and Oberholzer 2018). The ANC government was forced to abandon the RDP programme in favour of a more conservative macro-economic policy known as the Growth, Employment and Redistribution (GEAR) programme to calm domestic capital and foreign currency markets.' In the following section (section 2.6.2), this policy will be discussed in greater depth. The change to GEAR, according to West (2009) was intended to reverse the re-distribution priority and opt for a slower trickle-down approach to poverty alleviation. The following section discusses the GEAR and the failures and success of this initiative.

2.8.2 The Growth, Employment, and Redistribution (GEAR) economic plan

When the ruling party in South Africa realised that the Reconstruction and Development Programme (RDP) had failed, it introduced the Growth, Employment, and Redistribution (GEAR) economic plan in 1996 (Domingos and Fox 2019). This shift was criticised as a panic reaction that culminated in an unsustainable exchange rate and a poor capitulation to the IMF and World Bank's policy dictates and ideological demands. Otu (2018) proclaimed that while the policy (GEAR) helped the ANC government achieve macroeconomic stability and strengthened its international standing, it did little to resolve internal issues such as skyrocketing inflation and unemployment, as well as restricted economic growth. The GEAR macroeconomic strategy failed to fulfil its goals of boosting economic growth and creating employment for millions of unemployed South Africans. In addition, the policy lacked in the field

of trade, as well as an industrial policy or proposals for small and medium-sized companies (Mikhaylov 2018).

The GEAR policy failed to alleviate poverty and unemployment in South Africa. The social security system remained intact during the initiative, with the exception of the state maintenance grant being replaced with the childcare grant in April 1998 (Domingos and Fox 2019). The need to accelerate economic growth while also lowering unemployment led to the abandonment of the GEAR in favour of a more ambitious strategy to boost growth. Based on these reasons, the GEAR struggled to adjust to South Africa's ever-changing socio-economic conditions, so the government chose to pass on and design better policies, such as BBBEE and Employment Equity, to help the country solve its socio-economic problems.

The following section discusses the BBEEE and how it assisted in reducing unemployment and improved the standards of living for previously less privileged communities.

2.8.3 Broad-Based Black Economic Empowerment

According to the Department of Trade and Industry (DTI 2015), the BBBEE Act describes Black citizens as both non-Whites and previously marginalised persons (Spencer 2019). Women, workers, youth, and the disabled are all included in the broad definition. The BEE was a post-apartheid government strategic programme aimed at facilitating economic change by ensuring effective inclusion of African, Indian, and Coloured people in the economy (Reddy 2016; Cracker 2018). The Act's broad goal was to address apartheid's inequalities by gradually and legally redistributing equities to the Black community and diversifying the workforce through training and skills development and generally promoting the development of black people (Rifdan *et al.* 2021). This idea was supposed to be carefully planned and implemented to yield better results.

The first democratic elections post-apartheid witnessed the country undergoing an incredible transformation, not only of a political nature but also on the individual,

society, as well as economic. Post-apartheid, South Africa witnessed both socio-political transformations, as well as increasing global challenges (Mikhaylov 2018). The transformation brought changes to business management, values, and corporate governance. For the first time, South African businesses had to adopt a new cultural diversity, not only from a racial perspective but also concerning gender, ethnicity, sexual orientation, religion, and age. South African businesses were faced with challenges in adhering to affirmative action measures and the provisions of the BBBEE Act (Anwana 2018). Business managers had to acknowledge and manage a diverse workforce and develop strategies aimed at changing apartheid-era perceptions, attitudes, and behaviour in the workplace (Patten 2019). This brought a positive change in terms of uniting people from different spheres of life, thus improving communication within businesses. This also helped to achieve equality in terms of gender, race and social class.

Many policies during the apartheid period barred Black South Africans from working in organisation management positions. In 1995, Black people owned “1% of the JSE's capitalisation” (Anwana 2018). This was due to Black people being barred from owning shares in companies for several years, and the nation's wealth being concentrated in the hands of a small number of White people (Reddy 2016). BBBEE was enacted by the legislature to ensure that Black people were granted economic empowerment. The Act tackled concerns such as corporate control, stock ownership, and workplace equality (Chitimira 2019). The Act also addresses other problems such as preferential procurement and skills growth in order to increase the number of Black people in business management and ownership (Alessandri, Black and Jackson 2011). According to these remarks, the BBBEE was only partially effective due to socio-economic problems that continued to plague South Africa, such as corruption and a lack of requisite skills among the black population.

The BBBEE Act was passed for the first time in 2003. The Broad-Based Black Economic Empowerment Amendment Act, 2013, was revised in 2013 and is now known as the Broad-Based Black Economic Empowerment Amendment Act, 2013. According to the Department of Trade and Industry (DTI 2014) it became necessary to amend the 2003 Act in order to encourage compliance with the Act by state and state-

owned enterprises, which were previously only expected to take into account the provisions of the Act as far as was fairly possible. Both state organs and state corporations are required to comply with the new amended act's provisions. Pillay (2014) explains that only the Minister has the authority to grant an exception if it has been requested and there is reasonable reason to believe that certain state organs should be exempted from compliance with the Act. The final justification was to create offenses and punishments for non-compliance with the Act's provisions (DTI 2015), effectively criminalising the Act, which had no liability clauses before.

Fronting is also addressed in the amended Act. Fronting is described as when a person intentionally misrepresents his BBBEE status or offers false information in order to obtain a specific BEE status or result. The amendment also states that those found guilty of fronting can face a fine or up to ten years in jail, or both, if they are found guilty. If the defendant is a business, it could face a fine of up to “ten percent of its annual revenue” (Pillay 2014). This law helps to reduce corruption in the short term, but the paperwork that is required for citizens to benefit from BBBEE is a bit exaggerated, so it is still difficult for many black South Africans to be included. According to the DTI (2015) the amended BBBEE Act tackled concerns such as corporate ownership, management, workplace equity, skills growth, preferential procurement, and business development.

The strategy also aims to boost Black wealth by selling equity shares in companies to Black empowerment organisations (Reddy 2016). As a reward for complying with the BBBEE scheme, government tenders and certain privileges are given to compliant BBBEE firms (Akinsomi *et al.* 2016). These businesses are seen as socially responsible, which provides an opportunity for them to become BBBEE compliant. Companies engaging in BBBEE transactions benefited from the social and economic relations of Black empowerment organisations (Alessandri *et al.* 2011). They could, for example, gain access to new markets and opportunities in both the public and private sectors, as well as benefit from positive media coverage and improved corporate credibility, particularly among Black South Africans (Thomas 2014). It is important to remember that BBBEE enforcement only applies to indigenous or locally registered businesses operating in South Africa. Foreign corporations are not affected by the Act and are not

expected to follow its provisions. This was done on purpose to avoid scaring away foreign direct investment (Velte 2021).

Non-compliance with BBBEE, on the other hand, makes it highly difficult for businesses to engage in public sector procurement bids or even find partners for business ventures (Islam *et al.* 2020). Companies hired black people for the sake of the derived benefits, despite the fact that they lacked the necessary skills and expertise, raising the likelihood of negative economic development. The BBBEE Act, which is one of the most significant donors to CSR, requires businesses to make a strategic contribution in the socioeconomic welfare of previously marginalised people by contributing to charities or participating in industry-specific charity-based programmes. “Companies that contribute to projects where the beneficiaries are all Black people or at least 75% of the beneficiaries are Black, might be eligible for 100% of the benefit of the donation if they invest in socio-economic growth” (Standard Bank 2017). This is seen as a significant motivator for businesses to comply with the BBBEE Act.

Despite the benefits that BBBEE may bring to a company's financial results and value development, there are several arguments that proclaim that compliance with BBBEE cannot create or even kill value for participating businesses (Spencer 2019). It is worth noting that the BBBEE policy inadvertently generated disparities in black South African societies, as the policy helped only a small number of people with access to information.

Civil society organisations and trade unions were concerned from the start that BBBEE was largely about creating a small ‘Black elite’ with little benefit to the poor people of the country (Horne 2015; Reddy 2016). In response to these concerns, the BEE Commission issued a broader concept of BEE that encompassed rural growth, access to finance, and land ownership. While active Black ownership and control of major publicly traded corporations remained a top priority for the BEE Commission, the focus was to seek viable financial mechanisms to effect such a transition. Several BBBEE researchers believe that the Act's provisions merely facilitated an elite alliance or, at best, a compromise between the countries’ current governing elite and the country's corporate leadership. They argue that BBBEE effectively ignores the needs of the majority of Black people in the country (Horne 2015). According to Reddy (2016)

BBBEE will not become a catalyst for the socio-economic change that it was designed for as long as corporate leadership in South Africa views compliance with BBBEE as a way of staying in the good graces of the ruling party and gaining access to government tenders.

The essence of BBBEE transactions has a significant effect on the corporate governance of participating organisations. Structure, processes and cultures that promote the efficient operation of businesses are identified by Ngoepe and Ngulube (2013). In addition, these authors believe that corporate governance is the mechanism by which business owners and creditors assert control over and demand responsibility for the services provided to the organisation. In contrast, Yang *et al.* (2020) believes that corporate governance safeguards the interests of all company's stakeholders. Corporate governance is how guidance and control are applied to the stewardship of an organisation's assets in the delivery of the key objective of sustainable value creation (Brin *et al.* 2019). The authors argue that, in a broader sense, the definition of corporate governance refers to the process of operating or managing a government or an organisation, that is, the management process that consists of processes and institutions that enable governments and organisations to communicate their interests, exercise their legal rights, fulfil their responsibilities, and mediate their differences. The question is whether directors should also take into account the needs of other stakeholders, such as staff, creditors, the environment, and the society. The South African BBBEE Amendment of 2013 seeks to encourage social investment and women's empowerment of communities in addition to correcting ethnic imbalances. By adhering to this act, directors are implying that they would respect the community's needs and apply the triple-bottom line approach to business management. In accordance with the regulations set forth in 2002 by Hamann, South African mining enterprises are obligated to adhere to the BEE scorecard, which pertains to the broad-based socio-economic empowerment of the South African Mining Industry, as a prerequisite for the renewal of their licences. The primary aim of the Broad-Based Socio-Economic Empowerment Charter for the South Africa Mining Industry is to facilitate the achievement of enduring expansion and metamorphosis of the mining sector. Having discussed the BBBEE Act and its relevance to CSR implementation, the following section will examine the Employment Equity act and its impact in CSR South Africa.

2.8.4 Employment Equity Amendment Act, No 47 of 2013 (EEA)

The Employment Equity Act, No. 55 of 1998, which was revised in 2013 and is now known as the Employment Equity Amendment Act, No. 47 of 2013, was an approach aimed at addressing the imbalances of the country's history in terms of Black people's representation in companies and historically marginalised people's employment. Affirmative action policies were implemented to promote the employment and advancement of Black people, women, and people with disabilities in the workplace. The Act seeks to correct historical inequalities and imbalances in the workplace as well as eliminate unfair practices from the system (Espí, Francis and Valodia 2019). The progress of the EEA implementation is primarily due to government intervention and supervision. South African companies are compelled to adopt the EEA because they would otherwise be unable to tender for government contracts if they do not (Espí *et al.* 2019). However, the authors point out that some businesses have realised that implementing the EEA is both financially beneficial and socially ethical.

The Employment Equity Act (EEA) is a South African government effort to prevent unequal and discriminatory workplace practices, especially against the countries previously disadvantaged, mostly Black impoverished population (Altman 2018). The EEA was first adopted in 1998, and it was last revised in 2013 (DOL 2017). The Act was passed to grant the right to equality in the workplace. The key goal is to remove the obstacles to jobs that members of the designated groups face. It also aimed to develop a representative workforce and turn the South African workplace into one that reflected the region. According to Mushariwa and Papacostantis (2016) the Act aimed to establish a workplace based on equality values by implementing affirmative action policies. The question is, is it possible to achieve equality in the workplace?

Affirmative action programmes, according to Section 15 of the EEA, are measures designed to ensure that suitably eligible people from identified groups have equal opportunities and are equitably represented in the workforce of a designated employer in all occupational categories and ages. Section 1(b) of the 2013 Amendment Act defines identified categories as “individuals that were excluded by apartheid policies, including Black people, women, and people with disabilities” (Department of Labour

2017). According to Mushariwa and Papacostantis (2016: 3) the term designated community enabled the ANC to categorise previously disadvantaged people for the purposes of EEA implementation.

The King IV Study, in considering the effect of the EEA on CSR implementation, extends the definition of stakeholders to include workers and encourages businesses to participate and collaborate with stakeholders in company decision-making. As a result, businesses must consult with their labour unions to provide updates about their equity package to all workers, as well as consult with them when making decisions (Altman 2018). Employees must be consulted and active in the creation and execution of a company's CSR initiative (Department of Trade and Industry 2011). In order to be socially responsible, an organisation must adhere to the EEA's requirements. According to Reddy (2016) companies in South Africa have had to adapt their internal workforce profile to reflect the evolving demographics of the country or risk being sanctioned. Managers in South Africa, on the other hand, have expressed concerns about EEA enforcement.

Most, if not all of these issues exist and raise governance problems for South African listed companies to call for the EEA's affirmative action provision to be removed entirely, claiming that it was in direct violation of the Bill of Rights' Section 9 equality jurisprudence (Landman and O'Clery 2020). Some have expressed that a line should be drawn when a White male or member of a minority identified community is faced with an unreserved barricade to employment or advancement in employment for an illegal and unjust cause (Altman 2018). Despite the governance issues that have arisen as a result of complying with the EEA, one of the Act's goals was to force companies to participate in CSR-related practices in order to boost the living standards of the formerly marginalised Black majority community through creating job opportunities (Altman 2018). Jobs help people out of extreme poverty and homelessness faster than social grants or some other form of government intervention policy, as a result, the EEA has an effect on community socio-economic growth through affirmative action policies. Improved corporate governance and a long-term market climate are needed for South African businesses (Landman and O'Clery 2020). The Employment Equity Act is a

huge step forward in terms of successful workplace communication, resulting in employee harmony and teamwork.

Human rights and corporate responsibility go beyond core company activities and donations to charity and is understood as an integrated part of doing business, based on corporate values included in strategy and daily operations. Moreover, the current financial crisis has shown how business activities solely motivated by the desire for short-term profit can have serious global consequences, while in order to achieve sustainable practices, organisations need to be ethical and invest in local communities and economies. Also, the importance of the issue is proved by the evolvement of special organisations and networks that aim to improve the underemployment of previously disadvantaged persons and cooperate with enterprises (both public and private) in extending their CSR strategies. This notwithstanding, 'disability' still remains a rather sensitive element of CSR for the companies and is addressed differently due to the different levels of understanding the importance and the benefits of such actions. The present analysis demonstrates that it is not sufficient that corporate entities address employment inequalities in their organisational norms and values; they have to incorporate this issue further into corporate culture, HR policies and work environment setting forth a system of corporate governance which consider these concerns. The following section discusses the companies act.

2.8.5 The Companies Act No.71 of 2008 and its impact on Corporate Social Responsibility implementation

The most significant legal development that directly impacted South Africa's corporate governance, as well as CSR execution, according to West (2009), was the review of the 1973 Companies Act, which ultimately results in the enactment of the 2008 Companies Act, which brought the country in line with global developments and trends in the area of CSR. According to Olson (2010) the Act established a paradigm of corporate regulation that may significantly enhance South Africa's business climate while also supporting important larger economic and social goals such as CSR. The Act, according to the author, is in accordance with world corporate governance trends, which compel boards and companies to be more transparent and accountable to their stakeholders.

To guarantee corporate responsibility, the Act mandates that all businesses keep specific documents for a period of seven years, have a set financial year, keep accurate and full accounting records, make yearly financial statements (section 30), and file an annual return (Bhatia and Makkar 2019). In terms of auditing, all South African companies should be audited if they fall into one of the Minister's categories, considering the public interest and the company's economic or social significance as measured by its annual turnover, workforce size, and the nature and scope of its activities (Bhatia & Makkar 2020). Section 29(2) of the Act states that financial statements prepared by a firm, including any annual financial statements as defined in Section 30, shall not be incorrect or misleading in any major regard or incomplete in any material. Financial statements for public companies must also comply with International Financial Reporting Standards (Section 29(5) (b) of the Act) (IFRS). The Act also mandates that all public and state-owned companies have their yearly financial accounts audited (Republic of South Africa 2011). These mandates force companies to operate responsibly to the communities which they are operating in to maintain a good reputation after auditing.

The provisions of the Act demonstrate the importance that the Act places on corporate governance and management. The Act also makes it easier for businesses to comply with BBBEE and the EEA, emphasising the relevance of corporate governance laws. It further requires businesses to follow the charters of international organisations such as the United Nations Global Compact Principles and the Organisation for Economic Co-operation and Development (OECD). In terms of CSR implementation, the Act mandates the installation of Securities and Exchange Commission (SEC) in all publicly traded businesses, as well as corporate involvement in community socio-economic development and recognition of stakeholder involvement and participation in corporate decision-making. This enhances the importance of professionalism in CSR to maximise impact in the communities in which these projects are carried out. There are several shortcomings associated with compliance with the Act which is yet to be challenged in a South African court because of the novelty of the Act.

Legal reforms on how businesses operate have been viewed by the South African Government as a means of correcting the imbalances in the social, economic, and employment opportunities denied to the majority of the population by the apartheid

regime. These legal reforms introduced measures such as affirmative action policies; business ownership; Black economic empowerment; Batho Pele principles; recognition of stakeholders; and stakeholders' engagement (Horwitz and Jain 2011). By implementing these policies, the organisations become socially responsible to the society and to the environment which it operates. Implementing these policies should be made compulsory to ensure equal treatment of communities despite their background. The next section describes the Batho Pele principles which have been designed to improve the service delivery in South Africa. Improved service delivery improves the standards of living for people.

2.8.6 Batho Pele Principles

Numerous service delivery policies have been instituted and executed subsequent to the democratic transition of the nation in 1994. The Batho Pele White Paper, a significant policy, was released in 1997. The primary focus of the Batho Pele white paper is centred on the delivery of public services, with a particular emphasis on enhancing the efficiency and efficacy of such services (Department of Public Service and Administration, 1997). Organisations should strive for ongoing enhancement of their service delivery systems to guarantee the consistent provision of high-quality services to citizens.

Batho Pele is a government project aimed at improving public service delivery by encouraging public officials to be service-oriented, strive for excellence, treat customers with respect, and commit to ongoing service delivery (Ganesh and Rampersad 2018). This dedication to service delivery is expected to apply to all the public sector's and public entities' services, including health, low-cost housing, security, and education (Mamokhere 2020). In addition, the Batho Pele's content focuses on how public services are delivered, and in particular, how to improve the efficiency of service delivery (Venter 2018). The document aims to establish a new strategy to service delivery through monitoring and evaluation, one that will put pressure on public service systems, procedures, attitudes, and behaviour, and reorient service delivery in favour of customers, one that puts people first (Ganesh 2018).

There are eight service delivery principles in the Batho Pele policy framework. These include consultation, expectations for service, access, courtesy, information, transparency and openness, redress and excellent value for money (Ganesh and Rampersad 2018). There is need to understand how these principles should be put into practice so that the quality of service delivered is maximised. Batho Pele principles approach help to get employees committed to serving people and to find ways to improve service delivery. Batho Pele principles in the mining sector allows mining companies to realise the importance of stakeholder engagement from the planning to the implementation of CSR projects. In the mining sector, communities have community development expectations towards the mining company. The principle of expectation for service lead mining companies to try to meet the expectations of communities they operate in. This brings in the issue of transparency which is important for mining companies to disclose information concerning the projects they intend to do in the community and the number of resources devoted to that projects. This will bring in the issue of accountability to both the organisation and the community. Though it is not mandatory, mining companies in Zimbabwe can utilise the Batho Pele principles to improve service delivery of their social responsibility services. In essence, different organisations have a key role to play in creating an environment for their workers to become effective in the way they interact with citizens. The following section describes the best practice for CSR in South Africa.

2.9 Best Practice for CSR in South Africa

Several best practice examples are emerging in multiple sectors across the world. The mining industry invests in the country's total CSI spend in South Africa (Rampersad). Best practice case studies, specifically for small to medium-sized enterprise development, indicate that mining companies are making a significant difference in the lives of the people who are affected by their operations (Contini et al. 2020). Monitoring and evaluation is increasingly becoming a donor requirement, with many corporates investing in measuring the impact of their development work (Rampersad, 2015). Although over 80% of corporates and NPOs claim to be measuring project performance and impact, the question remains as to what they are doing with this knowledge (Trialogue 2023). Many companies strive to be good corporate citizens through

transparency by use of monitoring and evaluation policies to impact the communities that they operate in. The following case studies reveal brief best-practice monitoring and evaluation attempts by three of the leading corporates in South Africa.

2.9.1 Old Mutual South Africa

Old Mutual Limited is an investment, savings, insurance, and banking company with operations across Africa. It is traded on the Johannesburg Stock Exchange, as well as the stock exchange of Zimbabwe, Namibia, and Botswana (Old Mutual Limited 2020). Old Mutual is one of the companies recognised by the Old Mutual Foundation as excellent corporate citizens around the world. The Old Mutual group of enterprises in South Africa has a long history of contributing to the development of the country, dating back to the creation of its manufacturing facilities there. The group's structured Corporate Social Investment (CSI) portfolio, which has grown over the years to strategically fit with the government's aims in developing an empowered and economically independent citizenry, continues this history of exemplary corporate citizenship. CSI's focus matches the organisation's overall commitment on sustainability, which is fundamental to its day-to-day operations.

The Old Mutual Education Flagship Project (OMEFP) is one of the projects that has had an influence on its South African communities. OMEFP is a multi-partner national effort aimed at improving education in South Africa's underperforming public high schools (Trialogue 2019). The primary objectives of the OMEFP's seven-year programme were to augment the proportion of twelfth-grade students who successfully completed mathematics and science courses, while also enhancing the administrative and leadership proficiencies of underachieving schools. The project's objective was to enhance student outcomes by strengthening the leadership, administration, and teaching capabilities of these educational institutions (Old Mutual 2020). Matriculants were urged to pursue higher education and eventually integrate into the broader economy. As per the findings of a strategic analysis conducted on the initiative, an amount exceeding R265 million had been allocated towards the project, which catered to 225,000 pupils across 327 schools situated in four provinces, namely Eastern Cape, Free State, Limpopo, and KwaZulu-Natal, by the culmination of 2018 (Trialogue 2015). However,

the computation of return on investment posed certain difficulties. The correlation between the pass rates of matric science and maths and the achievement of leadership programmes was found to be unreliable. Consequently, the Pan-African investment and banking institution has chosen to redirect its attention during the subsequent stage of the project, spanning from 2020 to 2024 (Responsible Business Impact Report 2019).

The initiative has been revamped to place a greater emphasis on results rather than reach. Most significantly, monitoring and evaluation, and the dynamics that materially changed as a result of the interventions, must be given more attention (Trialogue 2019). Getting back to the basics: The OMEFP's focus on literacy and numeracy development at the foundation phase was a shift from Old Mutual's previous approach to corporate social investment (CSI), which was more strategic and coordinated. The Group, on the other hand, recognises that there is room for improvement and that more real achievements may be achieved. By focusing on the education sector, the corporation will be able to target fewer beneficiaries while investing more substantially in each one (Trialogue 2019). To support this arrangement, concentrating the focus within the educational sector will allow the company to closely monitor and analyse the project, allowing it to focus more on meeting the community's long-term requirements. Thus, the more specific the project, the easier it is to monitor the progress.'

Annually, key priority areas are re-evaluated to ensure that programmes sponsored are meeting real societal needs for example education. The project's next phase will continue to focus on learning and leadership, but with a new strategy that will be revealed. The goal is to close some of the long-standing curriculum gaps while also strengthening the public-school system's institutional capability (Trialogue 2019). It is commonly known that South African school children frequently fail to master numeracy and reading abilities, and first-graders begin at a disadvantage (Old Mutual Limited 2020). In 2016, the progress in International Reading Literacy Study revealed that 78 percent of grade four students could not read for meaning in any language, while the Trends in International Mathematics and Science Study revealed that 61 percent of grade five students could not cope with basic math. In 45 percent of elementary schools, it has been reported that not a single learner who can read and make inferences, and in 47 percent of high schools not a single student could meet the intermediate arithmetic

benchmark. As a result, it was thought that focusing on mathematics and science for students in grades 11 and 12 would be neglecting a more underlying problem that is lack of cognitive preparation among students due to significant curriculum gaps (Trialogue 2019). Old Mutual had to perform a scoping exercise where the results could be used to guide the company's future strategy, as well as the National Development Plan 2030's aims (NDP). Old Mutual's approach should be aligned with the Department of Basic Education, and the plan must be sustainable from a CSR standpoint and should have the vision to cooperate with other funders, especially provincial education departments, to scale up learning initiatives (Old Mutual Limited 2019). This is critical to meet the NDP's educational objectives. These projects require a proper monitoring and evaluation system to ensure that the defined objectives are achieved at minimum possible cost.

On the same note, Old Mutual will continue to focus on leadership as a key factor in affecting educational outcomes (Old Mutual 2020). The corporation has put a lot of resources towards The Trialogue (2019) presents a study conducted by the Seed Educational Trust on the impact of leadership approaches on behaviour, decision-making, and school operations. The results of the study will serve as a basis for Old Mutual's forthcoming strategic plans, particularly considering the effective leadership that is driving progress in schools that are currently experiencing suboptimal performance. The utilisation of psychological and organisational models, such as Insights Discovery, Transactional Analysis, the Competing Values framework, Spiral Dynamics, Theory U, and Force Field Analysis, has been suggested by Trialogue (2019) to investigate organisational culture and develop a new leadership culture that can effectively manage and lead in complex socioeconomic situations. These models are based on established psychological theories, including Carl Jung's psychology and child (Trialogue 2019). Evidence suggests that there is a misalignment of personality and culture at the school and district levels in Eastern Cape, Free State, Limpopo and KwaZulu Natal. As a result, leaders and managers work at odds with one another. The extent to which the organisation is at odds with itself necessitates rethinking leadership and renegotiating a unified leadership culture in the context of an organisational makeover. The Trialogue reveals that adopting a coaching and mentoring leadership style can help convert bureaucratic and hierarchical approaches into more collaborative

ones, particularly where low levels of trust and inadequate collaboration have been detected (Trialogue 2015). In this approach, naturally caring instructors could, through organisational culture, establish a congruently helpful learning environment. These projects are done to create two-way communication between Old Mutual and the communities which it operates in. Thus, Old Mutual is known for its community development projects that strive to alleviate poverty and contribute to the upliftment of citizens, especially the youth.

One of the goals of the Old Mutual-funded research articles was to figure out how to reverse this outcome. Old Mutual's research has built the basis for future leadership programmes by implementing several instructional design strategies within the context of basic education (Old Mutual 2020). This is in line with Old Mutual's goal of not only improving leadership in South African schools, but also developing a governance model that can be implemented at the circuit, district, and province levels. It was argued that when the educational system becomes more learner-centred, systemically integrated, and anchored by persistent reflective practice, a more enabling atmosphere for coaching and mentoring can be produced (Trialogue 2019). To achieve this goal, there is need for quality management systems in place to ensure quality services are delivered to the communities involved, hence the need for monitoring and evaluation systems in place to increase efficiency.

As per Trialogue's report in 2015, Old Mutual provides support in various areas such as enterprise development, which concentrates on enhancing job creation through small-scale community bakeries and farming projects and extending development partnerships with a focus on business sustainability. Additionally, the organisation invests in job placement-linked training to address the national technical skills shortfall, strengthen connections with institutions, and leverage its inherent competencies. In addition, education is encompassed within the aforementioned scope. The objective of education is to increase the number of Bachelor's degrees obtained by students from underperforming schools, thereby enabling them to pursue higher education. The interventions aim to improve school leadership and management, enhance the maths and science skills of instructors, and offer supplementary interventions for learners.

Finally, it is possible for Old Mutual staff members to have a positive impact on the communities they serve by engaging in volunteer activities.

With the help of Trialogue, Old Mutual recently re-evaluated its CSI approach in order to improve the monitoring and evaluation processes of its flagship projects. The company improved and formalised their strategy to recording and reporting performance data, as well as the level of information, frequency, and accountability for doing so, and finally established reporting templates that reflected the new monitoring and evaluation methodology (Trialogue 2015). To support this move, it can be agreed that monitoring and evaluation techniques will allow Old Mutual to focus on the needs of students and teachers without deviating from the original goal, hence reducing cost variance. The Old Mutual case is a perfect example for mining industries in Zimbabwe to aspire towards for CSR involvement. The above discussion uncovers how Old Mutual plans and executes their CSR projects. This is a good example for mining companies in Zimbabwe to emulate to design their own CSR policies.

2.9.3 Tiger brands

Tiger Brands Limited is a packaged goods company based in South Africa. Tiger Brands has direct and indirect holdings in international food enterprises in Chile, Zimbabwe, Mozambique, Nigeria, Kenya, and Cameroon, in addition to its South African activities. Tiger Brands is not only the largest branded food manufacturing company in Sub-Saharan Africa, but it is also a good corporate citizen committed to contributing to South Africa's growth and development (Tiger Brands 2020). Tiger Brands matches its social outreach aims with important national and global priorities that speak to the group's business activities, strategy, and mission, in addition to its own transformation and BBBEE agenda (Trialogue 2015). This explains why Tiger Brands is one of the companies with a large number of devoted customers and supporters.

Research shows that poverty and malnutrition are two of the leading causes of sickness and death in children (Trialogue 2019). According to the United Nations, 1.2 billion people worldwide are hungry (UN 2016). Meanwhile, according to Statistics South Africa, 12 million South Africans are living in abject poverty. Due to a lack of proper

nutrition in their early years, over 30% of South African children endure stunted growth (Tiger Brands, 2021). Food security, as well as the associated challenges of nutrition security and nutrition education, are at the heart of Tiger Brands' socio-economic change goal (Trialogue 2015). Being in the business of producing high-quality goods, the company recognises the essential role it can play as a corporation in raising awareness and fostering collaboration to help the poor and vulnerable (Tiger Brands 2020). Nutrition treatments must be conceptually and programmatically integrated and these dynamics should also be founded on a demonstrated influence at a large scale and practically and action-oriented (Asakura, Todoriki and Sasaki 2017). Relationship between nutrition knowledge and dietary intake among primary school children in Japan: Combined effect of children's and their guardians' knowledge. *Journal of epidemiology*, 27(10): 483-491.). Simply put, this company's CSI programmes are aimed at increasing food access through a network of stakeholders and role players.

Tiger Brands is always seeking new ways to make a long-term social impact by collaborating with a variety of strategic and social partners (Tiger Brands 2020). Government, significant NGOs, customers, suppliers, and other vital players are among the potential partners. Tiger Brands and the Department of Basic Education, for example, have teamed up to meet the nutritional needs of students throughout the long holidays, providing over 72 000 food kits to date (Trialogue 2015). For these collaborations to make meaningful contribution, there must be quality management systems in place to ensure that these projects address the real need of the benefiting communities.

The Tiger Brands Foundation engages in partnerships with non-governmental organisations to furnish approximately 50 million meals annually to disadvantaged communities. According to Devereux et al. (2018), Tiger Brands has distributed 107,000 food parcels to non-governmental organisations (NGOs) for families with vulnerable children and child-headed households. In partnership with the African Children's Feeding Scheme, Tiger Brands' subsidiary, Albany, contributes over 613,000 loaves of bread and 3,156 litres of Black Cat peanut butter annually to undernourished children, orphans, child-headed households, chronically ill patients, and impoverished children aged one to 18 years (Tiger Brands, 2022). In collaboration with the non-profit

organisation Heartbeat Centre for Community Development, Tiger Brands provides monthly food parcels to 190 carers or families who are impacted by HIV/AIDS and are dependent on social grants and are unable to afford a nutritious meal (Tiger Brands, 2022). The endeavours undertaken by Tiger Brands render it eligible to be classified as one of the corporations that have efficaciously enhanced diverse communities in which they conduct their operations. Nonetheless, the inquiry persists as to what extent these initiatives are sustainable.

There are currently multiple efforts in progress aimed at enhancing the nutritional education of students who are involved in the in-school breakfast feeding initiative of the Tiger Brands Foundation. Devereux et al. (2018) have produced a collection of publications that address the significance of maintaining a balanced diet, its influence on growth and development, and recommendations for cooking and food preparation. These publications are designed to be engaging and enjoyable for readers. In 2009, Tiger Brands implemented a comprehensible labelling scheme on their packaging, featuring a nutritional guideline table and the Eat Well, Live Well emblem (Tiger Brands 2022). According to Trialogue (2019), the Foundation initiated the inaugural in-school breakfast feeding programme in 2011 as a complementary measure to the meal provided by the Department of Basic Education's National Schools Nutrition Programme. The initiative was initially implemented in six primary schools located in Alexandra and has subsequently expanded to encompass 64 schools across nine provinces. The programme provides a nourishing breakfast to an estimated 44,000 students, teachers, and school monitors. To date, more than 38 million breakfasts have been distributed to underprivileged students in South Africa. Furthermore, Tiger Brands (2019) reports that 24 kitchens have been equipped with industrial-grade machinery to enhance the efficiency and hygiene of the meal preparation process, thereby promoting the provision of wholesome meals. The aforementioned initiative has demonstrated that a fruitful partnership between the public and private sectors can yield significant positive outcomes for students. This is achieved through the implementation of an in-school meal programme that not only enhances attendance, class participation, and academic achievement, but also mitigates the prevalence of obesity.

As per Trialogue's report in 2015, the Foundation operates in conjunction with various stakeholders, such as the Department of Basic Education (DBE), academic and research institutions (including the Centre for Social Development in Africa at the University of Johannesburg), schools, parents, community leaders, community-based organisations (food delivery partners), and funders and contributors who are keen on supporting food security and school nutrition programmes. The Tiger Brands Foundation recognises the significance of establishing collaborative relationships to merge financial and material resources to bolster pre-existing entities that share common aims and objectives. In furtherance of this objective, Trialogue (2019) reports that a Memorandum of Agreement (MoA) with a duration of five years was executed with the National Schools Nutrition Programme (NSNP) of the Department of Basic Education (DBE) to showcase the resultant collaboration. The Memorandum of Agreement (MoA) regulates the partnership between the Foundation and the NSNP team in the process of identifying beneficiary schools. The selection process involves rigorous evaluation of each school based on predetermined standards before the implementation of the in-school breakfast programme. Since its establishment in 2011, the Foundation's collaboration with the DBE has grown more robust, and it has gained recognition as one of the most prosperous partnerships aimed at enhancing academic outcomes.

Asakura et al. (2017) have identified a notable feature of the collaboration, which is the implementation of a sustained in-school breakfast feeding initiative. This programme is characterised by the provision of standardised and superior branded food items in 64 schools located in nine provinces. The Sishen Solar Facility located in the Northern Cape region has been established as the initial corporate collaborator of the Foundation. According to Trialogue (2019), the Foundation is responsible for managing the programme on behalf of the company, while the company covers the cost of the meals. The programme not only offers sustenance to its participants, but also plays a significant role in generating employment opportunities for approximately 200 individuals who are responsible for the preparation of breakfasts for the Foundation and lunches for the DBE (Tiger Brands 2017). The DBE employs every food handler and provides them with a stipend. Additionally, the Foundation offers training to food handlers on food storage, preparation, and cleanliness. Furthermore, they provide instructions on how to effectively use the industrial equipment that is installed in the kitchens. Following its

participation in the programme, the distribution team has experienced a significant increase in its workforce, enabling it to ensure the delivery of food to beneficiaries residing in remote rural regions across the country. The development of enterprises is a crucial element within the contemporary corporate environment of South Africa. Consequently, the organisation allocates resources towards regional entities that procure and disseminate the fundamental commodities of the programme.

Tiger Brands' efforts have made a significant difference in people's lives in South Africa and around the world. However, simply carrying out these projects randomly may not have a significant influence on the involved stakeholders; therefore, these projects must be continuously monitored and evaluated to ensure that they have the greatest impact possible while consuming the least number of resources. Both the company and the interested stakeholders will benefit from this.

2.10 Overview of Corporate Social Responsibility in Africa

In the African context, CSR has drawn a lot of interest from the academic community. In some ways, Africa is unique because it is a continent that is regarded as being marked by conflicts, environmental degradation, and extreme poverty (Kloppers & Kloppers 2018). As a result, the corporate sector is faced with the moral challenge of balancing the need to maintain global competitiveness with the need to prioritise their overall social responsibilities in line with local needs. Given Africa's low levels of development and high unemployment rate, Carroll's pyramid offers some insight on this problem and recommended that the economic, philanthropic, legal and ethical duties of African leaders should be prioritised when implementing CSR initiatives (Carroll 2008). Carroll's pyramid has been discussed in section 2.2.

Africa is far less researched when it comes to CSR than other continents despite detailed publications which increased insight into CSR in developing nations (Ndiweni and Sibanda 2020). It has been noted that South Africa and Nigeria are frequently included in empirical research that focus on African nations (Inekwe *et al.* 2020). In terms of the entire world, Africa continues to be an outlier with less than 2% of the global GDP and

FDI, and less than 10% of FDI to all developing nations, despite having 13% of the world's population spread among 53 countries (Amoah and Eweje 2020).

The population has nearly reached one billion people after increasing over the past ten years and the discussion of Africa's future gained momentum (Ackers and Grobbelaar 2021). 'This calls for better capacity building and governance, a commitment to peace and security, investments in people, economic growth and poverty reduction, as well as increased and more equitable trade (Bernard 2018). Nearly half of the 81 poorest nations that benefited from the International Development Association are in Africa (Buddu and Scheepers 2022). This shows that business has a crucial role to play in this capacity building process, with much of its contribution necessarily channelled towards CSR, given the dearth of accessible government financing, particularly in the smaller countries which are amongst the less privileged. Investment in people and poverty reduction is done through participatory CSR initiatives.

Through programmes like the New Partnership for Africa's Development (NEPAD), the African Union, and the East African Community, recent African leaders appear to be beginning to assume more responsibility for development (Uduji *et al.* 2019). CSR initiatives are the consequence of internal motivations as well as external pressures for many businesses worldwide (Melisse *et al.* 2018). Corporate ideals, reputation and image, business strategy, and personnel recruitment are examples of internal motivators. The poor quality of regulation and enforcement, the absence of significant civil society oversight, and the relative weakness of consumer agitation for items made responsibly, all contribute to limiting the effectiveness of these internal forces in Africa (Bohling *et al.* 2019).

While big CSR projects in Africa are required to adhere to international norms and guidelines, such as the Equator Principles, these norms also have an impact on local or regional suppliers to multinational corporations (Onyango 2018). Ethics and anti-corruption strategies are major themes in the CSR conversation in Africa. Due to their potentially large negative social and environmental implications, mining, oil, and gas industries in Southern Africa place a special emphasis on CSR (Tanimoto 2019). Beyond these multinational organisations, significant South African corporations are

becoming more involved in CSR and have a presence in other Sub-Saharan African nations as well (Widhagdha and Gumilang 2019). As a result, some of these western CSR ideas are once again being introduced into smaller African governments.

In developed countries, good citizenship has frequently been characterised by a "do no harm" mindset; in contrast, Africa particularly Zimbabwe has many more fundamental development difficulties, such as poverty, political instability, unemployment, wealth disparity, a lack of access to healthcare and educational opportunities, and pandemic HIV/AIDS (Makwara *et al.* 2019). It is obvious that much more effective, locally inspired CSR programmes are needed to address these important issues on the ground, even though some of them are also classic western concerns. As a result, the creation of standards has become a potent instrument for codifying, communicating, and ensuring a shared standard of behaviour as organisations gain expertise with CSR. A variety of standards have been created by organisations and governments in recent years, and these standards have been the main tool for expanding from individual CSR action to larger action. This strategy has helped develop the discipline of corporate responsibility by establishing clarity and a clear set of guidelines and ending fruitless deadlocks between organisations and their critics (Doke and Dadas 2019).

In an effort to improve livelihoods, this study investigates the monitoring and evaluation of CSR in the mining sector and then develops a model that can be used as a standard when developing and implementing CSR programmes in the mining sector in Zimbabwe.

2.10.1 Corporate social responsibility in Zimbabwe

The history of mining in Zimbabwe provides evidence of extensive mining activity that took place for a long time but only serviced the interests of a small number of people. According to Makwara (2019), mining in Zimbabwe was undertaken out without any CSR objectives, whether it was for the purpose of acquiring territory, increasing royal riches, or creating profits, particularly during the colonial time. The capacity to sell, cede, or otherwise transfer mining rights to other parties, such as individual prospectors or mining companies, was granted to the state through the colonial mining policy, which

was vested in the state in such a way that it gave the state the ability to do so (Ndiweni and Sibanda 2020). On the other hand, the demise of the colonial government in Zimbabwe did not immediately result in an improvement in the country's CSR mining policies. As a direct consequence of this, Zimbabwe's mining industry, its contribution to the country's gross domestic product, and the activities that are beneficial to the community all saw sluggish growth between the years 1980 and 1985. On the other hand, the government has implemented a variety of regulations, one of which is law, to control the mining industry.

2.10.1.1 Policies regulating mining and CSR in Zimbabwe

According to the Government of Zimbabwe National Budget Report (2013), the mining sector made a 16% contribution to the country's Gross Domestic Product in 2012. In this 2013 report, the former Minister of Industry and Commerce of Zimbabwe revealed that Zimbabwe's inadequate legislation has resulted in a failure to monitor and evaluate CSR activities, thereby precluding their inclusion in informal reports. The regulation of CSR in the mining sector in Zimbabwe is guided by a set of legislative frameworks, namely the Environmental Impact Assessment Policy (EIAP) of 1994, Mines and Minerals Act, Indigenisation and Economic Empowerment Act (IEEA), and the Companies Act. Although not obligatory, it should be noted that EIAP is not a mandatory requirement. The IEEA and the EIAP was late repealed.

The Mines and Minerals Act regulates the process of resource extraction to ensure that it is conducted in an environmentally and socially responsible manner, without causing harm to the surrounding communities. The Government of Zimbabwe (1961) has implemented legislation to govern CSR initiatives of mining companies, with the aim of reducing the adverse impacts of mining on local communities. As per the provisions of this legislation, remuneration is provided to the Rural District Councils that function as proprietors in the communal lands. Nonetheless, there is a lack of empirical support regarding the utilisation of compensation funds towards community development, potentially implying that the Act may not fully encompass the entitlements of said communities. Kabemba (2013) asserts that the Mines and Minerals Act is antiquated and lacks comprehensiveness in its ability to encompass requisite particulars.

According to the Government of Zimbabwe (2008), the enactment of the IEEA aimed to endow indigenous Zimbabweans with authority by transferring 51% ownership of all companies to them (Mandeverere 2020). The establishment of Community Share Ownership Trusts (CSOTs) was facilitated by this Act, which involved the transfer of 10% shareholding to local communities. CSOTs lack legal recognition as entities; however, the act does not compel that companies should donate money to the CSOTs except on s16 which indicates that businesses should contribute socially to the communities they serve. The management of CSOTs lacks transparency as some companies are declining to remunerate, while others allege that they have made payments to the ministers instead of the communities (Mambo 2014). Following the legislation of the IEEA, the risk of doing business in Zimbabwe is now high making investors reluctant which in turn makes CSR difficult. The IEEA is perceived by investors as a form of nationalisation, as it mandates that Zimbabweans hold a minimum of 51% ownership in all companies (Mandeverere 2022).

History of Zimbabwe shows that mining has been an instrument of the development of communities in rural areas as noted by many towns that were developed around mining in Zimbabwe (Makwara *et al.* 2019). Mining companies seem to deliver CSR where they have a comparative advantage, and their CSR activities seem to benefit their employees and not the communities in the places in which they mine (Anwana 2018). In agreement with this, it has been revealed that their assistance is given to the community in constructing schools, buying books and constructing and electrifying clinics around the mining area to improve their corporate image when they execute their mining activities not because they want to improve the standard of living of the communities (Nhavira 2019). Research done on Implats and Mimosasa concluded that the companies do not have a clear CSR strategy (Kabemba and Madzwamuse 2010). The projects in question fail to consider feedback from the primary demographic segments of the communities, namely women, children, and youth. According to their research, CSR projects by Implats in South Africa are distinctly different from CSR projects by its subsidiaries in Zimbabwe as it appears they take advantage of differing CSR legislation and government attitude (Kabemba and Madzwamuse 2010). Most mining companies are doing CSR for public relations and since CSR is mostly voluntary there is nothing legally binding (Hira & Busumtwi-Sam 2021). According to Dziro

(2014), the lack of specification regarding the recipients of the 51% equity to Zimbabweans means that the IEEA does not effectively grant power to communities.

Mambo (2014) asserts that the legislation pertaining to CSR has presented certain challenges, particularly with regard to the Share Ownership Trust claim. The primary issue is that the affluent members of society are receiving more benefits than the impoverished communities. The absence of clear guidelines in legislation regarding the development of affected communities often results in CSR activities being carried out primarily for the purpose of enhancing public relations (Mining Zimbabwe 2022). Nonetheless, the absence of regulatory frameworks poses a challenge as organisations may engage in CSR initiatives primarily for promotional purposes, potentially at the cost of the welfare of local communities. The implementing regulations on CSR would be beneficial in addressing issues of inadequate corporate governance (Amoako 2017). Hence, it is imperative to assess the impact of inadequate legal framework on the implementation of CSR in Zimbabwe.

Therefore, it is crucial that mining companies in Zimbabwe review their CSR programmes to ensure they are making contributions to the community. To do this, they must foster a constant, positive relationship with the people in their area and make sure that their CSR projects are taken into consideration from a community standpoint (Mandeverere 2020).

Business' key stakeholders include its employees, customers, investors, suppliers, public and governmental officials, activists, and communities. Corporations are expected to develop sustainable strategies aimed at dealing with the intersection between societal needs, the natural environment, and corresponding business imperatives, or taking responsibility of what D'Amato *et al.* (2009) calls the 'three angles of the triple bottom line (TBL)'. Masocha and Fatoki (2018) argues that CSR should not be viewed as philanthropy work or hand-outs, but rather as the implementation of projects that go beyond philanthropy, projects that change and develop communities. Often words and phrases such as social investment, corporate citizenship, corporate conscience, and responsible business are used interchangeably with CSR. In Zimbabwe, CSR has in most cases been confused with charity. Charity is

normally sporadic and lacks sustainability, whereas CSR is specifically created for sustainable development. It is important to note that the definitions of CSR are contextual and influenced by ideological and political aspirations. CSR is generally treated as a charitable activity by companies in Zimbabwe. Poverty eradication in Zimbabwe would result in a healthier population, reducing social welfare costs to governments and the donor community (Mandeverere 2020). This may compel governments to reduce taxes on businesses for giant companies operating in Zimbabwe (Makwara *et al.* 2019). However, there is no comprehensive legislative and policy framework that guides CSR in Zimbabwe; instead, they differ from company to company.

Zimbabwe's population continues to grapple with poverty, living at less than US\$1 per day despite the plethora of natural resources. Poverty is increasing at an alarming rate in Africa and is mainly caused by regimes neglecting the welfare of their citizens (Kibukho 2021). Foreign-owned businesses are not questioned about their non-local development promotion as they harness commodities, and simultaneously deny the country of the benefits (Sachs *et al.* 2019). Companies have in the past invested in CSR programmes, but they seem to be insignificant compared to the profits earned and externalised. This may have led to the Indigenisation and Economic Empowerment Act No. 14 of 2007, which introduced Community Share Ownership Schemes/Trust (CSOT) to compel corporations to invest into the community from which natural resources are exploited (Fuso *et al.* 2019).

This economic indigenisation legislation is aimed at empowering local Zimbabweans and enabling local communities and labour to benefit from natural resources through shareholding and management in various foreign owned companies. This legislation makes it mandatory for all foreign-owned companies worth US\$500,000 and above to reinvest their profits into the society (Contini *et al.* 2020). The confusion around these community trusts, however, raises the question of who is really benefitting from this scheme. The primary role of the state has mainly been the development and enforcement of various legislation, as highlighted above. One of the major statutory instruments currently guiding CSR in Zimbabwe is the ISO 26000: 2010 which is administered by the Standard Association of Zimbabwe (SAZ) (Mawowa 2016). The government of

Zimbabwe endorsed the 2009 initiative by the Institute of Directors, the SAZ, and the Zimbabwean Leadership Forum to establish a corporate governance code which focuses on the development and promotion of CSR as a guiding concept for business operations (Mawowa 2016). In 2010, the US Embassy in Zimbabwe and the American Business Association of Zimbabwe launched the “Investing in Zimbabwe’s Future” CSR Awards. This was an effort to encourage Zimbabwean businesses to invest in community development projects that benefit societies both in the present and in the future. To yield maximum result, these CSR projects have to go through the processes of monitoring and evaluation, so the project managers keep the projects on track towards achieving the set objectives. Thus, this study concludes with designing a monitoring and evaluation framework that aims to provide Zimbabwean companies with guidelines in monitoring and evaluation of CSR projects.

2.10.2 Monitoring and evaluation in Zimbabwe

Mining companies need to implement performance monitoring and evaluation systems due to the large increase in visible homelessness, unjustified hidden poverty, inadequate housing, and insecurity in mining communities (Arapoglou, Gounis & Siatitsa 2015). The UNDP (2011) states that results-based management makes sure that the procedures, goods, and services help to achieve the targeted outcomes (outputs, outcomes, and higher-level objectives or impact). Zimbabwe subsequently adopted the results-based management system in 2005 with the hope that its deployment would enable managers to keep an eye on and assess local authorities' housing service delivery activities. A results-based monitoring system (Madhekeni 2012) is a potent instrument that aids in tracking progress and demonstrating the effects of CSR programmes in the mining sector in Zimbabwe.

In addition to illuminating, informing, and making sense of a complex contextual environment, monitoring and evaluation methods and findings also have the ability to obscure, complicate, and/or oversimplify complicated circumstances and practices. Advocates of the results-based management framework claim that in order to have evidence to support effectiveness and efficiency, it is necessary to have clearly defined expected results, a delivery strategy, measures and evaluations of performance, and

adjustments where necessary. The good news is that African governments, large and small businesses, and the general public are starting to recognize the value of monitoring and evaluation procedures and outcomes that may guide planning and sustainable development.

In addition, there is a positive synergy between monitoring and evaluation and effective governance. Monitoring supports accountability as part of good governance, which fosters a climate that is conducive to monitoring and evaluation (Abrahams 2019). Good governance is a reflective and responsive process created to serve the best interests of stakeholders within a reasonable timeline. According to Makadzange (2020), the majority of devolved systems lack monitoring and evaluation systems, which causes projects to stall and building times to be prolonged. Mining companies should concentrate on enhancing performance and getting outcomes. Monitoring and evaluation emphasises prudent resource management. Systems for managing performance monitoring and evaluation provide data on workforce outputs and outcomes while also fostering two-way communication and delivering feedback to employees. A management information system, staffing, and funding are all components of a performance monitoring and evaluation system (Government of Zimbabwe 2015). Due to the requirement for monitoring or tracking progress in accordance with their objectives and indicators, along with an evaluation that can look at broader considerations, results-based monitoring and evaluation provides essential information about public sector performance, views over time on the status of a program, promotes credibility and public confidence, assists in formulating and justifying budgets, and identifies promising practices.

The monitoring of CSR programmes necessitates periodic inspections and daily evaluations of activity levels and results. To enable mining companies to provide CSR benefits to underserved communities, the planning and implementation of CSR should be regularly monitored. Different monitoring and evaluation techniques lead to the development of disjointed monitoring and evaluation systems for CSR projects. Since stronger group and individual capabilities are needed to achieve the targeted CSR results through the use of technology, monitoring and evaluation capacity development demands for socioeconomic development projects are not fully met (Govender 2016).

To improve mining companies' accountability, Madhovi (2020: 148) suggests implementing social accountability mechanisms such as effective information dissemination, participatory budgeting, community budget monitoring and assessment, public expenditure tracking, and citizen report cards.

2.11 Conclusion

The impact of resources spent on CSR, is a requirement for organisations and CSR should be measured in order to determine the social impact of such initiatives on businesses and society. In addition, companies should analyse their CSR programmes and analyse the impact they have on society and the company. Efforts were made over the years to establish tools and models that can help measure the impact of CSR on a company's triple bottom line.

This chapter outlined literature on CSR and provided an appraisal of how it operates within the South African context, the socio-economic environment in which South African companies operate has been clearly outlined and discussed. The chapter further discussed the motivating factors for CSR from an international perspective. The policies embarked upon by the government that is the Reconstruction and Development Plan, and the Growth, Employment, and Redistribution Initiatives were also unpacked. The chapter analysed the flagship of South African CSR legislation, such as the BBBEE; the EEA, and the 2008 Companies Act. The chapter reflected on the need to measure, monitor, and evaluate CSR's impact on a company's triple bottom line. The chapter concludes by detailing best practice examples for CSR in particular the Old Mutual South Africa, Exxaro and Tiger brands. The following chapter unpacks the theories underpinning CSR. The chapter unpacks three theories, stakeholder theory, Institution theory and legitimacy theory that are relevant when planning and implementing CSR projects that positively impacts the lives of local community members.

Chapter Three

Theories underpinning Corporate Social Responsibility

3.1 Introduction

The previous segment scrutinised the body of literature concerning Corporate Social Responsibility (CSR) in the context of global, South African, and Zimbabwean settings. The chapter provided an in-depth analysis of the South African government's official stance on CSR, and examined several policies and frameworks, including the Reconstruction and Development Programme (RDP), Growth, Employment and Redistribution (GEAR), Broad-Based Black Economic Empowerment (BBBEE), the Companies Act, and the Batho Pele Principles. The present chapter elaborates on the theoretical underpinnings that are relevant to the concept of CSR. The theories that have been previously mentioned include stakeholder theory, institutional theory, and legitimacy theory. The aforementioned theoretical frameworks are not mutually exclusive, but rather exhibit a high degree of complementarity owing to their interdependence and shared attributes (Mahmud 2019; Silva 2021; Freeman and Dmytriiev 2017; Ching and Gerab 2017; Waheed, Zhang Rashid and Zaman Khan 2020; Nair and Bhattacharyya 2019). The theories mentioned above provide a foundation for empirical research on the implementation of CSR in various contexts and the underlying drivers of the adoption of such practises (Sari and Prihandini 2019). Islam et al. (2021) assert that the utilisation of CSR theory can enhance the understanding of CSR practises and provide a deeper understanding of the CSR concept. The objective of the current investigation is to establish the theoretical basis of CSR by integrating multiple theories and identifying their converging attributes to establish their interrelationships.

Within the extensive institutional behavioural forecasts, an organisation may be motivated to engage in CSR practices such as involvement in CSR activities, publishing CSR disclosures, maintaining a stakeholder dialogue, and/or strategising the organisational behaviour by integrating CSR activities with the organisation's business strategy (Nair & Bhattacharyya 2019). Drawing on these convergent predictions or

assumptions of organisational behaviour and organisational CSR behaviour, legitimacy theory, stakeholder theory, and institutional theory predict the possible reasons for an organisation's engaging in CSR activities including need to legitimise the business or organisation, need to perform accountability to the organisation's stakeholders, sometimes based on the extent of the stakeholders' power and need to conform to legitimate norms and beliefs those are largely imposed on an organisation, which ultimately leads to homogeneity in organisations in the same field.

3.2 The Stakeholder theory

The proposal by of stakeholder theory as a foundational theory for understanding and optimising the relationship between the organisation and the society (Barney & Harrison 2020). Stakeholders are constituent groups of people (stakeholders) who can influence or can be influenced by organisational activities (Lindgren. Hug & Carling 2021). Organisations need to consider the interests of its stakeholders as it carries out its core business duties. There is a distinction between primary and secondary stakeholders.

The stakeholder theory is concerned with the relationship that exists between an organisation and its stakeholders. In South Africa, the Stakeholder approach to CSR is the most widely accepted. To substantiate this, both the King III Report on Corporate Governance and more recently the King IV Report states in Principle 16 that the governing body of an organisation should adopt a stakeholder-inclusive approach to corporate governance, the one that balances the needs, interests, and expectations of material stakeholders in the best interest of the organisation (IoDSA 2016). Despite these notions, a deliberate argument could be, the theory does not specify the extent of stakeholder inclusion that the business must reach to be considered socially responsible.

On the question of who a stakeholder is, the King IV Report on Corporate Governance describes stakeholders as groups or individuals that can be affected, to a reasonable extent, by an organisation's business activities, outputs, or outcomes, or those whose actions can reasonably affect the ability of the organisation to create value (IoDSA

2016). The Report classifies stakeholders into two broad categories, namely, the internal stakeholder and the external stakeholder. In the context of this study that is investigating the monitoring and evaluation of CSR in the mining sector in Zimbabwe, internal stakeholder includes those people or groups who are directly affiliated with the mining company, such as the company's governing body, management, employees, and shareholders. External stakeholders of these mining companies include trade unions, civil society organisations, government, and customers (Institute of Directors Southern Africa 2017). These stakeholders are equally important as they play a significant role in the success of the business economically, socially, and environmentally. This study aims to assess the views of stakeholders in terms of their experience with CSR projects so as to contribute to the improvement in the livelihoods of people in local mining communities in Zimbabwe.

Stakeholder theory recognises that CSR permeates all aspects of the business and general society (Huq and Carling 2021). This theory adopts a more holistic approach towards CSR implementation. Organisations have an obligation as well as ethical duties beyond the precincts of the law to all stakeholders, ranging from employees, communities, governmental organisations, political groupings, customers, suppliers, trade unions, competitors, as well as any other groups who are affected by the organisation's activities (Harrison *et al.* 2019). Upholding these ethical duties help to build and maintain a healthy relationship between the organisation and its internal and external stakeholders (Carnevale 2019). This can result in stakeholder loyalty and more returns in the long run. These principles of stakeholder theory are somewhat lacking in the Zimbabwean context and as a result the study uses South Africa to unpack this theory as it shares the same characteristics of a developing country.

Stakeholder theory is classified into two distinct categories, namely, the descriptive and Normative Models (Brin and Nehme 2019). In addition, these researchers contend that the normative model of Stakeholder theory assumes that the organisation should consider the legitimate interests of all its stakeholders. The authors also contend that proponents of the normative model believed that organisations have a responsibility to all its stakeholders. Hence, stakeholder identification and level of importance are not relevant. The descriptive model of the theory is the one in which the organisation seeks

to identify the level of importance of its stakeholders and devises a means to manage stakeholder relationships (Ihlen 2018). When linking stakeholder theory to CSR practice, Barney and Harrison (2020) contend that the theory emphasises the accountability of the organisation, as well as the rights of stakeholders. The author maintains that in the process of being accountable to its stakeholders, organisations are required to disclose certain information to its stakeholders (Dragu 2018). Such disclosures should not only be restricted to financial or regulated information but should also include non-financial information, such as social and environmental concerns (Carnevale 2019). This gives rise to the question: what information should be disclosed to stakeholders and what should not be disclosed?

Based on these arguments, the theory of stakeholder involvement is practically applicable to democratic and advanced countries. Developing countries like South Africa and Zimbabwe should make an effort to include community members to participate in developmental projects that concerns them. Engaging beneficiaries in CSR can bring a wide range of benefits. For example, for many businesses, local customers are an important source of sales (Ansong 2017) and demonstrating commitment to your community can also improve your business reputation and, in turn, make it easier for you to recruit or retain employees (Tamvada 2020). A good relationship with local authorities can also help. For instance, some local authorities prefer to award contracts to businesses with a record of community involvement. This can be done through the use of monitoring and evaluation strategies of CSR programmes which will improve the impact of these projects to benefit both the organisation and surrounding communities.

3.3 The Institutional theory

The Institutional theory examines organisational forms and explains the reasons for having homogeneous characteristics or forms in organisations that are within the same organisational field (Li *et al.* 2018). Organisational field is defined as those organisations that, in the aggregate, constitute a recognised area of institutional life: key suppliers, resource and product consumers, regulatory agencies, and other organisations that produce similar services or products (Silva 2021). Institutional theory views

organisations as operating within a social framework of norms, values, and taken-for-granted assumptions about what constitutes appropriate or acceptable economic behaviour. In line with institutional theory, organisations conform within an organisational field, perhaps due to institutional pressure for change, because in return they are rewarded for doing so through increased legitimacy, resources, and survival capabilities (Chiu 2018). In the Zimbabwean mining industry, like any other sector, stakeholders have expectations, for example the community members expect the mining company to implement developmental projects to eliminate poverty in these areas. Multinational companies and other established mining companies in Zimbabwe are using mining revenues to improve the standards of living for local people by providing financial compensation for the loss of land, housing and livelihoods (Mandeverere 2020). Community involvement initiatives that mining companies may employ include: Infrastructure improvements – for example, building access roads, community buildings and schools. Contrary to this theory, new in businesses are given unnecessary pressure to match systems and values of those in the same field, thus, some of them end up failing given the political and economic situation in Zimbabwe.

Each organisation belongs to a field that is structured, various powerful forces emerge within society, which causes organisations within that field to have similar beliefs (Yang 2018). Two dimensions exist in institutional theory: isomorphism and decoupling. Isomorphism is a concept that best describes the process of homogenisation (Aggarwal and Jha 2019). Isomorphism is defined as a constraining process that forces one unit in a population to resemble other units that face the same set of environmental conditions (Van Wiik *et al.* 2019). Isomorphism can be broken down into two components: competitive isomorphism and institutional isomorphism. Competitive isomorphism is referred to as how competitive forces drive organisations towards adopting least-cost efficient structures, and practices (Nair and Bhattacharyya 2019). Institutional isomorphism can be broken down into three different isomorphism processes such as coercive isomorphism, mimetic isomorphism, and normative isomorphism (Font *et al.* 2019). The first of these processes, coercive isomorphism, relates to external factors, such as shareholder influence, employee influence, and government policy. So, this process arises because of the pressure from powerful or critical stakeholders (upon whom an organisation is dependent) to change an

organisation's institutional practices such as CSR reporting (Karyawati *et al.* 2020). The process of coercive isomorphism is related to the managerial perspective of stakeholder theory which focuses on powerful stakeholders.

In discussing how coercive isomorphism creates some form of homogeneity within organisations, it is important for organisations to understand that they could be coerced into adopting its existing voluntary corporate reporting practices to bring them into line with the expectations and demands of its powerful stakeholders (Li *et al.* 2018). Because these powerful stakeholders might have similar expectations of other organisations as well, there is a tendency of conformity in the practices being adopted by different organisations - institutional practices will tend towards some form of uniformity (Van Wiik *et al.* 2019). Contrary to this argument, businesses tend to focus on the expectations of its influential stakeholders like the media and the government, thus, forgetting the expectations of less powerful stakeholders like the communities they operate in failing to fulfil their expectations. The mining industry has institutionalised the implementation of developmental projects and the involvement of stakeholders has become crucial for the success of CSR programmes (Nhavira 2019). Thus, in South Africa, the development of King Report IV has evidenced the importance of sustainability reporting and stakeholder engagement on organisation activities (King IV 2016).

The second process, mimetic isomorphism, involves organisations trying to emulate or copy other organisations' practices, mainly to obtain a competitive advantage in terms of legitimacy. It is one of the powerful forces which encourages imitation (Font *et al.* 2019). In explaining the reasons for having mimetic isomorphism, any organisation which failed (at a minimum) to follow innovative practices and procedures adopted by other organisations in the same sector would risk losing legitimacy to the rest of the sector (Nair and Battacharyya 2019). CSR reporting would be one of these innovative practices that could help to maintain and enhance corporate legitimacy. Based on these comments, some companies are engaging in CSR to withstand competition in the field. This may be detrimental in the long run as companies may focus more on CSR for competition, forgetting to address the real needs of the communities with their CSR projects.

In terms of voluntary reporting practices, normative isomorphic pressures could arise through less formal group influences from a range of both formal and informal groups to which managers belong - such as the culture and working practices developed within their workplace (Font *et al.* 2019). This pressure from common values may cause more harm if not handled professionally. Thus, companies end up focusing on the standards and values of a particular field rather than the needs and expectations of the stakeholders. Mining companies use voluntary practice reporting as there are no guidelines to be followed when reporting on developmental projects.

Institutional theory allows for a better understanding of CSR by allowing CSR to be examined within the context of the nation, culture, and institutional context in which it is being applied (Van Wiik *et al.* 2019). This theory also allows for the acknowledgment of the interdependencies and interactions among stakeholders, which is vital to understanding CSR. In addition, institutional theory allows for CSR to be seen as being located in a wider responsibility system in which business, government, legal, and social actors operate according to some measure of mutual responsiveness, interdependency, choice, and capacity (Chiu 2018). As a result, organisations should make an effort to conform to the values and expectations in the industry they belong to.

The institutional theory has been further expanded by the New Institutional Economics (NIE) which comprises of economists and social scientists who believe that free markets must be couched in an institutional context and advocates for a more holistic approach (Aggarwal, and Jha 2019). The aforementioned approach acknowledges the pervasive nature of CSR across both the business and societal domains. According to Otu (2018), the emergence of NIE analysis on CSR can be attributed to various factors. The aforementioned approach acknowledges the pervasive nature of CSR across both the business and societal domains. According to Otu (2018), the emergence of NIE analysis on CSR can be attributed to various factors. These include the state's inability to provide extensive social services and resolve conflicts, the growing recognition of the role played by corporate managers and directors in society, and the pressures brought about by globalisation and international trade. Additionally, the increasing complexity of society, including issues of equity with respect to different cultures, as well as the need for accountability, have also contributed to the development of NIE analysis on CSR.

It is widely held that business managers and directors should prioritise transparency as a fundamental objective. This pertains not only to their responsibilities towards business owners and shareholders, but also towards society at large (Liu *et al.* 2018). The NIE also contends that firms are an integral part of society, and their activities have a bearing on the lives of many people other than the owners. This implies that business organisations have ethical obligations towards all their stakeholders and these obligations extend beyond the precincts of the law but also encompass the established value systems. Thus, it is also important that organisations adhere existing social values of the communities in order to meet the expectations of the society they operate in. The following section details the legitimacy and its relevancy in the study.

3.4 The Legitimacy theory

Legitimacy is defined as a presumption that an organisation's actions are consistent with socially established value systems and so seen desirable or suitable (Silva 2021). As a result, legitimacy is best understood as socially created (Dube and Moroun 2017) and frequently defined in terms of a social compact between corporations and their stakeholders. This can include communities where businesses operate and local authorities as a result of globalisation, international groups of investors, non-profit organisations, and consumers (Janang, Joseph, and Said 2020). To ensure continuity, businesses must persuade significant stakeholders that they do more benefit than harm (Sari and Prihandini 2019). For this reason, this study uses both stakeholders from within and outside of the two selected mining companies to understand the nature of CSR programmes that are meant for the upliftment of communities in Zimbabwe.

The notion of legitimacy is cantered on respect, fairness, and trustworthiness. Trust qualifies organisational practices as legitimate (Silva 2021). Organisational legitimacy is premised on the compatibility between the organisation and its environment (Mahmud 2019). In other words, organisational legitimacy refers to the extent to which the collection of conventional cultural narratives justifies organisational existence. The legitimacy theory implies that a social contract exists between a business organisation and the respective societies in which it operates (Velte 2021). The contract assesses whether an organisation operates within the bounds and norms of society or simply the

expectations of society. This study seeks to understand stakeholders' perception by administering a questionnaire and interviews to both the mining companies 'employees and the community members. Legitimacy theory has the assumption that a company's actions conform to a socially constructed system of norms, values, beliefs, and expectations as it postulates that organisations are inseparable from society and that they exist as far as society confers legitimacy upon them. Hence, organisations cannot exist separately from society (Islam, Kokubu, and Nishitani 2020). The legitimacy theory is a congruence between an organisation's value system and that of the larger social system of which it is a part (Watts, Fernie, and Dainty 2018; Velte 2021). In addition, these authors maintain that when applying the legitimacy theory, an organisation may find it difficult to succeed without the consideration of aligning goals and methods to the society's expectations. From this argument, it can be concluded that the theory does not give room for growth of businesses who are still new in planning and implementing CSR projects as they can easily fail if the community finds their processes unacceptable.

Using the same ruler to measure the expectations of both the new and existing businesses will do more harm than good to new and small businesses. According to the authors, this is a major limitation of the legitimacy theory (Janang *et al.* 2020). To align with the Legitimacy theory, companies may engage in CSR projects and reporting as a strategy to retain, gain, and regain their legitimacy within society. However, the downside of legitimacy theory is that it has the propensity to cause companies to refrain from disclosing unfavourable or bad news relating to their operations if they think that disclosure may decrease their legitimacy.

Numerous theories have been employed as theories supporting CSR to understand integrated reporting practices (stakeholder, institutional and legitimacy theory), it is thought that no single theory can solely explain CSR reporting practices since the field is complicated (Silva 2021; Watss *et al.* 2018)). Using multiple theories can provide deeper insights on CSR practices and a more comprehensive knowledge (Velte 2021). Furthermore, the theories are complementing rather than competing (Sari and Prihandini 2019). Stakeholder theory, institutional theory and legitimacy theory are three ideas that are used to describe CSR practices in this study. The mining sector in

Zimbabwe is one of the industries that is known for implementing community development projects, however, people in Zimbabwe continue to live in poverty which raises questions about the value of CSR in the mining sector. This study investigates the monitoring and evaluation of CSR in Zimbabwe to understand the policies that are used when developing developmental projects and how it determines the success or failure of the projects.

3.5 Conclusion

This chapter discussed theories that underpin the implementation of CSR programmes around the world. Three theories discussed were the stakeholder, institutional and legitimacy. The Stakeholder theory holds that company leaders must understand and account for all their company's stakeholders. These are constituencies that impact the organisation's operations and are impacted by its operations. The Stakeholder theory can help companies maintain stability in a turbulent environment, conducive to the company's long-term sustainable development, and reduce conflicts between various groups in the decision-making process. Considering stakeholder's input when engaging in developmental projects is important as it allows for participatory decision making which results in improved impact of these CSR projects.

The Institutional theory focuses on the roles of social, political and economic systems in which companies operate and gain their legitimacy. Institutional theory is an approach to understanding organisations and management practices as the product of social rather than economic pressures. It is important for organisation to follow the standards in the industry that it belongs to. Considering the institutional theory, organisations in the mining sector in Zimbabwe are encouraged to engage in activities such as monitoring and evaluation of developmental projects to conform to the standards of the industry and to improve the standards of living of the local community members.

The Legitimacy theory is the tool that manages the stakeholders' perceptions and the need for attaining the organisational legitimacy. Thus, legitimacy offers an organisation the right to perform its activities in consensus with stakeholders' interests. The

Legitimacy theory has the role of providing an explanation of the disclosure of social, economic, and environmental information. This can be achieved through monitoring and evaluation and reporting of these CSR programmes. The following section, which is the final literature chapter discusses the monitoring and evaluation of CSR projects. In unpacking this, the study discusses the objectives of monitoring and evaluation, sustainable development goals, the critical factors influencing the development of CSR projects and the best practice examples for monitoring and evaluation.

Chapter Four

Monitoring and Evaluation of Corporate Social Responsibility

4.1 Introduction

Social and community development programmes have become critically important for companies worldwide. Company management that executes CSR activities effectively and ensure the true transformation of the socio-economic environment are regarded as good corporate citizens (Kibukho 2021; Lalendle 2021). Thus, these companies should consider monitoring and the evaluation of their CSR activities to ensure that they achieve their aim of transforming the environment (Reddy 2016). This chapter discusses literature on monitoring and evaluation relating to CSR programmes that can contribute to survival in this competitive world and enable companies to give back to the communities that supports the business. In essence, the chapter details critical strategies such as the King Report on corporate governance to understand the importance of monitoring and evaluation of CSR programmes. The chapter uses literature from the South African context as Zimbabwe has limited literature on CSR policies to guide businesses to operate in a responsible manner. The chapter discusses the sustainable development goals and best practice for CSR from a global perspective. In unpacking the monitoring and evaluation of CSR, the chapter details the objectives of monitoring and evaluation frameworks and the importance of achieving these objectives. The chapter further unpacks the critical factors influencing the development of CSR projects and monitoring and evaluation as a donor requirement. The chapter concludes by providing examples of best practice in monitoring and evaluation.

4.2 Monitoring and Evaluation

In contemporary society, it is imperative for organisations to monitor and evaluate their advancement towards attaining aims and objectives as a means of gauging their level of achievement. The implementation of monitoring and evaluation can offer a holistic approach for organisations to establish monitoring and evaluation frameworks, gather

stakeholder data, promptly consolidate data, and scrutinise outcomes to facilitate informed decision-making based on data (Singh et al. 2018). The process of monitoring and evaluation entails the systematic collection and analysis of data to gauge the advancement made towards the attainment of predetermined goals and objectives (Gutierrez 2015). This procedure facilitates the identification of effective and ineffective aspects within organisations, enabling informed decision-making regarding programme and project enhancement.

The mining sector in Zimbabwe is mainly involved in water and sanitation projects (Makwara *et al.* 2019). In the event of water and sanitation, applying monitoring and evaluation on community development initiatives is aimed at enhancing the availability of hygienic water and sanitation facilities in remote regions (Segura & Pedregal 2017). The programme may encompass the implementation of borehole drilling and latrine installation, community education initiatives, and awareness campaigns. The monitoring component of the programme entails gathering data on the number of constructed wells and bathrooms, the proportion of families with access to hygienic water and sanitation facilities, and the extent of participation in educational and awareness initiatives (Hira & Busumtwi-Sam 2021). Data is continuously collected to evaluate the programme's performance and identify any potential issues. The evaluation aspect of the programme involves a comprehensive analysis of the programme's effectiveness and its overall impact. One possible approach is to carry out surveys among members of the community to assess alterations in their knowledge, attitudes, and behaviours pertaining to clean water and sanitation (Tilbury 2009). Additionally, changes in water quality and health outcomes can be measured. The data is collected after the programme's implementation and is utilised to evaluate the initiative's overall efficacy.

In contemporary society, it is imperative for organisations to monitor and assess their progress towards attaining goals and objectives as a means of gauging their level of achievement (World Health Organisation 2019). The implementation of monitoring and evaluation practices can offer a comprehensive solution for organisations seeking to establish monitoring and evaluation frameworks, gather stakeholder data, promptly consolidate data, and scrutinise outcomes to facilitate informed decision-making based

on data (Lalendle *et al.* 2021). The process of monitoring and evaluation entails the systematic collection and analysis of data to gauge the advancement made towards attaining predetermined goals and objectives. This procedure facilitates the identification of effective and ineffective aspects of organisational programmes and projects, enabling informed decision-making regarding potential improvements (Segura & Pedregal 2017).

The monitoring and evaluation plan is a formal document that delineates the monitoring and evaluation undertakings that an entity will carry out to gauge the efficacy of its programmes and projects. The statement presents a coherent structure for the acquisition, examination, and application of data to arrive at well-informed conclusions. The formulation of a monitoring and evaluation plan is a crucial aspect of project management, as it enables the systematic tracking of progress towards the attainment of project goals and objectives (World Health Organisation 2019).

To sum up, monitoring and evaluation plays a crucial role in results-based management and the attainment of developmental objectives. This enables entities to monitor advancement, assess influence, and arrive at well-informed determinations regarding resource allocation (Gutierrez 2015). Organisations can ensure the practicality and efficiency of their programmes and projects by adhering to the guidelines established by the United Nations, establishing a comprehensive monitoring and evaluation framework, and leveraging available data (Tembo 2018). The implementation of monitoring and evaluation is a crucial aspect for organisations seeking to evaluate the efficacy of their projects and quantify the outcomes of their endeavours. The monitoring and evaluation framework is a strategic instrument that facilitates the systematic planning and execution of M&E initiatives by organisations (Markiewicz & Patrick 2015). Monitoring and evaluating developmental operations give businesses a greater chance to learn from past mistakes, improve the service delivery system, plan and optimise resource allocation, and demonstrate results to key stakeholders as part of their accountability (Anwana 2018). It may be extrapolated that corporate interventions that are in tune with people's needs, as well as the implementation of these programmes with active citizenship, improve monitoring and assessment quality. Monitoring and evaluating growth activities allows organisations to learn from previous events, which

aids in improving service delivery methods, planning systems, and the equitable and optimal allocation of various resources, as well as the demonstration of outcomes as part of being significant to stakeholders (Serrano Archimi, Reynaud, Yasin, & Bhatti 2018). To emphasise this, businesses may consider implementing monitoring and evaluation systems to ensure transparency to their stakeholders.

Monitoring and evaluation, according to Reddy (2016), is a tool that may be utilised to improve the ability to consult, coordinate, and engage with a wide range of stakeholders. In addition, Kim (2016) notes that monitoring and evaluation is a self-reinforcing method for assessing progress and assessing results. According to Rampersad (2015), evaluation is the rational and objective appraisal of a current or completed programme, initiative, or policy, as well as its design, implementation, and outcomes. Specifically, evaluation is described as a systematic and objective examination of a current or completed project, programme, or policy, including its design, implementation, and outcomes. In addition, monitoring is defined as a recurrent task that provides for the documentation of findings, processes, and experiences to guide decision-making and learning (Phan, Islam, Nguyen, & Bauschert 2019).

Monitoring and evaluation can be used to demonstrate that programme activities have a verifiable impact on desired outcomes and are carried out correctly. It is crucial for managers, planners, implementers, policymakers, and contributors to have the data and insights they need to make informed programme operations decisions. In essence, monitoring and evaluation is helpful in finding the best and most cost-effective use of resources. It is essential for arriving at objective conclusions on the degree to which programmes are successful. Thus, monitoring and evaluation work together to provide the data needed to guide strategic planning, design and implement programmes and projects, and more effectively allocate and re-allocate resources. It can be concluded that monitoring is integral to evaluation and during an evaluation, information from previous monitoring processes can be used to understand the ways in which a programme can be developed and stimulate change. The following section details monitoring and evaluation of CSR programmes. The purpose of programme monitoring and evaluation is to preserve a systematic record of implementation and outputs, as well

as to assess programme effectiveness (Mandevero 2020). It assists in establishing whether a programme is on track and whether revisions are necessary.

Monitoring and evaluation are indispensable instruments for organisations to guarantee that their programmes and projects are attaining their desired objectives and generating a constructive influence (Reddy 2016). Through consistent data collection and analysis, organisations can pinpoint opportunities for enhancement, adapt their tactics accordingly, and showcase their effectiveness to stakeholders (Fairus & Sihombing 2020). It is imperative to acknowledge that the process of monitoring and evaluation ought to be a continuous undertaking, rather than a singular occurrence, and encompass all pertinent stakeholders, including recipients of the programme (Moroe, Khoza-Shangase, Madahana & Nyandoro 2019). Furthermore, it is crucial to employ suitable techniques and instruments for gathering and scrutinising data while ensuring its precision, dependability, and authenticity (Wilson 2022).

4.2.1 Monitoring and evaluation framework for CSR in South Africa

Monitoring and evaluation is designed to be both strong and practical, allowing for the development, gathering, and analysis of standardised data to assess the action plan's success and to influence operational and strategic decision-making at the national and global levels. Other significant goals include improving data availability and quality, minimising or combining different data collecting and reporting obligations and promoting accountability at all levels (Lalendle 2021). The framework is established in consultation and collaboration with numerous national and international partners and experts and is based on experience and expertise from a variety of areas relating to CSR (Boring 2019). When designing monitoring and evaluation framework objectives for CSR, it is important for businesses to include all stakeholders of the CSR project. This makes it possible to set strategic goals that can be achieved using available systems and resources.

The monitoring and evaluation framework includes a list of indicators that should be compiled at the country level using primary data collection systems and are available globally from secondary sources. In broad terms, the target audience for the framework

is personnel from various departments who are implementing the CSR programmes, foreign partner agency personnel working on the project at national, regional, and global levels, and policymakers, researchers, and consultants advising national officials on monitoring and evaluation systems for the project (Rodriguez-Gomez 2020). Collaborative efforts by all stakeholders can contribute to ensuring that the objectives will be specific, measurable, attainable, and realistic and time bound.

The objectives of monitoring and evaluation framework of CSR programmes in South Africa include generating profits from organisational operations through continuous productivity at lower operating costs and mutual communication between the organisation and the recipients of CSR, initiating development projects of choice that are competitive and boosting socio-economic development of communities in which businesses operate in (Boring 2019). In addition, monitoring and evaluation reduce environmental impacts by minimising waste and consumption of natural resources at the same time decreasing the business's emissions of gasses that pollutes the air, thus, promoting their use in an ecological and sustainable manner (Mapfumo 2016).

Corporate Social Responsibility (CSR) frameworks strive to execute organisational policies that endorse sustainability endeavours and safeguard the environment for the advantage of both current and future generations (Rodriguez-Gomez 2020). Furthermore, the implementation of a monitoring and evaluation framework facilitates the establishment and sustenance of secure work systems for both organisations and the communities they serve, by means of proficient management strategies that enhance the well-being and safety of all stakeholders involved. The consideration of stakeholders is a crucial aspect in making CSR decisions that have a direct impact on them. This approach fosters clarity of responsibilities among stakeholders, as noted by Lalendle (2021). Consequently, organisations are encouraged to take responsibility for their entire social cost by avoiding the transfer of external costs to society.

4.2.2 The Sustainable Development Goals

Societies agree that they want to achieve a balance of economic growth, environmental sustainability, and social inclusiveness, although the specific goals vary internationally,

between cultures, and within the sustainable development goals (Sachs *et al.* 2019; Moyer and Hedden 2020; Di Vaio *et al.* 2020). These researchers advise that no agreement has been reached on the trade-offs and synergies between economic, environmental, and social objectives. Nonetheless, a common focus on economic, environmental, and social goals is a characteristic of sustainable development and offers a broad consensus upon which the world may build (Fonseca, Domingues, and Dima 2020).

The triple bottom line's urgency stems from a new understanding brought to world awareness by earth science and the yearly changes that occur around us. The past few years have witnessed an increasing need for sustainable development in corporate operations. This trend has been primarily driven by the recognition that the absence of a safeguarded biosphere would render any attempts to build a functional economy and society futile (Rockström, Steffen Noone, Persson, Chapin, Lambin, Foley 2009). Consequently, numerous corporations aim to shift their focus from singular financial accounting to a more comprehensive approach known as the quadruple bottom line. The Quadruple bottom line adopts the triple bottom line perspective, encompassing the interrelated dimensions of environment, economy, and society. However, it further expands upon this approach by introducing a fourth pillar, namely culture. The term "culture" is a dynamic concept that encompasses various definitions. According to dictionary sources, culture refers to the customary beliefs, social forms, and material traits of a particular racial, religious, or social group (Merriam-Webster 2021). Sustainable development goals are a blueprint for a better and more sustainable future for everyone. Poverty, inequality, climate change, environmental degradation, peace, and justice are among the worldwide concerns they address. Sustainable development goals ensure that all human beings can live successful and satisfying lives, and that economic, social, and technical progress occurs in accordance with nature (Fuso, Sovacool, Hughes, Cozzi, Cosgrave, Howells, Tavoni, Tomei, Zerriffi, and Milligan, 2019; Fonseca *et al.* 2020). Inequality is one of this generation's defining challenges, and it deserves a commensurate emphasis, which has so far been lacking (Mio, Panfilo and Blundo 2020). To address this, sustainable development goals were introduced.

The SDGs include 17 goals relating to social, ecological, and economic outcomes in order to achieve their goals of ending poverty and hunger, protecting the environment and ensuring that all human beings can have successful and satisfying lives (Moyer and Hedden 2020). These sustainable development goals act as compass points for a tough shift to sustainable growth (Mio *et al.* 2020). All 193 UN Member States have committed to the SDGs by 2030 (United Nations 2016). The SDGs are supported by continuations long run plans and performance framework that includes 169 targets and 232 indicators in total. As a result, the SDGs have been dubbed of the next age of transformational human development and the driving vision for governmental, corporate, and civil society activity for a shared and lasting prosperity (Fuso *et al.* 2019). Figure 4.1 shows the 17 SDGs.'

Figure 4.1 Sustainable development goals



Source: United Nations (2015)

Despite the fact that the global public policy-making apparatus has gathered around the SDGs, they are not without their detractors, however, given the SDGs' new entry on the policy arena, these critiques have not yet been fully articulated in the academic literature. Concerns are likely to arise in two areas: the implementation of the Goals and the ideological commitments embedded in the Goals (Vinuesa *et al.* 2020). These criticisms are predictable, as they have been used to criticise the millennium development goals and the concept of sustainable development in the past. According to Ruhil (2015), there existed a prevalent sentiment among policymakers and civil

society that advancements in the areas of poverty reduction, hunger alleviation, and disease mitigation have been noteworthy. The author also notes that the millennium development goals have been instrumental in facilitating such progress. Furthermore, there was a consensus that globally established objectives aimed at combating poverty ought to persist beyond the year 2015. Amidst the perilous climate change and other consequential environmental issues, there exists a prevalent recognition that global environmental goals must be accorded greater prominence in conjunction with poverty alleviation objectives (Chaudhuri 2015). Concerns about governance and execution arise from a variety of sources, including links between the SDGs and existing governance processes. It is important to investigate how the SDGs complement international law; the placement of agency at the state level which is contested due to globalisation; and control and accountability technologies (Biermann *et al.* 2017). There have long been debates in this context that question the possibility of continued economic growth, contest notions of development, and investigate the impact of class, gender, and race on life experiences, as well as the impact of past and present colonisation (Sachs *et al.* 2019; Moyer and Hedden 2020). The SDGs use the development projects to achieve its goals of poverty alleviation and it is important that these projects make use of monitoring and evaluation techniques for them to be more impactful to their communities. This study brings in the idea of monitoring and evaluation in the mining industry which may assist the benefiting Zimbabwean communities to experience better impact from developmental programmes at the same time contributing to development goals to achieve its objectives.

It is important to recognise that, despite the enthusiasm for the SDGs, its implementation may be expected to have more challenges. However, their formulation suggests that we have entered a new era in which human activity is pushing critical global ecosystem functions past a dangerous threshold, beyond which the earth may well encounter abrupt, highly non-linear, and potentially devastating outcomes for human wellbeing and life in general (Weber, 2017; Zeng, Maxwell, Runting, Venter, Watson and Carrasco 2020). Notwithstanding the problems mentioned above, inaction is not an option, the world has to engage necessary stakeholders to design development projects that addresses the socioeconomic problems facing the world. For these projects to yield better impact, there is need for monitoring and evaluation strategies that allows

for effectiveness and efficiency of the projects from the planning to the implementation phase. This study specifically investigates the monitoring and evaluation of CSR projects in the mining sector in Zimbabwe in order enhance organisations' understanding of their role in socioeconomic development which is aimed at the upliftment of communities in which these companies operate in.

While a list of goals indicates the characteristics that are regarded significant, it does not reveal how these goals might connect to one another, nor the underlying causes of the consequences that the SDGs intend to address. However, the SDGs are acknowledged to be integrated, meaning that each objective integrates social, economic, and environmental components (Biermann *et al.* 2017). The study by Kim (2016) attempts to untangle inter-connectivity by determining which goals the various targets point to. Sixty of the 169 SGD targets, for example, pertain to two or more SDGs, with 19 targets referring to three or more SDGs. Fonceca *et al.* (2020) also identifies the most integrated goals, which include the importance of responsible consumption and production (Goal 12) and the promotion of sustained, inclusive, and sustainable economic growth, full and productive employment, and decent work for all (Goal 13) (Goal 8). Similarly, Storey *et al.* (2017) claim that responsible management education has the potential to contribute to goals promoting economic growth (SDG 8); industry, innovation, and infrastructure (SDG 9); sustainable cities and communities (SDG 11); and responsible consumption and production (SDG 12). It is important that all businesses partake in these development goals for the upliftment of communities as well as improving the organisation's corporate image. Thus, if all businesses work together towards achieving these sustainable development goals, the future generation has somewhere to start.

4.1.3 Critical factors influencing the development of CSR programmes in South Africa

While there appears to be an agreement that businesses should be socially responsible, there is little discussion about how businesses should build their CSR efforts (Contini *et al.* 2020). Effective CSR necessitates a significant and careful investment to the firm. Organisations should not only carry out activities responsibly, but they must also

understand how their activities are perceived by stakeholders. To embed CSR in a company, Karaman and Akman (2018), Lai, Shad & Sha (2021), and Bidari and Djadjadikerta (2020) revealed that it is vital to combine a focus on economic limitations with a focus on individual and communal moral values, and to incorporate these values into business decision-making. To address this, corporate leaders should consider the ethical principles, then dedicate resources to them as a foundation for creating business models that are also economically viable.

CSR initiatives require a long-term commitment from top management, considering the concerns that are important to different stakeholder groups in different marketplaces (Sampong *et al.* 2018). Organisations should have tools available to support initiatives and track results. These resources are required for the creation of effective business activity of monitoring the changes in stakeholder expectations, and changes in the underlying CSR challenges. These changes need to be communicated regularly, whether through annual reports or continuing stakeholder discussion.

The purpose of CSR is to give back to the community, take part in philanthropic causes, and provide positive social value to the business and the community it operates in. Businesses are increasingly turning to CSR to make a difference and build a positive brand around their organisations. Organisations are increasingly seeing the need to use available resources to engage in community development programmes that aim to improve the standards of living for local community members. That way, the business can build and maintain a mutually beneficial relationship with its stakeholders thus enhancing company reputation. In developing countries like South Africa, business do not just design CSR programmes, there are several factors that pushes for the development of these projects (Que et al. 2019). Thus, this section discusses the critical factors influencing the development of CSR programmes in South Africa. These include government regulations, business reputation, stakeholder's expectations, external ranking and growing awareness of social responsibility. To achieve sustained success, it is recommended that corporations and social enterprises integrate their social and environmental performance into their business models in a seamless manner. This approach would result in the creation of profitable entities that are directly oriented

towards promoting the welfare of society. Driven by profit-oriented social innovation, there are many methods that can be used by organisations to effect change.

4.1.3.1 Government regulations

Government regulations like the BBEEE pushes forward the agenda of CSR through setting parameters that bound companies' CSR activities when it comes to recruitment and other activities that the business engages in. The main reason for government implementing such policies is to protect citizens from unfair labour practices and any form of exploitation from the business operations (Bhatia and Makkar 2019; Corrigan 2019). Fairness is ensured by implementing CSR policies that give citizens equal opportunities. With South Africa's history of apartheid, these policies ensure that businesses give an equal opportunity to previously disadvantaged citizens or for example blacks, women and individuals who are less able (Bernard 2018). This was a positive move by the government to make sure that local communities' benefit from the activities of the organisation. To ensure this is adhered to, the government penalises all businesses who fail to adhere to this regulation.

Despite all the benefits of government regulations on CSR programmes (Moyo, Duffett, and Knott 2020). claims that developing countries face a slew of issues, including inadequate legislative laws that appear good on paper but are difficult to implement and enforce. Weak legal controls and frequent government action are among many challenges facing organisations when implementing CSR programmes (Corrigan 2019). Even though South Africa's corporate governance mechanisms are well regarded, organisations continue to face regular government meddling in their internal operations. BBEE policies, various labour policies, and other legal regulatory frameworks are examples of policies that continue to hinder CSR projects implementation. Most companies' participation in socioeconomic development projects is influenced mostly by government regulation and legislative interventions (Makkar and Nieuwenhuizen 2018). Enacting legislation compels the private sector to adopt socially responsible practices. This may have a negative impact on foreign investment and confidence in the country (Bernard 2018). Looking at these government policies, it can be concluded that government regulations influence the development of business CSR programmes. The

reason for this government legislation is to influence the organisation's decisions to make sure all development programmes benefit members in the communities they operate in. Developing countries like Zimbabwe should be implementing these policies to improve the lives of people in mining communities who continue to live in poverty. For these developmental projects to yield better results, governments need to design monitoring and evaluation policies for organisations to adhere to. This will enable both the government and the organisations to track the CSR projects and make necessary change as the project continues to ensure the achievement of the developmental goals. This study investigates the monitoring and evaluation framework of CSR in the mining sector in Zimbabwe to identify the challenges facing the organisations and communities when developing and implementing developmental programmes.

4.1.3.2 Business reputation

The way stakeholder groups perceive an organisation's CSR initiatives, specifically how well these initiatives align with stakeholders' social and environmental values and expectations, is a crucial aspect of corporate reputation. The impact of CSR on business reputation's earning potential is significant in this particular context (Rhou and Singal 2020). Enhancing the level of product knowledge among customers and stakeholder groups can have a positive influence on the reputation of an organisation. Singh and Misra (2021) assert that CSR reporting enhances corporate reputation and financial performance, while also bolstering the ability to attract foreign investors, promote consumer satisfaction, and foster employee commitment. A positive business reputation holds significant potential for generating value and is challenging to replicate. According to Abugre and Anlesinya (2020), in marketplaces where distinguishing products from one another is challenging, possessing a favourable corporate reputation serves as a significant competitive edge. The implementation of CSR is the means by which this advantage in competition is realised. The consumer's purchasing behaviour is significantly impacted by CSR endeavours when selecting products or services. According to Valdez-Juárez, Gallardo-Vázquez, and Ramos-Escobar (2018), various surveys indicate that the actions of an organisation's CSR have an impact on customer behaviour. Singh and Misra (2021) posit that ethical and philanthropic CSR practises can cultivate customer perceptions of an organisation's commitment to high ethical

standards and social welfare, thereby enhancing its corporate reputation. Valdez-Juarez (2018) suggests that customers who possess knowledge regarding the ethical implications of a company's actions play a crucial role in ensuring that the organisation maintains its quality standards and enhances its corporate reputation.

CSR is a multifaceted concept, wherein the impact of each of its constituents on business reputation varies. When analysed in terms of qualitative categories, the overall impact of CSR on reputation is contingent upon the specific CSR dimension under consideration (Rhou and Singal 2020). The impact of a company's environmental track record on its corporate reputation may differ depending on the extent to which its operations are consistent with the environmental concerns of stakeholders. Institutional/legitimacy theory has been identified as the primary rationale for the correlation between CSR reporting and reputation (Singh and Misra 2021). The aforementioned theories have been deliberated upon in the third chapter of this research. It can be concluded that a company's reputation among economically strong stakeholders is a valuable asset that must be safeguarded and promoted through transparency and accountability.

4.1.3.3 Stakeholder's expectation

The involvement of stakeholders is an essential element in a corporation's CSR endeavours, as posited by Lane and Devin (2018). Organisations that establish structured engagement mechanisms with their stakeholders are more adept at fulfilling their expectations compared to those that lack such formal mechanisms. Inadequate implementation of formal mechanisms and policies to disseminate information to stakeholders regarding a company's approach towards sustainability matters may result in stakeholders misconstruing the actual stance of the company. According to Belyaeva, Shams, Santoro, and Grandhi (2020), the integration of CSR issues into the official corporate governance framework is crucial for companies to engage in genuine CSR practises. Failure to do so may result in a decreased likelihood of companies engaging in CSR practises. The Australian Centre for Corporate Social Responsibility conducted a study which revealed that approximately 60% of the companies surveyed had established CSR frameworks and procedures, including a CSR department or official

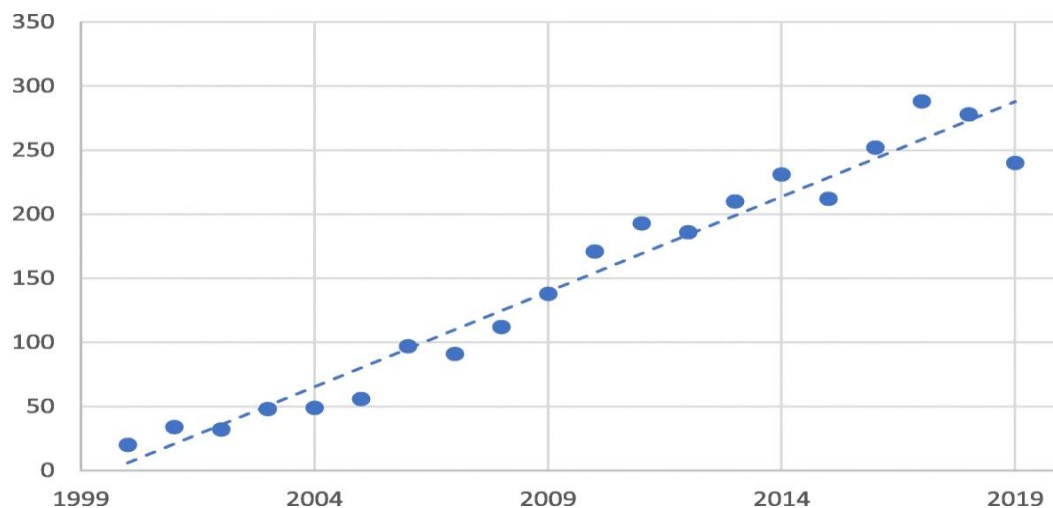
CSR policies. However, the research also identified a disparity between the formal CSR structures or policies and the integration of CSR into the organisation's strategic DNA (Reddy 2016). The term 'strategic DNA' is used to denote the formal corporate governance practises that are deeply embedded throughout the organisation. According to Belyaeva et al. (2020), companies may face challenges in implementing their CSR strategies due to the high expectations of stakeholders in impoverished communities. The implementation of apartheid policies resulted in the exclusion of the majority black population from the country's economy, leading to significant levels of poverty, illiteracy, and various other forms of social and economic inequality (Kao, Yeh, Wang & Fung 2018), resulting in increased unemployment and poverty, as well as increased reliance on grants and charity (López-Concepción, Gil-Lacruz, and Saz-Gil 2022). With this challenge, communities tend to expect more than what the businesses can offer in terms of community development. Consequently, efforts of organisations are usually less appreciated.

Apart from poverty, the HIV/AIDS pandemic posed a severe threat to the workforce in South Africa (Moyo *et al.* 2020). Many South African companies were required to include information about the impact of HIV/AIDS in their yearly reports, as well as establish and implement strategies to manage the epidemic's impact on their operations (Belyaeva et al. 2020). The intricate social dynamics of their host country and its people often overwhelm foreign investors and South African enterprises alike. These complexities can sometimes conflict, preventing companies from performing well in terms of social justice and CSR (Lopez *et al.* 2022). For sustainable achievement of long-term goals, businesses should research to understand the expectations of their stakeholders and then use that as a benchmark to create a two-way communication between the organisation and its stakeholders (Fairus & Sihombing 2020). As explained by the stakeholder's theory, this may be done through continuous engaging with stakeholders from the planning stage to the implementation and evaluation of the developmental programmes (Vo *et al.* 2019). Monitoring and evaluation is one of the strategies that companies use to allow for stakeholder participation (Tilbury 2009). For this reason, this study investigates the monitoring and evaluation of CSR in the mining sector in Zimbabwe to assess the progress of projects against outputs and achievement of results to date.

4.1.3.4 Growing awareness of socially responsible investment

Today, most companies have been exposed to information and knowledge about CSR. Because of various literature and testimonies of the benefit of being socially responsible, many companies have decided to take that route (Deng, Long, Schuler, Luo & Zhao 2020). Stakeholder groups' perceptions of an organisation's CSR, or more accurately, their perceptions of how effectively the organisation's CSR programmes and outcomes match stakeholders' social and environmental values and expectations, are an important part of corporate reputation (Kao *et al.* 2018). In this context, CSR has the ability to affect stakeholder impressions, thereby contributing to the maximisation of business reputation's earning potential (Jackson *et al.* 2020). Along the first two decades of the new millennium, socially responsible investment (SRI) evolved from a marginal and almost unnoticed topic of research in Economics and Finance to a fundamental and unavoidable theme of investigation and debate across the scientific community (Gomes 2020). Such an assertion is easily backed up by the data.

Figure 4.1: Number of articles and papers mentioning the term ‘socially responsible investment’ per year



Source: IDEAS-REPEC database (2000-2019)

Currently, there are innumerable different perspectives on SRI in the scientific literature, ranging from the theoretical assessment of the macroeconomic effects of SRI

practices to the empirical calculation of individual investors' socially responsible behaviour.

4.2 The King Report and its relationship to monitoring and evaluation

In 1994, King I was released. It was the first code in the world to discuss stakeholders' interests and accountability beyond that of shareholders in a company. In this way, the code takes an all-encompassing approach to business management (Mathibela 2018). To put it another way, the company's mission and value has to be articulated widely. Following that, directors should be tasked with managing the company in the best interests of all stakeholders. The code covered discussion on financial and regulatory fundamentals for good corporate governance (Zyambo 2019). However, Thakhathi *et al.* (2021) believed that King I failed to give directors practical guidance on how to act in the company's best interests while also considering the interests of various stakeholders. In addition, Mathibela (2018) further believed that King I caused confusion regarding the acknowledgment of stakeholder interests. Mathibela justifies his position by noting that the South African law should express the ideology with regard to the nature and role of corporations. This, combined with changing policy documents on corporation law, led to the publication of an amended code in 2002. King report emphasised on active participation in decision making. In relation to CSR, directors should equally involve employees in the planning and implementation of these projects.

In 2002, King I was succeeded by King II. The later code was concerned with good governance principles, namely those relating to the board of directors, risk management, internal audit, integrated sustainability reporting and accounting, and enforcement (Hove-Sibanda 2017). Discipline, openness, independence, accountability, responsibility, justice, and social duty are the core corporate governance principles of King II (Chauke 2018). This code set itself apart from other codes throughout the world by being the first to contain a section on integrated sustainability reporting (Corvino, Doni & Bianchi Martini 2020). This prompted businesses to submit annual reports on the nature and scope of their social transformations, as well as ethics, safety and health issues, and environmental concerns (Zyambo 2019). By so doing, the quality of

programmes implemented to benefit stakeholder communities was assured and gave involved employees full information on what was expected of them during the planning and implementation of developmental projects.

The reporting patterns substantially aided the codes' considerations of many stakeholders' interests or its triple-bottom-line approach. This type of report urged businesses to embrace multiple issues when applied to the administration of the company, particularly social, economic, and environmental concerns (Corvino *et al.* 2020). This is the case because the disclosure showed CSR compliance, which is something that most companies want to accomplish. The triple-bottom-line strategy of King II, which recognised stakeholder interests, is based on an enlightened shareholder value perspective (Zyambo 2019). The major job of directors, according to this approach, is to promote the success of the company for the benefit of the company as a whole and to generate enhanced shareholder value (Chauke 2018). Directors are subordinated to the interests of shareholders in addition to other stakeholders' interests that should be addressed. Collective shareholders are still the most significant beneficiary of directors' fiduciary duty, according to King II, but social and environmental considerations should also be considered. It was found that King II made no recommendations on how directors could address issues of stakeholder protection. Therefore in 2009, the King Committee attempted to correct these flaws with the announcement of King III.

In 2009, King III succeeded King II. King III placed greater emphasis on issues of CSR and stakeholder protection. Stakeholder protection is discussed in Chapter Three of this study, which focuses on theories underpinning CSR. In comparison to previous reports, King III addressed stakeholders and CSR problems in a far more organised and structured manner. Corporations, according to King III, are a vital part of society and, as such, should be treated as citizens with rights and obligations, just like any other natural person (Chauke 2018). Corporations have registration numbers in the same way that humans can be identified by their social security number. As a result, King III suggests that a corporation must behave responsibly as a citizen. This relates to the promotion of CSR in that businesses are encouraged to take a triple-bottom-line approach to business management, taking into account social, environmental, and

economic issues (Corvino *et al.* 2017). According to King III, the board's primary role is to create value for the company's stockholders. Corvino *et al.* (2017) notes that the directors must consider the interests of other stakeholders while carrying out the aforementioned obligation. According to this argument, directors are responsible to the company and should consider the legitimate expectations of all stakeholders. Based on the triple-bottom-line, this creates a larger value for businesses (Chauke 2018). The inclusive stakeholder value method was used in the King III report. This is a method in which the diverse interests of numerous stakeholders are assessed on a case-by-case basis in order to act in the company's best interests (Corvino *et al.* 2017). In other words, a specific stakeholder may be given preferential treatment if it benefits the company's growth. This method differs from King II in that other stakeholders' interests are not prioritised over shareholder profit. In a particular transaction, other stakeholders' interests may outweigh shareholders' if the balance of convenience favours the former. Corporations should also have an integrated sustainability performance report, according to experts (Corvino *et al.* 2017). This type of disclosure refers to a comprehensive picture of a company's financial and long-term viability. A corporation ensures that it conducts its organisation in a sustainable manner for the ultimate benefit of its brand or reputation protection by looking beyond the immediate financial rewards for shareholders (Chauke 2018). The eighth chapter of King III provides practical advice on how directors should handle their relationships with a wider range of stakeholders (IoDSA 2016). A stakeholder-inclusive strategy recognises that a company has many stakeholders, each of whom can have a significant impact on the organisation's long-term growth and sustainability. Stakeholder inclusivity strategy is important when planning and implementing projects whether for profit maximisation or for community development. The success or failure of CSR projects depends on whether the stakeholders were included or not. It is important that organisations adopt the principles of the King report to ensure they yield impactful results. In this study, the principle of stakeholder inclusivity allows the organisation to work together with the benefiting communities in monitoring and evaluation of CSR projects to ensure improved standards of living.

The code defines certain stakeholders while acknowledging that they may change over time. Directors are required by Principle 8.2 to recognise stakeholder changes and re-

examine the strategic scope of the company to accommodate relevant stakeholders. In addition, Principle 8.4 advises that the board of directors should strike a proper balance amongst important stakeholders in order to advance the company's interests. These are significant advancements over King II. King III was designed to be a voluntary and self-regulatory code that applies to all enterprises. This might have far-reaching implications for all businesses, since it could give the idea that the King report is the gold standard for measuring corporate governance and CSR issues, implying that businesses are obligated to adopt King's recommendations (Chauke 2018). In terms of environmental and human rights issues, a good corporate citizen is increasingly recognised as one who is non-discriminatory, non-exploitative, and accountable. If a corporation considers the larger elements of all stakeholders in its scope of operation, it is likely to receive indirect economic benefits such as increased productivity and a positive corporate reputation (Corvino *et al.* 2017).

The introduction of the third King Code on Governance for South Africa (King III), which advanced the notion of corporate stakeholder accountability by asserting the interconnectedness of the planet, people, and profit (Institute of Directors 2009). The concept of CSR entails the pursuit of economic prosperity, environmental quality, and social equity in a simultaneous manner. As a result, it can be contended that companies ought to be assessed not only based on their financial returns to shareholders, but also on the impact and cost of their operations on the wider economy, environment, and society. In the context of the mining sector in Zimbabwe where companies have been experiencing political economic downturn, it is anticipated that companies will harmonize their economic objectives with the varying concerns of stakeholders and the wider community (Makwara *et al.* 2019). The adoption of King III mandates in Zimbabwe call that companies incorporate CSR risks and opportunities into their fundamental business strategies, thereby recognizing a more comprehensive stakeholder accountability.

On March 15, 2016, the Institute of Directors in Southern Africa (IoDSA) released a draft of the King IV report for public review. As of 2017, the report has taken the position of King III. The paper lays forth a defined philosophy, principles, procedures, and outcomes for corporate governance in South Africa (Carvino *et al.* 2017). In

contrast to King III, which took a rule-based approach, King IV was upgraded to take a practical outcome-based approach. The main goal was to make King IV more approachable, interpretable, and applicable than King III (Institute of Directors 2016). In addition, the IoDSA has stated that it will make sector supplements accessible to support King IV and assist directors in many sectors in better understanding the report. The outcome-based approach is in line with current global attitude, which encourages increased accountability and openness. Under King IV's report, the 75 principles of King III have been reduced to 17 principles, each of which is related to a specific outcome. It is evident that the code's goal is to emphasise application in order to achieve certain goals rather than simply encouraging conformity. Even though King III was not intended to be a compliance-driven law, companies have developed a tick-box approach toward it. The report was difficult to comprehend, especially in determining exactly what the lawmaker anticipated from directors, according to their commonly mentioned reasons (Chauke 2018). Perhaps the use of outcomes connected to each principle in the current report can alleviate director misunderstanding and motivate better application in practice. King IV is far more reader-friendly and easy to follow because it has fewer principles and distinct outcomes associated to them. Stakeholder protection and CSR issues are now easily accessible in the report: Principles 3 and 5 deal with corporate citizenship, stakeholders making informed decisions, Principle 14 with remuneration policy, Principle 15 with reporting criteria, and Principle 16 with a stakeholder-inclusive strategy (IoDSA 2016). Even though the aforementioned principles are at the heart of stakeholder protection, they should not be discussed in isolation from the others. The mining sector is one of the sectors that is known for negative effects in the surrounding communities, thus, they must make an effort to give back to the affected communities by planning and implementing projects that are aimed at improving the standards of living for the local people. For the best results of CSR projects, mining companies must follow the principles mentioned above to build and maintain a mutually beneficial relationship between the company and the community. This encourages community members to participate in CSR projects from the planning to the monitoring and evaluation of these programmes, thus, maximum impact can be achieved. According to the King IV report, to enhance the level of integration between the social and ethics committee and other board committees, it is recommended that a social and ethics committee be established with a broader role than that stipulated by the

Companies Act (IoDSA 2016). As per the report, it is imperative for a social and ethics committee to oversee, scrutinise, and communicate about the ethical standards, conscientious corporate behaviour, enduring progress, and stakeholder integration of an organisation. The primary role of the social ethics committee is essentially to serve as the corporate entity's social conscience (Chauke 2018). Furthermore, King IV emphasises the vital function of stakeholder protection, which should be an integral element of the corporation's governance approach. Not only must the board of directors examine the legitimate and reasonable demands, interests, and expectations of the stakeholders as a matter of inherent value, but King IV now clearly recognises the role and obligations of all stakeholders, according to the ruling (IoDSA 2016). Active stakeholders are needed in this regard to hold the board of directors and the company accountable for their activities. King IV added that the board should oversee overseeing the proper management of stakeholder relationships that affect value generation and the company's strategic goals (IoDSA 2016). According to the paper, one important factor that must be prioritised in order to attain this goal is an effective communication plan among committees and different organisational structures (Carvino *et al.* 2017). However, just because the report is not legally obligatory does not mean that non-compliance has no legal ramifications. If directors fail to follow the corporate governance practices outlined in King IV, they may be held liable by the society and the government.

The mining industry has significant social and environmental ramifications, necessitating effective communication of pertinent information by mining firms to their stakeholders. The consolidation of a single report that succinctly presents all pertinent information through integrated reporting has the potential to bridge the divide between mining companies and their pertinent stakeholders. Mining companies have not adequately implemented integrated reporting principles after the implementation of compulsory sustainability reporting. According to King Report III, the interdependence of strategy, risk, performance, and sustainability necessitates an Integrated Report that offers a comprehensive framework for performance indicators, elucidating the alignment of pertinent information with the business and its long-term strategy. The ZIMCODE incorporates several principles that could be implemented by ZCDC and Zimplats to enhance the welfare of its diverse stakeholders, with a particular focus on

the local communities. This would provide insight into the extent to which these companies adhere to international standards of corporate governance, given their historical ties to the Commonwealth. The mining industry not only has to comply with international reporting standards, but also the Mining Charter and King IV. It remains whether the mining sector is applying the disclosure practices correctly or has it become a manner of legitimacy management to comply with the standards required?

4.2.1 Corporate Governance on CSR in Zimbabwe

Corporate governance has emerged as a fundamental pillar for organisations owing to its universal applicability across diverse industries. While the application of corporate governance varies across corporations, countries, and economic sectors, the concerns of accountability, values, and behaviours are universal (Thomas 2014). Managers should conduct specific and timely re-evaluation of the difference in applicability (Kaseke, Chaminuka & Musingafi 2015). Organisational managers possess the ability to assess their corporate governance to address ethical dilemmas that are specific to international, regional, and national contexts (Tembo 2018). These ethical dilemmas may include corruption resulting from inadequate regulations in developing nations (Mandevero 2020). By adhering to various ethical and governance concerns, Corporate Governance has the potential to generate value for the interests of all stakeholders (Fairus & Sihombing 2020). In the mining industry, organisations should consider both the positive and negative effects they have on communities, both externally and internally. Corporate governance presents itself as a tool for addressing the effects of organisation activities by means of promoting corporate accountability, transparency, fairness, independence, integrity, and social responsibility, among other factors (Gunawan & Resitarini 2019). The current state of Corporate Governance in Zimbabwe can be characterised as follows: The independent development and implementation of corporate governance principles in Zimbabwe occurred in April 2015, with the establishment of the ZIMCODE. The ZIMCODE has gained widespread acceptance as the primary framework for corporate governance within the country (Tembo 2018). The Code encompasses the guidelines for effective corporate governance in Zimbabwean enterprises. The prescriptions serve the purpose of guiding, regulating, and enforcing

corporate adherence to legal and regulatory frameworks, as well as ethical principles, standards, and optimal methodologies (Murombo 2016).

The principles aim to mitigate instances of corporate insolvency stemming from corrupt practices, fraudulent activities, disproportionate compensation of board members, and inadequate resource allocation (Fairus and Sihombing 2020). The adoption and implementation of ZIMCODE by mining corporations in Zimbabwe can lead to a reduction in corruption and promote the effective utilisation of public resources (Tembo 2018). This, in turn, can enhance the contribution of mining corporations to local and national development, aligning with global standards. Zimbabwe is currently refining and developing international standards on corporate governance in response to various demands, including addressing mining justice, global warming and climate change, and pursuing sustainable development.

Although policy regulatory frameworks for CSR have not been widely adopted, certain mining companies that prioritise responsible practices have opted to develop and conform to international and regional CSR standards (Mundeverere 2020). Zimplats is a good example of this (Murombo 2013). Numerous international codes, standards, and regulations exist to encourage the implementation of CSR policies, programmes, and initiatives across all industries, with a specific emphasis on the mining sector. This section examines the regulatory frameworks on CSR and corporate governance and explores their potential application to the mining industry in Zimbabwe, specifically with regard to Zimplats and ZCDC.

4.3 Monitoring and evaluation for CSR

While CSR projects have specified goals, they are frequently planned and measured in terms of their costs (Singh *et al.* 2018). To accomplish more, a strategic shift from focusing on return on investment to focusing more on the outcomes of societal efforts is required to promote a strategic shift toward impactful results. Organisations require a solid and consistent monitoring and evaluation structure (Prasad, Mishra & Bapat 2019). However, there is a need for rules on what should be reviewed, when it should be evaluated, and how it should be evaluated so that the process is consistent across all

enterprises and communities. Monitoring and evaluation has a significant role in fine-tuning interventions and assessing the quality of work being done. In case of the mining industry, monitoring and evaluation plays a pivotal role in ensuring impactful projects that improve the standards of living for local communities. Mining companies are mostly involved with the development projects such as education, health, agriculture, infrastructural development, nurturing of talents and skills development. Due to the scarcity of company resources available for funding community development projects, the company has to make sure that all the initiated projects yield maximum results at minimum possible cost. This can only be achieved through participatory monitoring and evaluation of the project by both the company and the benefiting communities.

Monitoring and evaluation can help businesses understand the realities of community and beneficiary perceptions of the company's CSR efforts. Businesses will be better able to analyse and review performance, which will boost stakeholder confidence in the organisation (Trialogue 2014). Regular field visits, examination of reports, meetings with stakeholders, and activity-based monitoring and evaluation are all required for efficient monitoring and evaluation (Anwana 2018). The purpose of reviewing a CSR programme is to determine the programme's relevance and achievement of objectives, as well as its development, efficiency, effectiveness, impact, and long-term viability (Ile 2019). Furthermore, programme assessment provides reliable and relevant information, allowing the incorporation of lessons learned into both recipients' and the corporation's decision-making processes (Masuku 2016). It is also vital to understand that monitoring occurs during implementation and evaluation occurs after the project has been completed. Continuous evaluation falls under monitoring as it focuses on the kind of roadblocks preventing the project's proper implementation and the types of fixes required to get CSR back on track (Marinina 2019). The actions of CSR that are linked to profitability have an impact on the living conditions of affected individuals (Jayaraman *et al.* 2018). As a result, a continual monitoring and evaluation strategy achieves the desired result of improving socially responsible actions for the benefit of the communities involved.

The goal of monitoring and evaluation is to establish the relevance and achievement of objectives, as well as the efficiency, effectiveness, impact, and long-term sustainability

of development (Doke and Dadas 2013). It also delivers reliable and usable information, allowing recipients and donors to incorporate lessons learned into their decision-making processes (Araujo 2019; Kala 2020). As a result, companies should be required to use monitoring and evaluation procedures in order to make informed judgments during the duration of their programmes or projects.

Any organisation's primary goal is to be profitable while using the minimum resources possible. As a result, corporations must develop strategies for improving the areas in which they operate (Masuku 2016). Masuku added that companies' well-planned strategies, in conjunction with people's needs and expectations, and the implementation of these programmes, as well as active citizenship, improve the quality of programme monitoring and evaluation. Organisations must develop strong monitoring and evaluation methods that result in the desired changes in the lives of underprivileged communities (Weber 2017). Monitoring and evaluation raises awareness and fosters a sense of ownership among businesses, communities, and citizens (Kala 2020; Kibukho 2021). The most important aspect of CSR is stakeholder empowerment. Individuals and groups develop self-esteem, confidence, and knowledge to articulate and confront issues that impact them through empowerment (Anwana 2018; Tanimoto 2019). This is possible if a continuous monitoring and assessment structure is in place.

Monitoring and evaluation mechanisms should be included in all CSR projects to improve the ability to consult, engage, and assure active engagement of stakeholders. Monitoring and evaluation are two essentially interdependent collaborations that are critical parts for corporate citizenship programmes to increase project quality and sustainability (Anwana 2018). Individuals who have benefited from corporate citizenship programmes can also help the corporation, which has been referred to as a stakeholder. Identification of pertinent issues allows the company to solve the issues using appropriate indicators, which is aided by a multifaceted monitoring and assessment procedure that also aids corporate management in further discussions (Ile 2019). As a result, monitoring and evaluation are critical to the success of every development initiative.

Organisations can acquire an understanding of the administrative system from the perspective of the communities from whom the administrative system is administered

and legitimised through social contribution procedures through monitoring and evaluation (Rampersad 2015). Monitoring and evaluation are specifically linked to social accountability, auditing, and reporting (Reddy 2016). Corporate citizenship, according to Zunac *et al.* (2018), entails active engagement with dedication, responsibility, and the goal of benefiting one's community, society, and country. In this instance, all companies must strive to be good corporate citizens in order for all citizens to benefit from CSR projects initiated by the organisation.

Monitoring and assessment enable impact measurement, which improves the foresight of potential roadblocks, allowing benefits to be maximised (Rossouw 2015). CSR measurement techniques, such as monitoring and evaluation, set the way for successful business projects (Reddy 2016). Active public engagement, in addition to monitoring and evaluation mechanisms, fosters trust and collaboration, as well as system ownership (Singh *et al.* 2018). This is primarily accomplished through participatory monitoring and evaluation processes, as well as active involvement with community stakeholders, which ensures quality at every stage. This method improves a company's reputation and commitment to societal ideals. It also has an impact on organisational improvement, as well as improving sustainability and transparency for both direct and indirect stakeholders.

Monitoring, as previously explained, is a continuing process in which stakeholders receive regular updates on their progress toward attaining their goals and objectives. Evaluation, on the other hand, is a thorough and unbiased examination of finished or continuing activities to establish the extent to which organisations are meeting their stated goals and contributing to decision-making (Widhagdha and Gamilang 2019). Organisations can attain various goals through monitoring and evaluation. A summary of monitoring and evaluation objectives are summarised in Table 4.1.

Monitoring and evaluation is a collaborative process in which key stakeholders are involved not merely as providers of data, but as active participants in the development process (Reddy 2016). Participatory monitoring and evaluation is defined as a process in which multiple stakeholders participate in monitoring or evaluating a project or policy, share control over the content, process, and outcomes of the monitoring activity,

and take or identify remedial actions (Onyango 2018). As stated previously, all stakeholders must be involved in the development, implementation, and evaluation of CSR programmes that have an impact on them.

Monitoring and evaluation is critical in determining the success of various efforts in the mining industry, as well as how they can be repeated or scaled up. Because CSR programmes are both social and technological in nature, they must be monitored and evaluated on a regular basis. Throughout the course of human history, technological advancements have served as a fundamental catalyst for development, playing a decisive role in the overall progress of humanity. Simultaneously, the advancement of technology has conventionally been directed towards achieving innovative technological objectives and has predominantly been viewed in isolation from the progressively challenging societal concerns (Bernal-Conesa, de Nieves Nieto & Briones-Peñalver 2017). This debate highlights the fact that monitoring and assessment benefit businesses more than communities in the sense that any resources saved from waste creation are typically counted as profit for businesses.

According to Singh (2018), the prescribed CSR plan, which falls under the execution strategy, includes a monitoring programme component. The monitoring programme should give reliable data and illustrate whether policies are working, as well as track the progress of the programmes in place. However, Zimbabwean situation is different from that of South African which has policies and guidelines monitoring evaluation. Zimbabwe does not have CSR policies or monitoring and evaluation framework for CSR (Makwara *et al.* 2019). Because of the range of CSR methodologies and strategies that Zimplats and ZCDC will utilise in order to comply with the legal requirements in the sector, a monitoring and evaluation framework will need to be developed to operationalise this. In general, monitoring and evaluation in CSR is considered vital in the mining sector to monitor progress, estimate expenses, and assess impacts at the community level (Masuku 2015). This study frequently refers to the South African context because Zimbabwe lacks relevant literature to support concerns of monitoring and assessment of developmental projects.

4.4.1 Evaluation of CSR programmes

An ongoing or completed project, programme, or policy, as well as its design, implementation, and outcomes, has to be evaluated in a systematic and objective manner. The goal of a CSR programme evaluation is to determine the programme's relevance and achievement of objectives, as well as its development efficiency, effectiveness, impact, and long-term viability (Tanimoto 2019; Promuppatam *et al.*, 2018). Such an evaluation should produce reliable and usable data, allowing recipients and donors to incorporate lessons gained into their decision-making processes (Doke and Dadas 2019). Monitoring and evaluation as a donor requirement will be discussed on section 4.5.

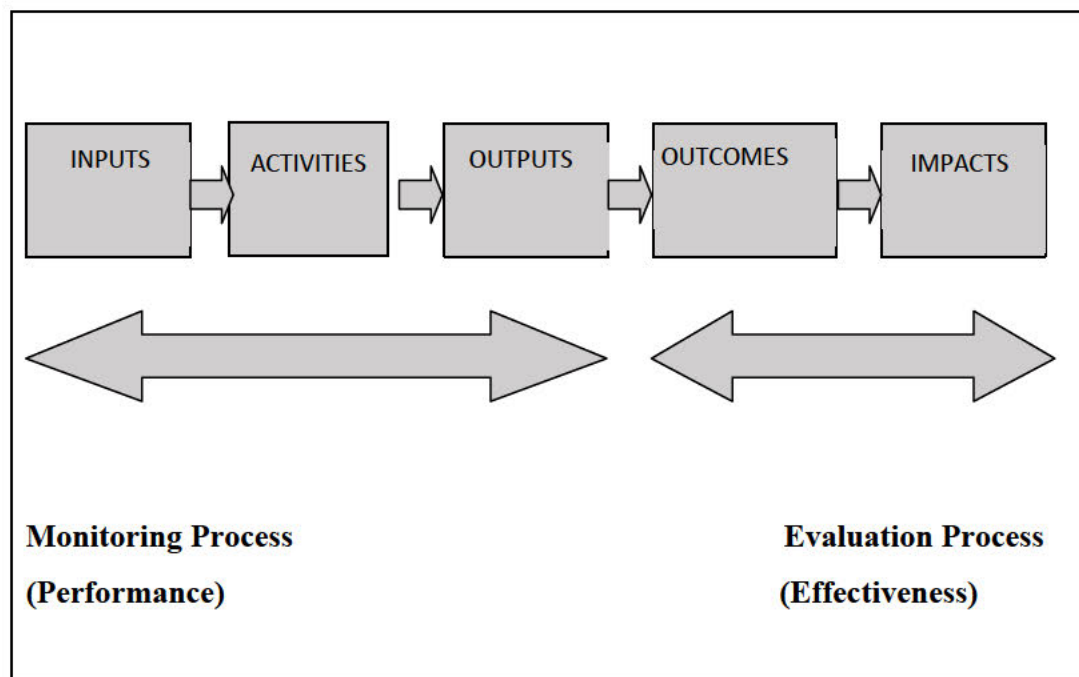
The process of judging the worth or relevance of an activity, policy, or programme is also known as evaluation (Kala 2020; Lalendle *et al.* 2021). Evaluation is an applied inquiry process for collecting and compiling evidence that highlights the effectiveness, efficiency and value of an intervention (Kala 2020). The goal of evaluation is social betterment, evaluation can contribute to the reaching of this goal by assisting democratic institutions to better select, oversee, improve and understand the context of social programmes and policies (Lalendle *et al.* 2021). In addition, evaluation must be motivated by the goal of providing information that women and men as administrators, legislators and citizens in a democracy can use to make better sense of the objectives, operations and effects of social policies and programmes (Singh *et al.* 2018). It is important that organisations that are involved in community projects make an effort to use programme evaluation techniques in order to increase the chances of their development projects being successful. Developing countries such as Zimbabwe has to provide organisations with a standard evaluation technique so that the organisations' agenda may be achieved. This study investigates the monitoring and evaluation of CSR projects in the mining sector in Zimbabwe to increase the impact of CSR projects in improving the standards of living for local people.

4.4.2 Levels of measurement to track outcomes of community initiatives

Organisations should have a clear understanding of how to measure the social impact/outcome/change of the development programme. Companies track their investment projects to varied degrees (Trialouge 2019). The five levels of measurement described below indicate increasing degrees of measurement and can be used to assess the short- or long-term, quantitative or qualitative outcomes of initiatives. A systematic structure linking project inputs, activities, outputs, outcomes, and ultimate results or impact is required for effective monitoring and evaluation.

Inputs are defined by Bester and Groenewald (2021) as all resources placed into the project, including people, training, equipment, and cash that allow the outputs to be delivered. All the items and services delivered as part of the work are defined as outputs. These outputs can be desired or undesirable, anticipated or unforeseen. Process and output are interdependent. It is difficult to assess output without assessing process. A programme can be monitored and audited as part of the evaluation (Rampersad 2015; Onyango 2018). CSR measurement is primarily qualitative in nature, and it employs techniques such as interviews, observations, and content analysis (Kala 2020). The term process refers to quality assurance, which is an important aspect of tracking outcomes of community initiatives. By measuring the impact of your CSR, the company can connect the value of the activities to the company's bottom line. For example, the company can establish a link between skill development and lower training costs, employee satisfaction and lower turnover rate, and even growth in sales leads that increases revenue.

Figure 4.2: Relationship between Monitoring, Evaluation, Inputs, Outputs and Impacts



As previously mentioned, inputs pertain to all resources, including human, financial, and other, that are allocated to specific activities. Examples of inputs include staff time, infrastructure, vehicles, funding, and supplies. Activities refer to actions that are intentionally designed to transform various inputs into particular outputs. Examples of such actions include the distribution of supplies, the provision of training, the donation of equipment, the construction of infrastructure, the provision of counselling services to patients, and the provision of meals to students. Outputs are the immediate results of specific operations. The short-term outcomes that are immediately apparent and tangible include the number of individuals trained, supplies distributed, or community members treated. Kibukho (2021) identifies several examples of business outputs, including the value of public relations produced, the number of stakeholders engaged, and the number of staff volunteers involved.

Outcomes are particular changes in behaviour, new information, abilities, or feelings of well-being. These are medium-term developmental outcomes that occur as a result of achieving a specific set of short-term objectives. For example, behaviour, knowledge or skills, improved grades, improved access to health services and improved self-esteem.

Improved employee morale, higher customer awareness, and improved corporate reputation are also examples of possible outcomes (Jayaraman *et al.* 2018). The outcomes of a project can be assessed using monitoring and evaluation. World Bank report (2005) noted that certain outcomes do not reflect change; instead, they may include maintaining the status quo or preventing something from occurring, but they nonetheless explain an effect of the project's actions. Intermediate outcomes indicate the steps that must be taken before a desired outcome may be achieved (Dlamini *et al.* 2020). It is important that organisations make an effort to understand different levels of CSR measurement. Figure 4.1 below shows the relationship between inputs, activities, outputs, outcomes and impacts. Understanding this relationship helps the organisation design their customised guidelines that help in monitoring and evaluation of these CSR programmes. In addition, the understanding of this relationship allows the organisation to channel available resources into areas that matter to the organisation and to the stakeholders. In addition, understanding the relationship between these variables will assist the company management to make informed decisions in terms of keeping the project activities in line with the mission and the vision of the company. By doing that, the organisation operates at its full potential which will benefit both the organisation and its internal and external stakeholders.

The last measurement level of CSR is the impact. **Impact** is the project's long-term consequences in a broader sense (Singh *et al.* 2018; Van der Spruy and Glinzler 2019). These include changes at the community, society, or system levels that are the logical outcome of a series of medium- and short-term outcomes. Examples of CSR impact include improved effectiveness of education system, reduction in HIV prevalence, more educated and healthier population. Companies can use indicators that assess a combination of these levels of measurement to track the outcomes of their community efforts, and it is generally a good idea to match the amount of investment or strategic value of each project (Purbawangsa, Solimun, Fernandes & Mangesti Rahayu 2020).

An outcome is a change that occurs as a result of a project's output. An impact is a broader, longer-term change that is related to the overall goal. Impact evaluation determines whether the project's strategy was successful, i.e., what impact the project had on the company and its surroundings (Kusters *et al.* 2018). The impact may vary

depending on the project's nature. It could be social, economic or environmental. Projects in developing nations are designed to achieve not only efficiency but also distributional benefits, which explains why social cost-benefit evaluations are conducted (Onyando 2018; Singh 2018). This entails calculating the financial impact. Assessing long-term change throughout the life of a small project can be more challenging than assessing long-term, large-scale projects with broader goals. The mining sector in Zimbabwe is a large-scale industry and it is important that the organisations in the industry consider measuring the impact of their social investment to increase the impact of their CSR projects. Mining companies should make an effort to measure the CSR projects outputs against the expectations and objectives. This will help create a good relationship between the organisation and its stakeholder in addition to the improved standards of living for the local community members.

The majority of South African businesses keep track of their inputs and outputs (Kibukho 2021). Impact measurement, on the other hand, is the least common, despite the fact that two-thirds of businesses claim to track it. According to research conducted on American corporations, 76 percent of organisations tracked outcomes or impact on at least one project in their portfolio in 2016 (Kusters *et al.* 2018). It can be concluded that developed countries invest in impact measurement more than developing countries. Developed countries measure impact using sustainable development goals to achieve benchmarks, set relevant key performance indicators, comparing to industry leaders, observing industry standards and having a clear goal (Lalendle *et al.* 2021). It is important for organisations in developing countries prioritise impact measurement to ensure that they address the issues of poverty and other socioeconomic issues facing their economies. This study proposes the idea of impact measurement in Zimbabwe by investigating the monitoring and evaluation of CSR in the mining sector.

4.4.3 Tracking outcomes of social responsibility

Social impact assessment, from the perspective of CSR, is a tool that can be used to qualify and quantify to public, private, and community stakeholders the social, economic, and environmental changes and outcomes that have occurred over time,

within a geographical area, and within the development context, because of social/community investment and development programmes (Jayaraman *et al.* 2018). Social impact assessment tools are utilised to assess the potential effects of a project, policy, programme, or activity on diverse stakeholders and the environment. The utilisation of these instruments can aid in the recognition and reduction of adverse effects while optimising favourable outcomes (Redondo-Sama, Díez-Palomar, Campdepadrós & Morlà-Folch, 2020). Furthermore, they can be implemented at different phases of the project's lifespan. Presented below is an inventory of diverse social impact assessment instruments accompanied by succinct delineations, advantages, and disadvantages:

Stakeholder analysis: The process of stakeholder analysis entails the identification and examination of the interests and level of influence of various groups of individuals who could potentially be impacted by or exert an influence on the project (Barnett, Henriques & Husted 2020). Advantages of stakeholder analysis include the ability to identify primary stakeholders and their respective needs and concerns, as well as the potential to foster agreement and backing for the project (Calvo, Peters & Cave 2020). One of the drawbacks of this approach is that it can require a significant investment of time and resources. Additionally, its implementation may be limited to certain contexts.

Environmental Impact Assessment: Environmental impact assessment is a method that entails scrutinising the probable environmental consequences of a project and determining strategies to curtail or alleviate those effects (Redondo-Sama *et al.* 2020). Advantages of implementing this measure include the preservation of the environment and conservation of natural resources (Calvo *et al.* 2020). Additionally, certain jurisdictions may mandate its implementation. Drawbacks of this approach include its potential complexity and high cost, as well as the possibility that it may not fully account for the social or cultural ramifications.

Social Impact Assessment: The social impact assessment is a methodology that entails a comprehensive analysis of the probable social consequences of a project, followed by the identification of strategies to reduce or alleviate those effects (Mohebali, Maghsoudy and Ardejani 2020). One advantage of stakeholder engagement is its

potential to facilitate the incorporation of local community needs and concerns into project planning. Additionally, stakeholder engagement can foster project support and consensus-building. Drawbacks of this approach include its potential complexity and high cost, as well as the possibility that it may not fully account for environmental or economic consequences.

Multicriteria Analysis: Multicriteria analysis is a method that entails the assessment of a project based on a predetermined set of criteria, including but not limited to environmental, social, economic, and cultural impacts. One advantage of impact assessment is its ability to provide a thorough evaluation of a project's effects (Rasoulinezhad 2020). This process also aids in recognising potential trade-offs and determining which objectives take precedence over others. Drawbacks include the potential for consuming significant amounts of time and resources, as well as the possibility of necessitating specialised expertise.

Benefit-cost analysis: Benefit-cost analysis is a method that entails the assessment of the monetary costs and benefits of a project, followed by a comparison of the two to ascertain the net benefit or cost to society. One advantage of cost-benefit analysis is its ability to provide a measurable evaluation of a project's expenses and advantages (Redondo-Sama *et al.* 2020). Additionally, it can aid in the ranking of conflicting tasks. One potential limitation of this approach is its potential inability to comprehensively capture all costs and benefits, particularly those that are challenging to quantify or monetise. Additionally, it may be necessary to adequately consider distributional impacts or values beyond economic efficiency.

Cost-effectiveness analysis: Cost effectiveness analysis is a methodology that entails the assessment of costs and outcomes of various options or alternatives, with the aim of selecting the most cost-effective option that attains the desired outcomes (Barnett *et al.* 2020). Advantages: facilitates the identification of optimal resource utilisation; enables the comparison of diverse options or alternatives. One potential limitation of this approach is its potential inability to comprehensively account for all costs and benefits, especially those that are challenging to quantify or assign a monetary value.

Additionally, it may not sufficiently address the distributional effects or non-economic values beyond efficiency.

Life Cycle Assessment: The life cycle assessment is a methodology utilised to evaluate the environmental consequences of a product or service throughout its entire life cycle, starting from the extraction of raw materials to its ultimate disposal (Mohebbi *et al.* 2020). Advantages: facilitates the identification and ranking of areas for improvement; enables the comparison of various options or alternatives. Drawbacks of this approach include the potential for significant time and resource investment, the need for specialised expertise, and the possibility of insufficient consideration of social or cultural implications.

Sustainable Livelihoods Analysis: Sustainable livelihoods analysis is a methodology that entails the examination of the economic, social, and environmental determinants that impact the welfare and livelihoods of individuals within a specific locality or area (Karaman & Akman 2018). Advantages: facilitates the identification of determinants that contribute to sustainable livelihoods; can be utilised to develop interventions that target the underlying factors of poverty and susceptibility. Drawbacks of this approach include the potential for it to be a drain on time and resources, as well as the possibility that it may necessitate specialised expertise. Additionally, it may not fully account for cultural or political factors. This section, examines monitoring and evaluation of CSR in the mining sector in Zimbabwe and assesses the importance of communication and feedback between the organisation and the benefiting communities on the changes that occur in the implemented CSR programmes. The study offers the understanding of the importance of tracking the impact and outcomes of social investment programmes through questionnaires and interviews with the community members benefiting communities for deeper understanding on the importance of tracking the outcomes of social investment. In addition, employees from Zimplats and ZCDC offer their views to better understand the importance of measuring CSR outcomes.

Verifying the performance of CSR programmes is accomplished by measuring and monitoring project outputs and outcomes. An impact assessment goes beyond typical techniques of measuring, monitoring, and evaluating project outcomes – such as on-

time, on-budget, and fulfilling objectives, and shows if a programme has meaningful advantages. Measuring the effects of social investment is rapidly becoming a shared obligation between donors and beneficiaries, requiring a common understanding to manage long-term expectations and extract lessons that will guide future interventions (Marinina 2019). In June 2015, Trialogue sponsored a robust conversation on measuring outcomes of social investment at their annual conference in Johannesburg, South Africa, which found some divergent viewpoints from funders and grantees (Triologue 2015). The debate aimed to push practitioners to think beyond compliance and reporting for the sake of reporting, and instead to consider if the information and data obtained was being used effectively. A discussion was led on how businesses should measure beyond the inputs and activities of outreach programmes to better understand how the outcomes have changed the lives of the people they are trying to help. Part of the discussion debated on whether monitoring should be viewed as an ongoing managerial practise that involves keeping track of their activities, whereas evaluation should be viewed as a more reflective process that should interrogate whether the right choices are being made to achieve a strategic goal (Triologue 2015). The discussion highlighted that monitoring and evaluation is becoming more and more important as a governance tool. Measuring outcomes is a social technique aimed at extracting knowledge and insight from complicated social problems. It necessitates stakeholders having mutually respectful talks about shared value and being willing to act outside of designed frameworks and checklists (Dlamini *et al.* 2020). By so doing, relationships are created between the organisation and its stakeholders. Donors are part of the organisations' key stakeholder and for the organisation to get funding, it has to follow the guidelines of donors. It is therefore important to assess monitoring and evaluation as a donor requirement.

4.4 Monitoring and evaluation as a donor requirement

The donor industry utilises different approaches to assess the efficacy of CSR programmes around the world. Despite the fact that each of the approaches has its own strengths and shortcomings, no single approach has been extensively embraced throughout the social sector, and no uniform standards regulate the impact and outcome of CSR (Binnendijk 2019). There are a variety of reasons why organisations assess each

programme's performance and impact. A non-profit organisation or an international development agency would have quite different motives for gauging effect than a corporate organisation, and each would expect very different outcomes (Malinis, Boucher and AST 2019). Many approaches do not tailor their effect assessment approaches to the industry's requirements meaning each programme has to be assessed in its own unique environment and using its own set of indicators (World Health Organization 2023). As some social responsibility programmes are generally run at the grassroots level, a lack of continuous record keeping, a lack of trustworthy data, and insufficient resources to conduct assessments are some of the challenges that limit the usefulness of measuring approaches.

Donors require the qualitative aspect of monitoring and evaluation that is the strategies and framework used for monitoring and evaluation as part of the documents to be submitted before the donor decides whether to fund the organisation or not (Kessy 2020). Consequently, quantitative issues are typically overlooked, whereas qualitative issues are emphasised excessively. This has led to lack of common practise around social impact assessments and reporting. South African business sector engagement in CSR has reached a tipping point, and the increasing requirement by regulatory bodies to understand the direct impact of CSR on beneficiary communities and the measurable return on investment for a company is steering the industry to excellence, away from simply spending to meet legal requirements and address social guilt (Zwane 2018; Munkuli and Horne 2018). Monitoring and evaluation as a donor requirement has motivated most organisations into considering monitoring and evaluation of their programmes as it has become a requirement. Organisations especially in the mining sector where organisations depend on the funding from external organisations for most of their developmental projects are obliged to follow these monitoring and evaluation guidelines. Likewise, Zimbabwe is one of the countries that depend on donors for the funding of their community development projects. It is important that organisations invest in monitoring and evaluation of their CSR projects as a way to attract donor funding for bigger and better CSR projects. According to Weber (2017), sustainability reporting is regarded as a crucial mechanism for the surveillance and assessment of CSR incorporation. According to Salvion et al. (2017), the integration of social responsibility into business operations is aimed at simplifying complexity. The procedure

encompasses elucidation of the sustainability endeavours undertaken in prior periods. The following section discusses sustainability reporting.

4.5 Sustainability Reporting

Matters on environmental degradation, resource depletion, global warming, climate change, and human rights violations have prompted more socially responsible corporate practices (Karaman *et al.* 2018), and companies have been pushed to respond to these concerns. Instead of focusing solely on economic progress, this new way of doing business addresses society's well-being. Furthermore, companies around the world have recognised the importance of sustainability issues due to stakeholder accountability demands that go beyond shareholder interests (Boiral 2013), resulting in the publication of stand-alone sustainability reports that have become important vehicles for presenting information on corporate social and environmental initiatives (Al Farooque & Ahlu 2017). The process for sustainability reporting is similar to all performance-based business management processes. It involves the same steps, including goal setting, measurement, analysis, and action, but differs in the type of information collected (Boiral 2013). As with any business initiative, it is essential that management be supportive—in this case of sustainability—and that management provides the necessary financial, technical, and human resources to support each step of the process (Aggarwal *et al.* 2019). The success of sustainability reporting depends on the commitment of the senior management in the organisation. There are four steps in the sustainability reporting process: (1) define performance goals and metrics, (2) measure performance, (3) evaluate performance, and (4) manage performance (Tsalis *et al.* 2020). Companies need to take into account their financial, human, and information technology resources when selecting sustainable performance indicators (Diaz-Becerra *et al.* 2021).

Some industries, particularly the tourism, transportation, mining, and energy are among the most prominent of these businesses and have been the topic of sustainability studies due to the environmental sensitivity of their operations (Karaman *et al.* 2018; de Grosbois 2016). The exacerbation of environmental concerns has been attributed to the expansion of the mining sector, which has resulted in escalated mineral extraction and transportation activities. This is primarily due to the amplified use of industrial

machines, hazardous waste, and noise, which are direct consequences of increased production. The global nature of the industry implies that the adverse outcomes extend beyond the boundaries of the firms' respective nations and have far-reaching implications for other countries, ultimately contributing to the phenomenon of global climate change. The challenges faced by the mining industry have led to the establishment of sectoral organisations that have formulated guidelines and recommended practices for energy consumption and environmental development. Additionally, these organisations have identified potential avenues for utilising alternative energy sources in the future (Li and Qian 2018).

Aside from ecological considerations, the mining industry is a prominent arena for matters pertaining to human welfare and security, given its employment of extensive and heterogeneous labour forces (Karamans et al. 2018). Apart from ensuring economic sustainability, it is imperative for the industry to take into account the aspects of environmental and social sustainability. Mining organisations need to make an effort to disclose information to stakeholders pertaining to their developmental projects. This can be done through the use of monitoring and evaluation strategies to track the progress of projects and then report to the stakeholders. This study investigates the monitoring and evaluation of CSR programmes to implement necessary changes to increase the impact of development programmes in improving socioeconomic life of communities where these companies operate.

4.6 Conclusion

This chapter discussed the literature relating to monitoring and evaluation, specifically the objectives of monitoring and evaluation, sustainable development goals, critical factors influencing the development of CSR programmes. The chapter also discusses the King Report and its relationship to monitoring and evaluation. The King Report provides organisations with guidelines on how to conduct their developmental projects to ensure it benefits the affected communities and the generations to come. In addition, the chapter discussed monitoring and evaluation of CSR programmes and monitoring and evaluation as a donor requirement. In the end, the chapter discussed sustainability reporting and examples of best practice for monitoring and evaluation. It is important

for businesses to consider implementing monitoring and evaluation processes in their development projects to track implementation and outputs systematically and measure the effectiveness of the programmes.

Monitoring and evaluation determine when a programme is on track and when changes may be needed. There is need for responsible bodies to encourage the use of monitoring and evaluation techniques and other quality management policies in CSR programmes so that developmental objectives are achieved with minimum possible resources at a minimum possible time. This will improve the livelihoods of communities in which businesses operate in. This study investigates the monitoring and evaluation of CSR in the mining sector in Zimbabwe through the use of questionnaires, semi-structured interviews and focus group discussions. The following chapter (chapter 5) details the research methodology that is employed in this study.

Chapter Five

Research Design and Methodology

5.1 Introduction

The literature review chapters reviewed relevant literature on the overview of CSR, theories underpinning CSR and monitoring and evaluation of CSI. This chapter describes the research methodology and research design employed in this study. To place the empirical findings into perspective, this chapter justifies the research design and methodology employed in this study. The aim of the study is to highlight mining companies' attempts to evaluate its effectiveness and impact on beneficiary communities and how they quantify the impact of the investment through successful CSR interventions. To achieve this aim, the study focussed on the following objectives: To assess the nature of CSR programmes in the various mining companies; To assess the CSR policies in the various mining companies; To assess the progress of the project against outputs and achievement of results to date; and to design a standard monitoring and evaluation framework to be used by Zimbabwean companies.

5.2 Research design and methodology

Research design is an overall blueprint of how one intends to conduct the research (Bloomfield and Fisher 2019). It provides the framework for the collection and analysis of data through experimental, cross-sectional, longitudinal, or case study research design (Bulsara 2015). Similarly, Dannels (2018) defines research design as a plan that researchers use to collect data, measure, and report it as they conduct their research. Three research designs are common when engaging academic research namely qualitative research, quantitative research, and mixed method research (combination of qualitative and quantitative research). This study used both a qualitative and quantitative approach to collect data. Qualitative research design is a type of social science research that collects and works with non-numerical data. This type of research approach seeks to interpret the meaning from the collected data which help to understand social life through the study of targeted populations or places. In essence,

qualitative research encompasses studying of human behaviour, attitudes, and opinions from perspectives of participants in their natural settings (Seleyew 2019), whereas quantitative research includes explaining phenomena using statistical representations (Harris 2019). Quantitative data mostly present statistical data. The qualitative, quantitative and mixed research designs will be unpacked in detail in the next section. However, this study uses both qualitative and quantitative research methods. Using two data sets can give a better understanding of the problem and – the investigator gains both depth and breadth. Also, amalgamating statistics with thematic approaches can help avoid over-reliance on the former and can also capture soft-core views and experiences and the subjective factors necessary to elucidate complex social situations (Hwang & Fu 2019). Using both methods can also strengthen findings – a process known as triangulation. Triangulation will be discussed in section 5.10.4.

Research methodology is the systematic, theoretical examination of methods, and principles to be used in the research (Schoch 2020). Methodology is the study of techniques employed in doing research (Halkias & Neubert 2020). The importance of using research methodology in a study, according to Harris (2019), is that it lays out the specific rules for gaining insights into the research subject matter, it allows the researcher to report in detail how the study's findings were obtained and allows others to evaluate it; and it enables the researcher to report on the rules and procedures used.

A case study is a comprehensive assessment of people, events, policies, institutions, or other systems as a whole, rather than as individuals (Hancock, Algozzine & Lim 2021). It is an in-depth examination of a specific circumstance that is utilised to condense a large field of study into a single researchable issue (Chrastina 2019). It also looks at current real-life events and lays the groundwork for putting ideas into practice (Charistina 2019). A case study is a research method that examines one or a few occurrences of a phenomena (Schoch 2020). A case study approach should be considered, when the goal of the study is to answer how and why questions, when it is impossible to manipulate the behaviour of those involved in the study; when contextual conditions are relevant to the phenomenon under study; or when the boundaries between the phenomenon and the context are unclear (Halkias and Neubert 2020). To answer the research objectives of this study, a case study research methodology was employed.

Case studies are used for a variety of reasons. The researcher gathered data from a variety of sources to make sure thorough data is acquired from detailed questionnaires and supplemented with data from face-to-face interviews (Duff 2018). In this study, the researcher selected two mining companies in Zimbabwe because including all mining companies would be too time consuming and beyond the scope of this study. As the study's emphasis, the researcher isolates a small sample of mining corporations. The selected mining companies had comprehensive documented CSR programmes.

The case study is an important qualitative tactic in the field of qualitative research methodology (Sovacool, Axsen & Sorrell 2018). The case study approach differs from other research strategies because the research is focused on a confined system or case (Sandurakani *et al.* 2021). To support the case study findings, a focus has been placed on interpretations of the tangible resources of consistently high performing mining corporations. Case studies are popular among qualitative researchers because they provide for flexibility in qualitative approaches (Tomas & Ravazzin 2022). Cases selected may not accurately represent all the companies in the mining industry and there is a possibility of bias and discrimination which can negatively affect the accuracy of results. The researcher utilised the services of a research assistant who was neutral and did not have the background of the events and relations in the community, unlike the researcher who grew up in one of the communities under study.

5.2.1 Qualitative research

Qualitative research entails monitoring what respondents do and say in order to gather, analyse, and interpret data. Qualitative research provides a wealth of information on participant's behaviour (Tomaszewski, Zarestky and Gonzalez 2020). A qualitative technique allows the researcher to get in-depth information of the concerns, allowing for a better understanding of the situation (Cardano 2020). The study's qualitative component focused on employees and management from the CSR department that are involved in different CSR projects and leaders of communities that are benefiting from those CSR projects. Using qualitative research, the researcher was able to understand the views and perspectives of the management in the CSR department. Probing questions were used to enable participants to discuss the nature of the projects.

Management representatives were engaged through interviews. Community representatives were engaged through focus group discussion. Interview questions were asked in a semi-structured, probing manner, leading the respondents to address the issues that are expected to respond to the nature of CSR projects they are involved in and the policies that are in place to guide CSR. In-depth interviews are vital because they tap into the knowledge and experience of persons with information that is relevant to the topic at hand (Johnson *et al.* 2020). This study used in-depth interviews to get insightful information from the CSR management of the mining companies and the community leaders in the benefiting communities in Zimbabwe. A total of three focus groups were conducted for each community.

5.2.2 Quantitative research

Survey research is a term used to describe quantitative research. It entails distributing a series of structured questions to a large number of people with predefined responses (Bloomfield 2019). Quantitative research, according to Rutberg and Boujkidid (2018), is concerned with figures and numbers. Quantitative approaches can be utilised to allow statistical testing as well as the strengths in such associations (Mehrad & Zangeneh 2019). Two questionnaires were administered to the participants to assess people's understanding of CSR. One questionnaire was administered to the community members and the other one was administered to organisation employees only.

5.2.3 Justification for using both quantitative and qualitative research

This study used qualitative research to complement quantitative method. In this case, quantitative method achieved objectivity of the study whilst qualitative methods provide the explanation and opinions of respondents regarding monitoring and evaluation of CSR. The basic premise is that using both quantitative and qualitative approaches permit a more complete and synergistic utilisation of data in providing a better understanding of research problems and complex phenomena than either approach alone (Fetters and Freshwater, 2015). Better understanding in this study will be obtained by triangulating one set of results with another and thereby enhancing the validity of inferences.

Using both qualitative and quantitative research also mirror the way individuals naturally collect information by integrating quantitative and qualitative data. This stakeholder participatory approach in the research process brings about change by providing input about their needs, ways to address them, and ways to implement changes (Lincoln 2011). A reflection of participants' point of view in both methods give a voice to study participants and ensure that study findings are grounded in participants' experiences. In this case, management were given an opportunity to elaborate on the recommendations that can be used to bring change in how CSR projects are planned and implemented to benefit both the organisation and the community.

5.3 Population and the target population

Population is the entire group of individuals or units being studied (Duff 2018). A population is the total number of items that are the subject of a study project (Chrastina 2019). Selecting the population of the research assists the researcher to determine which questionnaire design to select and the methods to be used in administering the questionnaire (Halkias and Neubert 2020). According to Africa Mining Portal (2018), Zimbabwe has approximately 44 mining projects contributing to the country's Gross Domestic Product. These projects include 20 gold, 10 PGM, 3 nickel, 4 lithium, 3 diamond and 1 coal. Amongst these projects are the two case studies that were used in this study which is the Zimplats and ZCDC mining projects. These companies were chosen because of their known contribution to the upliftment of the communities they operate in. These two companies are in the top five in the rank of contribution to CSR (Republic of Zimbabwe 2018). In this study, the target population and sample size are adequate to answer the research questions. The sample size will be discussed in the next section. This study used the target population to investigate the monitoring and evaluation of CSR in the mining sector and developed a monitoring and evaluation framework to be used by Zimbabwe mining companies.

The study's target audience was community leaders from the benefiting communities and CSR managers who were directly involved with CSR projects. The first phase in the sampling procedure, is to establish the target population (Asenahabi 2019). The

procedure of determining the demographic may appear simple, yet it can be challenging. As part of the population definition, it is critical to add limits or exclusionary boundaries. The study's target population consists of the top two mining corporations (Zimplats and ZCDC) and the communities benefiting from the projects respectively (Mhondoro and Marange) in Zimbabwe. When compared to other organisations, this target group was selected for this study because they are progressive and more focused on CSR implementation and the triple-bottom-line strategy. After deciding on the target population, there is need to identify the specific participants that will participate in the study. Thus, section 5.4 details the sampling procedure used in this study.

5.4 The sampling procedure

Sampling procedure is the approach for participant selection, hence should be integrated into any study's overall logic (Li *et al.* 2019), and the rationale for sample selection should be aligned with the study's overarching goals. In a qualitative study, a relatively small and purposefully selected sample may be used with the goal of enhancing the depth (rather than the breadth) of understanding (Simundic *et al.* 2021). With that in mind, Khalifeh et al. (2020) defined purposive sampling as a method of discovering and selecting situations that will efficiently employ limited research resources by selecting respondents that are most likely to provide suitable and helpful information. Wang et al. (2022) added that the rationale for using a purposive sampling technique is based on the concept that, given the study's goals and objectives, specific types of people may hold diverse and significant perspectives on the ideas and topics in question, and hence must be included in the sample (Guichard *et al.* 2021). In this study, people who were selected had in-depth knowledge of CSR as they were either employees in the selected mines or community leaders in the benefiting communities.

5.4.1 Criteria for the selection of the sample

Participants who had knowledge and experience in CSR projects and were directly involved in those activities were selected. These were CSR department managers from Zimplats and Zimbabwe Consolidated Diamond Company and the community leaders from Mhondoro and Marange areas who were actively involved in CSR activities.

5.4.2 Sampling methods

Sampling is the process of selecting the elements that will participate in the study (Wang *et al.* 2022). While selecting a sample for a study, the researcher must consider the target population most suited to the topic's examination, the type of research instrument to be utilised in the study, and how the research instrument will be delivered (Huang and Beck 2018). Probability and non-probability sampling methods are the two basic types of sampling methods used in research (Khalifeh *et al.* 2020). This study uses non-probability sampling which is discussed below.

5.4.2.1 Non-probability sampling

Non-probability sampling, unlike probability sampling, draws the sample using nonrandomised methods. A non-probability sampling technique is used in this study as the researcher will purposively select companies who are meaningfully involved in CSR and with these companies, participants who had knowledge of CSR programmes taking place in communities were selected. The majority of non-probability sampling methods entail judgment (Drabble *et al.* 2018). Instead of randomisation, individuals are selected based on their accessibility. Non-probability sampling is a helpful and practical approach of selecting a sample in some instances, while it is appropriate and the only method accessible in others (Berndt 2020). Non-probability sampling is associated with several limitations, including the absence of generalisability of the findings obtained (Beaumont *et al.* 2021). Although the outcomes of this approach are primarily relevant to the examined population, it could be erroneous to generalise these findings beyond the selected sample. According to Chen *et al.* (2019), the non-probability method can be employed to investigate specific phenomena that have the potential to provide valuable insights. Non-probability sampling is employed for the purpose of exploring or advancing existing theoretical constructs. According to Lamm and Lamm (2019), this sampling method is considered to be less costly, less challenging, and more feasible when compared to its alternative. Nonetheless, non-probability sampling is associated with certain limitations. The probability of inclusion and the representativeness of the sample in relation to the population are subject to uncertainty.

According to Andridge et al. (2019), non-probability sampling encompasses various techniques such as convenience sampling, purposive sampling, and quota sampling. Purposive sampling is a sampling technique that involves the selection of elements based on the researcher's discretion (Lehdonvirta et al. 2021). In this study, the researcher used the data given by two companies' management, employees and surrounding communities. When using purposeful sampling procedures, selection is based on known traits (Pace 2021). Based on knowledge and skill, the investigator selects what should be recognised and arranges for persons who are willing and able to participate (Berndt 2020). Similarly, the researcher understands what needs to be understood and, with the assistance of the gatekeeper and community leaders, selects relevant staff and community members who are willing and able to engage based on their knowledge and experience. Participants were selected via purposeful sampling based on their knowledge and involvement in CSR. The sampling design, which stems from the research question, should be considered; the sample size should be appropriate to answer the research question; and the sampling design should adhere to ethical requirements of the study (Buelens *et al.* 2018).

The possibility of any given subject being included in the sample cannot be calculated in non-probability sampling (Drabble *et al.* 2018). This means that some of the population's units are more likely to be selected than others. The researcher can select which elements to include in the sample using non-probability sampling. The likelihood of one individual or subject being selected is not equivalent to the probability of another individual or subject being selected in a non-probability selection process. A sample was purposefully selected for this study from Zimplats and ZCDC mining corporations that are involved in well-known community development projects in Zimbabwe.

5.4.5 Sample size

This study used Zimplats and ZCDC mining companies as the case study. The sample size was determined by using a simplified sample size table by Sekaran (2003) that ensures a reasonable decision model. A confidence level of 95%, a margin of error of 5% and an anticipated non-response rate of 30% were used in calculating the sample size. With the total population of 198, the Sekaran sample size table allows for at least

of 140 participants. The decision to use a total of 140 (20 from the companies and 120 from the communities) research participants for this research was influenced by the number of people in the community, knowledge of CSR, costs, and the fact that the respondents came from the same geographical area and had the same qualities needed in this study. One hundred and twenty respondents were selected from the 16 wards served by Zimplats and ZCDC. The first questionnaire was administered to these 120 community members. The second questionnaire was administered to twelve employees from the CSR department.

From the 16 wards served by Zimplats and ZCDC, ten headmen (five from each community) were selected for focus group discussions as they were directly involved with the CSR department on CSR issues. From the sample of 20 in the organisations, the selection of six managers were also purposeful for in-depth interviews as the researcher targeted those from the corporate affairs department who were well informed about the CSR matters. Three focus group discussions were held with each community.

5.5 Data collection procedures

This study utilised a questionnaire to collect quantitative data. Two questionnaires were administered, one to the company employees which consisted of 16 questions and the other two benefiting community members which consisted of 120 community members. For qualitative data, face-to-face interviews were conducted with company management who were the management in the CSR department and focus group discussions were conducted with the community members. For focus group discussion, the main participants were the community leaders from the benefiting communities.

5.5.1 Administration of questionnaires

A self-administered questionnaire (SAQ) refers to a questionnaire that has been designed specifically to be completed by a respondent without intervention of the researchers (e.g., an interviewer) when collecting the data. An SAQ is usually a stand-alone questionnaire though it can also be used in conjunction with other data collection modalities directed by a trained interviewer. In this type of study, the questionnaire's

objective is to extract data from the sample. The self-administered questionnaire requires respondents to complete the questionnaires themselves to answer the questions (Schoch 2020). Due to the difficulty of physically administering the questionnaire to all respondents due to Covid-19, the researcher had to email questionnaires directly to respondents. Because the SAQ was completed without ongoing feedback from a trained interviewer, special care was taken in how the questions were worded as well as how the questionnaire was formatted to avoid measurement error. Research assistants were selected from Mhondoro and Marange to assist with the administration of surveys for those respondents, largely community people. The questionnaire used both closed-ended and open-ended questions. Participants were given one week to complete and return the questionnaire to the research team. This allowed the participant time to read, understand and complete the questionnaire. The total number of participants that completed the questionnaire is 91 (76%).

5.5.2 Interview schedule

An interview schedule is a list containing a set of structured questions that have been prepared, to serve as a guide for interviewers, researchers, and investigators in collecting information or data about a specific topic or issue (Yu 2020). The interview schedule was used by the interviewer, who filled in the questions with the answers received during the actual interview. The researcher designed a face-to-face interview schedule which contained all questions that were used to gather in-depth data on the issue of CSR. These questions were designed in such a way that they answered all the research questions for this study. Amongst other advantages, the interview schedule enabled the efficient conduct of the interviews. In addition, it increased the likelihood of collecting accurate information, at the same time allowing interviewer (researcher) to get more in-depth information. On the same note, an interview schedule has high response rate at the same time offering flexibility and high customisation. In this case, the same interview schedule was used to interview different participants. Although the interview schedule made it easier to conduct interviews, designing it was time-consuming and there was a high risk that the interview and its results might suffer from the bias of the interviewer, as she was the one that chose the questions to be asked during the interview. Each interview lasted 30-45 minutes with no breaks in between. Each

interview schedule consisted of about 12 questions; however, the interviewer used her own discretion to probe further on given responses.

6.5.3 Focus group discussions

Academic literature suggests conducting one focus group interview by gathering four to eight participants (Balconi *et al.* 2020). The more complex the subject under study, the smaller the number of members recommended in the focus group (Dauphinot *et al.* 2020). The selected number of participants for each focus group is five, taking into account the intricacy of the subject matter and the requirement for additional deliberations. The justification for selecting this specific numerical value was to facilitate inclusivity and foster a conducive atmosphere that would facilitate the exchange of ideas, perspectives, and personal encounters among participants. The data from the focus group was collected from various sources, such as a moderator, an assistant moderator, and an observer. The team collaborated closely with the researcher to acquire and authenticate the data. To attain saturation of both data and theory, three focus groups per group were conducted for the purposes and intentions of this research. Muthana et al. (2019) recommend conducting three to four group interviews with a single type of participant or group to ensure adequate coverage of focus group data. It is commonly believed that once a moderator team is unable to process additional information after the third or fourth group, saturation has been attained. In this study, a total six focus group discussions were conducted in the two different communities under study. The first three were for Mhondoro Ngezi community (benefiting from Zimplats) and the other three were for Marange community (benefiting from ZCDC). It is important to highlight the reason behind the selection of areas. Two focus group discussion sessions for each mining community. These areas were selected because they are directly benefiting from CSR programmes of the mining companies under study (Zimplats and ZCDC).

The selection of participants was based on their shared characteristics and relevance to the topic under discussion, with the objective of attaining a consensus. The study evaluated the participants to confirm that they were active recipients of CSR initiatives from the mining companies. For the purpose of ensuring uniformity and optimising

involvement, the selection of individuals was predicated on demographic factors such as age, marital status, profession, gender, and level of education. Homogeneity in age was maintained within groups, while also incorporating age heterogeneity across groups to facilitate diverse perspectives. The primary criterion for sampling with respect to community members' involvement was their level of participation and comprehension of CSR initiatives. The investigators devised a specific set of inquiries to employ during the conduct of the focus group discussions. The inquiries posed during the discussions were grounded in contemporary scholarly works and were designed to be broad in scope, thereby affording attendees the opportunity to engage actively. To commence each group discussion, a succinct explanation of CSR was presented as a means of initiating the discourse. To optimise the engagement of participants in the discourse, both of the focus group discussions were conducted in the English language. Section 5.9 outlines the methodology employed for the analysis of transcripts from focus group sessions. The inquiries posed during the discourse were predominantly focused on acquiring novel perspectives pertaining to the subsequent research domains, which align with the goals expounded in the preceding segment, namely (1) the notion of CSR; (2) the CSR policy of organisations; (3) the assessment of CSR advancement in relation to output; and (4) the surveillance and appraisal of CSR initiatives.

5.5.4 Questionnaire design

A structured questionnaire is one of the quantitative strategies for collecting data from study respondents (Bhattacharjee, 2012). The questionnaire enabled respondents to complete questions in their own time. Respondents were urged to offer honest and genuine answers to the questions (Kurten, Brimmel, Klein, & Hutter 2022). Questionnaires were completed by 14 employees and 120 community members. For managers, qualitative research approaches such as in-depth interviews were used to supplement the questionnaire (Mohajan 2020). The researcher was able to learn more about the ideas and beliefs of the CSR managers on the significance of their CSR activities to the sustainable development of the Mhondoro and Marange communities through employing in-depth interviews. In-depth interviews were held with the management from CSR department.

5.5.4.1 Description of the construction of the questionnaire

The research instrument for this study was a pre-coded questionnaire that was carefully developed with consideration for the length, format, and style of questions asked. The questions were posed with the intention of collecting data suitable for analysis. To avoid ambiguity, the wording was carefully selected, and respondents were given explicit instructions on how to answer each of the questions. These questionnaire items will be discussed in section 5.6.

One questionnaire was designed and directed to employees in the community development department for responses from the business sector and the other questionnaire was designed directed to community people who are the beneficiaries of such CSR projects. According to Sovacool *et al.* (2018) when creating such questionnaires, a title that introduces the issue to the respondents should be included which gives the questionnaire legitimacy. Considering this, the questionnaire was given a title, and the researcher attached a cover letter to the respondents outlining the survey's overarching goal as well as how confidentiality and anonymity would be maintained. The cover letter encouraged respondents to participate and offered to provide a summary of the questionnaire's findings upon completion of the study. The covering letter also included basic guidelines on how to complete the questionnaire, and it was counter-signed by the supervisor to confirm and legitimise it. The questionnaire was constructed with the research objectives, research themes, and literature review findings in mind. Two academic staff members and two business professionals familiar with the topic pre-tested the questionnaire. Thereafter, the questionnaire was given to a statistician for review to confirm that it was suitable for analysis using the Statistical Package for Social Sciences (SPSS) version 24.0.

The main difficulty encountered was that the company employees feared that the secrecy of their workplaces would be jeopardised. To counter that, the researcher sent the respondents a detailed covering letter outlining the purpose of the study and why the respondent was selected. The respondents were also reassured that their identity and confidentiality will be maintained. Despite having access to all this information, some respondents choose to ignore the questionnaire.

5.5.5 Types of questions

There are two main types of questions used in this study. These are closed ended and open-ended questions. Multiple choice, drop down, checkboxes, and rating questions are just a few examples of closed-ended questions. Rather than providing unique or unexpected responses, each question type asks the respondent to choose from a list of pre-selected options (Dalati and Gómez 2018). Closed-ended questions are easier to respond to than open-ended questions because they explain the alternatives, removing the need for respondents to come up with their own solutions (Mathesius and Krell 2019). For statistically significant data, closed-ended questions are valuable because they are designed to provide easily quantifiable facts, closed-ended inquiries are definitive. These types of questions are particularly useful for displaying the statistical significance of survey data because they are straightforward. Furthermore, researchers can use the data acquired from closed-ended questions to categorise respondents into groups, depending on their responses (Mathesius & Krell 2019).

Closed-ended questions have the drawback of requiring a researcher to have a full understanding of the topic of his or her questions and how they connect to the wider study problem before they are created (Dalati & Gómez 2018). Respondents will have insufficient options to choose from, questions that do not appropriately reflect the research's purpose, and limited or erroneous information if closed-ended questions are used (Dalati & Gómez 2018). In this study, closed-ended questions were used in conjunction with open-ended questions which enabled the collection of more in-depth, rich data.

Open-ended survey responses and/or interview questions are widely used to explore and understand participants' experiences and perspectives in a variety of fields, such as programme evaluation, marketing, and management (Creswell 2012). By analysing the text embedded in open-ended question responses, researchers can acquire further information and obtain deeper insight into participant beliefs and experiences (Creswell 2012). In research, collecting open-ended responses is helpful in the assessment of programme effectiveness, research theory development, and measurement (Fitzpatrick 2019). To analyse open-ended responses, researchers use qualitative methods to code,

organise information and logically group the data into categories or themes, and to gain an innate understanding.

Open-ended questions are free-form survey questions that enable respondents to answer in open text format so that they can answer based on their complete knowledge, feeling, and understanding (Vitouladiti 2014). Responses to these questions are not limited to a set of options. Unlike a closed-ended question that leaves survey responses limited and narrow to the given options, open-ended questions allow the researcher to probe deep into the respondent's answers, gaining valuable information about the subject at hand (Worthen 2011). The responses to these questions were used to attain detailed and descriptive information about CSR programmes in the mining sector in Zimbabwe. In this study, the questionnaire consisted of four open-ended questions to gain in-depth understanding of CSR. For interviews, all questions were open ended which enabled the researcher to acquire detailed information about the subject under study. Open ended questions were carefully constructed to align with the research objectives as well as to answer the research questions.

5.6 Questionnaire content

Over time, questions have evolved into many types to collect various types of data. The information needed, the nature of the investigation, the time required to answer, and the study's budget influenced the types of questions used in research studies (Cox 2019). Asking the correct questions can assist researchers in gaining deeper insights, making better decisions, and developing more successful solutions. The following are common categories of questions, along with sample instances of each:

5.6.1 Demographic questions

The demographic questions capture the demographic data from a population set. They are used to identify age, gender, income, race, geographic place of residence, number of children, etc (Ayede *et al.* 2018). Demographic data assists researchers in determining a more accurate picture of the group of people being researched. For example:

Age	
18-29	
30-39	
40-49	
50-59	
60+	

5.6.2 The Dichotomous questions

The dichotomous question is generally a "Yes/No" close-ended question and used for basic validation (Zhang 2021). The respondents who answer "Yes" and "No" can be bunched together into groups. Thereafter, different questions can be asked to both groups.

Question: Are you familiar with the initiatives and actions related to CSR that have been introduced at the workplace? (Tick the appropriate)

Yes	
No	

5.6.3 Multiple Choice questions

Multiple choice questions are a question type in which respondents must select one (single select multiple choice question) or many (multi-select multiple choice question) responses from a given list of options. The multiple-choice question consists of an incomplete stem (question), right answer or answers, incorrect answers, close alternatives, and distractors (Brassil 2019). However, the questions are designed as it best matches the expected outcome. Typically, single select questions are denoted by radio buttons, and multi-select questions are denoted by checkboxes. An example of a multi-select multiple-choice question is shown below:

Question: What position do you currently hold in the organisation/community?

	Responses
General employee	
Public Relations employee	
Councilor	

5.6.4 Likert Scale questions

Likert Scale is one of the most used tools by market researchers to evaluate their target audience's opinions and attitudes. This type of question is essential in measuring a respondent's opinion or belief towards a given subject (Chyung 2017). The answer options scale is typically a five, seven, or nine-point agreement scale used to measure respondents' agreement with various statements. Likert scales can be unipolar, indicating a respondent to think of the presence or absence of quality. Or they can be bipolar, mentioning two different qualities, and defining the relative proportion of those qualities. See the example below:

Question: In your opinion, what has motivated your company the most to implement CSR? (1 strongly disagree, 2 disagree, 3 neutral, 4 agree, 5 strongly agree)

4.1 Ethical motivation	1	2	3	4	5
4.2. Environmental protection	1	2	3	4	5
4.3. To promote corporate image and reputation	1	2	3	4	5

5.6.5 Comment box open-ended questions

The comment box open-ended question is used to collect feedback or suggestions that could be long. They are open text format such that the respondent can answer based on their complete knowledge, feelings, and understanding. Hence, this question type is used when the organisation conducting the study would like to justify a selection in a

prior question or when extensive feedback is required from the respondent. An example is provided below:

Question: For the statements you have rated as A (Agree), please elaborate on the specific nature of these challenges and the impact these have had on CSR implementation in your company.

The questionnaire in this study comprised of items from existing research questionnaires in the field of CSR. This questionnaire intended to measure the opinion of both the company employees and the community members on monitoring and evaluation of CSR in the mining sector.

5.7 Face-to-face interview questionnaire construction

The study used personal interviews as a data collection method. This method has certain advantages as compared to other data collection methods such as mail surveys, or telephonic interviews. The personal interview is a more accurate data collection method as it generates more data and the response rate for this method is higher as compared to other methods (Basch *et al.* 2021). Personal interviews allowed the researcher to read through the non-verbal communication of the respondents and to better understand emotions of the participants. The researcher acquired in-depth information about the CSR policies and the extent of community involvement through these interviews. In addition, the interview served as a therapy to community members who managed to express their feelings without fear of being judged.

A structured interview is a form of research interview commonly used in qualitative research (Welles *et al.* 2022). Dauphinot *et al.* (2020) affirms that the structured interview is a prominent data-collection strategy in social research. Structured interviews are implemented by presenting to the participant a set of pre-determined questions that were finalised prior to the interview. In this study, the participants were presented with the same set of questions, in the same order, using the same wording (Welles *et al.* 2022). There are certain advantages with the use of the structured interview. Firstly, the researcher controls who participates in the interview; secondly,

where there is confusion or misunderstanding of the questions asked, the researcher is able to clear up such misunderstanding; and finally, the response rate is higher as people are more likely to accept to be interviewed rather than complete the questionnaire (Basch et al. 2021). This study used semi-structured interviews which enabled the researcher to switch from predesigned questions to probing questions according to the responses provided. Table 5.2 indicates the weaknesses, reasons of weakness and solutions to semi structured interviews.

Semi-structured interviews may lack standardisation therefore the risk lies in whether alternative researchers reveal the same information (Saunders 2012). To overcome this, the researcher retained the interview notes relating to the research design and the reasons underpinning the research strategy and method were obtained. There also a risk of interviewer bias. To address this, the researcher appropriately used open ended questions and the researcher also displayed attentive listening to information and concerns of the participants. In this study, semi-structured interviews were conducted with six participants from the CSR department (Zimplats and ZCDC). A structured interview schedule was formulated and separated into 12 questions. Interviews were conducted in 2022. The questions focussed on the themes identified in Chapter Six of the study.

5.8 Descriptive statistics

According to Chrastina (2019), descriptive statistics are used to explain the quantitative/numerical data collected in the research. Descriptive statistics assists the researcher to summarise and describe information using graphs and numbers. The aim of descriptive statistics in research is to enable the researcher to describe the findings of the data collected using frequencies, mean, median, mode, proportions, standard deviation, etc. In this study, frequency distribution tables are used to present the data in a tabular and graphical format.

Hancock *et al.* (2021) maintains that the purpose of constructing a frequency distribution table is to indicate how often a certain score occurs. The scores are then

grouped together in equally sized ranges referred to as a ‘class interval’. In this study, a frequency distribution table was constructed. From the frequency table, graphs and distribution tables were constructed, which were used to present the results of the study.

Mean - The mean is one of the methods used to calculate the central tendency in a set of research results. The mean refers to the average mark of the group or the class. The purpose of calculating the mean in research is to find a score that best represents the entire scores in the data set. The mean is calculated by adding all the scores and then dividing this by the total number of scores (Halkias & Neubert 2020). Although the mean is calculated in this research, the findings will be reported using percentages, because percentage allows for the accurate measure of the raw scores obtained from the research results.

Median – The median is the middle point of the distribution. The median is a more accurate reflection of the data set than the mean especially when there are extreme scores. The median is calculated by adding the value of the two middle scores and dividing the total by two (Hackett and Capobianco 2018).

Mode - The mode is the score that occurs most often. The mode allows the researcher to describe nominal or categorical data. The mode in research refers to the frequency in which a response occurs.

5.8.1 Correlation analysis

The goal of the statistical research was to assess the CSR projects and determine if monitoring and evaluation seemed to be the most important factor in CSR project measurement. A multi-stage study was identified to be necessary in order to seek correlations between CSR levels and other variables that might provide insights into the monitoring and evaluation of CSR projects. The initial step was to look at the relationship between the factors. The correlation coefficient, as explained by Chatterjee and Hadi (2006), is a measure of the strength of a relationship between two variables. As long as the relationship is linear, this coefficient can be utilised to explore a positive or negative relationship. The correlation coefficient is the result of standardising the

covariance between the two variables in order to remove the influence of the units of measurement, resulting in a correlation coefficient with a range of -1 to 1 (Mondal and Mishra 2017). This makes it easier to determine the extent of the association of the study variables. After the correlation analysis, correlation coefficients were checked for significance. The following section details the test for significance for correlation analysis.

5.8.2 Factor analysis

Factor analysis is a statistical technique whose primary goal is to reduce data. Factor analysis is usually used in survey research, in a situation where a researcher aspires to represent a number of questions with a small number of hypothetical factors. Factor analysis is typically used to ascertain whether the measures do, in fact, measure the same thing. Where it is established, the variables can then be combined to create a new variable that contains a score for each respondent on the factor (Stenfors et al. 2020). In this study, the matrix tables are preceded by a summarised table that reflects the results of Kaiser-Meyer-Olkin (KMO) and Bartlett's Test. According to Bloomfield and Fisher (2019), the KMO test is used to assess the appropriateness of using factor analysis on data and the Bartlett's test is used to test the null hypothesis. The authors contend that the requirement is that Kaiser-Meyer-Olkin, measure of Sampling Adequacy should be greater than 0.50 and Bartlett's Test of Sphericity less than 0.05. In all instances, the conditions are satisfied in this study, which allows the factor analysis procedure to be undertaken.

In this study, factor analysis was used to simplify a complex dataset where larger number of observed variables was reduced to a smaller set of unobserved factors. Although factor analysis trade off exactness with understanding, simplifying allowed the researcher to better understand the underlying reality of the subject area. However, this process involved several methodological and interpretative judgment calls.

5.8.3 Cronbach's alpha test

This study also used Cronbach alpha test to test the reliability of the study. The Cronbach's alpha test is used to measure the internal reliability of a research instrument. It is used in order to determine how closely related a set of items are as a group (Institute for Digital Research and Education Search 2017). Hwang and Fu (2019) contend that the Cronbach's alpha test calculates the average of all possible split-half reliability coefficients and is based on inter-item correlation. The author also notes that in most social science research such as this, a reliability coefficient of .70 or higher is considered acceptable. Sections tested include factors motivating CSR and the benefits of CSR. The Cronbach's Alpha on motivation for employees was 0,743 and for community it was 0,708 which means that the instrument was reliable. The Cronbach's Alpha on benefits was 0,733 and for community was 0,732. Which means the instrument was reliable.

5.8.4 Mann Whitney Test

Mann Whitney U test or Wilcoxon Rank-Sum test, on the other hand, is an analogue of the parametric Student's t-test. It compares the means between two independent groups with the assumption that the data is not in a normal distribution. Therefore, it is useful for numerical/continuous variables. For example, if researchers want to compare two different groups' age or height (continuous variables), in a study with non-normally distributed data, then the Mann Whitney U test can be used. This test was used to compare the perceptions of employees and community members.

5.9 Statistical techniques and data analysis for qualitative approach

The transcripts of the interviews yielded a huge amount of qualitative data for study. Data reduction is a method of sharpening, sorting, focusing, discarding, and organising data in order to generate and verify final conclusions (Cardano 2020). The data was reduced during the analysis process, and the ensuing display of the data made it easier to look for themes in the results. Thematic analysis was used to deconstruct the transcribed interviews, identifying, and analysing trends and disparities across the full

data set. This process was repeated several times from various perspectives to guarantee that the data was properly reduced and that nothing was overlooked. An inductive approach to data analysis was used to identify emergent patterns and trends in the perspectives of the participants, as well as any divergent viewpoints. As Haven and Van Grootel (2019) describe, this allows for iterative and continuous conclusions to be formed and tested, with data reduction, display, and verification occurring simultaneously throughout the process. Because of the exploratory character of the research and the requirement to draw on themes that emerged from multiple participants, thematic analysis was deemed appropriate.

Given the phenomenological character of the data, non-quantifying methods were used for the majority of the study. According to Johnson *et al.* (2020), data was acquired, coded, aggregated, summarised, generalised, and verified for robustness using a general analytical approach. In this study, the most appropriate strategy for organising the data collected was manual coding. The procedure of repeatedly reviewing of each of the interview transcripts resulted in a deep familiarity with the participant responses, although being more time-consuming.

Coding is the process of organising data into categories or text parts (Creswell 2016). Following that, the categories are given a name. Coding is defined by Boros (2018) as the classification and compartmentalisation of data into relevant analytical units. Myers (2013) suggest that coding is one of the easiest methods for analysing qualitative data. Coding is defined as a practice in which a researcher selects a term to characterise or summarise a sentence, a paragraph, or a piece of text. Coding is the process of extracting concepts from materials and assigning them to categories (Braun *et al.* 2021). Creswell (2016) explains that coding divides the text into smaller parts, allowing the researcher to identify each unit and group the codes into themes. The questionnaire items, as well as the transcribed responses from the structured interviews, were given a number in this study. Interviews lasted 30-45 minutes on average. This allowed the researcher to categorise the data and assign it to the study's themes.

5.9.1 Thematic analysis

Thematic analysis is a methodical approach to identifying and interpreting recurring patterns or themes that arise from qualitative data. Braun and Clarke (2006) assert that the primary qualitative methodology to be acquired is one that instills essential skills that can be utilised in diverse forms of analysis. Thematic analysis is a methodical approach to identifying and interpreting recurring patterns or themes that arise from qualitative data. Braun and Clarke (2006) suggest that the primary qualitative methodology to be acquired should provide fundamental skills that can be utilised to conduct various other forms of analysis. The authors Braun and Clarke (2006) provide a manual consisting of six stages that can be utilised as a beneficial framework for conducting this form of analysis.

Step 1: Become familiar with the data

The researcher had to read and reread the data to become more familiar with the body of data. This was done for both the interviews and the focus group discussions.

Step 2: Generate initial codes

In this phase, the researcher organised data in a meaningful and systematic way to reduce lots of data into small chunks of meaning. There are different ways to code. In this case, the researcher was concerned with addressing specific research questions and analysed the data with this in mind – so this was a theoretical thematic analysis rather than an inductive one. Given this, the researcher coded each segment of data that was relevant to or captured something interesting about each research question. The researcher also used open coding; that means there was no pre-set codes, but the researcher developed and modified the codes through the coding process. The researcher coded each transcript separately, coding every segment of text that seemed to be relevant to or specifically address research questions. When the coding was completed, codes were compared. As the researcher worked through the transcripts, new codes were generated, and existing ones modified. This was done by hand by working through hardcopies of the transcripts with pens and highlighters.

Step 3: Search for themes

As defined earlier, a theme is a pattern that captures something significant or interesting about the data and or research question. As Braun and Clarke (2006) explain, there are no hard and fast rules about what makes a theme. A theme is characterised by its significance. Because of the very small data set there was a considerable overlap between the coding stage and this stage of identifying preliminary themes. In this case the researcher examined the codes and some of them clearly fitted together into a theme. At the end of this step the codes were organised into broader themes that seemed to say something specific about each research question. The themes were predominately descriptive i.e., they described patterns in the data relevant to the research question. Most codes were associated with one theme although some were associated with more than one.

Step 4: Review themes

During this phase the researcher reviewed, modified and developed the preliminary themes that were identified in Step 3. At this point it was useful to gather all the data that is relevant to each theme. This was done using the 'cut and paste' function on Microsoft word 2016. The data associated with each theme was colour coded. The researcher read the data associated with each theme and considered whether the data really did support it. The next step was to review and consider whether the themes work in the context of the entire data set. For example, some of the themes that were identified proved that the preliminary theme, Monitoring and evaluation of CSR in Zimbabwe did not really work as a theme in this example as there was not much data to support that.

Step 5: Define themes

This was the final refinement of the themes, and the aim was to identify the essence of what each theme was about (Braun and Clarke 2006). The researcher considered the following questions - What is the theme saying? If there are subthemes, how do they interact and relate to the main theme? How do the themes relate to each other?

Step 6: Write-up

This was the end-point of research where the researcher did the final write up of the thesis.

5.10 Criteria for evaluating the quality of this study

This section explores criteria used to ensure the rigour of this research. Within quantitative methodologies, measures of reliability, external validity, internal validity, and objectivity are common criteria, and are traditionally viewed through a positivist lens (Crandall *et al.* 2020). While not using the same measures as quantitative research, criteria are also used to evaluate the quality of qualitative research. Gitomer *et al.* (2021) refers to these as a criterion for trustworthiness, which refers to the dependability, transferability, credibility, and confirmability of a study. These concepts are explored below.

5.10.1 Reliability

The extent to which a quantitative study's results are repeatable is known as its reliability and concerns the extent to which one would achieve unchanging and consistent results if employing the same measure or research tool (Gitomer *et al.* 2021). Shaked *et al.* (2020) clarify this by pointing out that a reliable study shows consistency, predictability, dependability, stability, and/or accuracy. In the quantitative study, this was achieved through the careful articulation of the research objectives and the use of consistent and measurable methods for data collection and analysis. Widely accepted methods of statistical analysis were used and documented in a manner that would allow for these same tests to be conducted by any future researcher. Reliability is akin to the concept of dependability in qualitative research, and the question of how likely the findings are to apply in other periods (Gao *et al.* 2018). It is important that researchers obtain reliable findings that ensure companies plan accordingly to serve individuals and communities at the minimum possible cost.

The Cronbach's alpha test was used to measure the internal reliability of a research instrument. It is used to determine how closely related a set of items are as a group (Tourangeau *et al.* 2019). Rose *et al.* (2020) contends that the Cronbach's alpha test calculates the average of all possible split-half reliability coefficients and is based on inter-item correlation. The author also notes that in most social science research such as this, a reliability coefficient of .70 or higher is considered acceptable. Based on this,

Crandal *et al.* (2020) describes reliability as the consistency of measurement of a concept. Clark *et al.* (2018) contend that reliability is concerned with the findings of the research and relates to the credibility of the findings. The authors maintain that to determine whether the research findings are credible, the following questions need to be asked, “Will the evidence obtained from the study stand up to scrutiny? Will the conclusions of the study stand up to scrutiny?”

Reliability is concerned with issues of consistency of measures and when considering whether a measure is reliable, factors such as stability and internal reliability must be considered. Stability refers to whether a measure is stable and will not fluctuate over time (Silva *et al.* 2020). Internal reliability refers to whether the indicators that make up the scale or index are consistent i.e., whether the respondents’ scores on any of the indicators tend to relate to their scores on other indicators (Fuller *et al.* 2020). Different approaches are used to ensure reliability in a mixed methods study such as this. The following is a discussion on how reliability was ensured in the quantitative and qualitative research methods. In quantitative research, internal reliability is ensured by using the Cronbach’s alpha test, which is a test used to determine how closely related a set of items are as a group (Gitomer *et al.* 2021). The Cronbach’s alpha test was used in this study to ensure the reliability of the quantitative aspect of the study.

Although the term reliability is mostly used in testing or evaluating quantitative research, the concept is also used to test the quality of qualitative research (Shaked *et al.* 2020). To ensure the reliability of the qualitative aspect of this research, triangulation was used. In this study, the results obtained from the qualitative data is coded and triangulated with the results obtained from the quantitative data to ensure the reliability of the findings.

In a qualitative study, determining reliability can be difficult because social settings and circumstances do not remain constant over time (Gitomer *et al.* 2021). The qualitative phase of this study's dependability was ensured by meticulous documentation of the procedures and data methods used in the study. As explained by these authors, this allows one to trace changes in the building of a study, which typically occurs because of an emergent design, and to understand and analyse the judgments and rationale

underlying the research process (Rose *et al.* 2020). To achieve this, a precise and detailed account of the research conducted in this study was recorded, and data collection and analysis decisions were explained and justified.

5.10.2 Validity

Validity in quantitative research is an indicator of the integrity of the conclusions generated from the research. There are several types of validity within research. External validity refers to the extent to which a study's results can be generalised beyond the specific population or research context (Crandall *et al.* 2020). This is akin to the concept of *transferability*, or how findings can be applied to other contexts (Shaked *et al.* 2020). In order to promote external validity in the quantitative study, the researcher drew from data on the Zimplats and ZCDC which are large contributors to CSR in Zimbabwe, representing a sample that is collectively responsible for the majority of all CSR conducted in the country. Despite this strength, the researcher was vigilant to not make any unsubstantiated claims about the generalisability of the results to a broader population not sharing the same characteristics as the study participants (Gitomer *et al.* 2021). Two types of validity were detailed in this study. That is the external validity and internal validity.

External validity in the qualitative study was ensured via an empirical process in which the context of the study was compared against the broader context from which it originated, and by assessing overlap between the conditions of the two (Crandall *et al.* 2020). Assessing external validity can present a challenge, however, because of the evolving nature of social contexts (Silva *et al.* 2020), and because sample sizes within qualitative research are often small (Gao *et al.* 2018). Zimbabwe's mining industry contributes about 16% to the country's GDP and more than 60% of its foreign-exchange earnings (Zimbabwe 2021). In addition, the CSR executives selected for this study had experience working in CSR roles at companies and community members had active roles in CSR projects in the community. The data was collected in 2022.

Thus, the validity of the research was strengthened by the fact that the qualitative sample in this study represented a selection of some of the largest CSR contributors in

Zimbabwe. Given the challenge of assessing generalisability in qualitative research, the researcher is expected to empower any future inquirer to make such assessments for themselves by providing them with a carefully kept record of the time, the place, the context, and the culture of the study (Tourangeau *et al.* 2019). This was accomplished in this study through the careful documentation of the context of the research conducted. Internal validity refers to whether any cited causality or relationship between variables in research is valid, and not caused by some other variable (Rose and Johnson *et al.* 2020). This corresponds to the concept of credibility, or how believable the findings are in qualitative research (Clark *et al.* 2018). Internal validity in the quantitative study was promoted by selecting appropriate independent variables and performing the most suitable standardised tests for relationships and significance. The motivation for the appropriateness of the quantitative data collected on this basis is provided later in this chapter.

Internal validity in the qualitative study was ensured through sound academic processes and techniques, including respondent validation, whereby the researcher frequently repeated or clarified participant responses in order to receive validation of the responses being recorded. The researcher ensured that participant selection was suitable and that instruments used remained consistent (Creswell and Creswell 2018). Furthermore, respondents in the study were provided with anonymity in order to encourage complete and truthful responses. By selecting CSR management from two mining companies in Zimbabwe then three from each mining company, the idea was to widen and diversify the perceptions of mining companies and benefiting community members on the issues of CSR in the mining sector in Zimbabwe.

The researcher ensured trustworthiness of the qualitative research methods by judging the findings in terms of credibility, transferability, dependability and confirmability. Credibility is the confidence in the truth of findings (Miles, Huberman and Saldana 2014). The researcher ensured credibility in this study by using participants' words in the final report and member checking, that is, the findings were compiled and shared with the participants for confirmation. In addition, the researcher also reviewed the individual transcripts, looking for similarities within and across all participants. Transferability shows how findings can be applicable in other contexts (Lincoln and

Guba 1985). In this study, the transferability was ensured by using the same data collection methods with different demographic groups or geographical locations. In this case, the same questionnaire and interview guide was used for two different mining companies located in different provinces. In some instances, same questions were asked to both the mining staff and the community members on the on-going CSR programmes. Dependability confirms that the results are consistent and could be repeated (Miles *et al.* 2014). The researcher ensured dependability by providing a detailed description of the research methods. Confirmability occurs once credibility, transferability and dependability have been established (Lincoln and Guba 1985). The researcher ensured confirmability of the findings by taking notes regarding personal feelings, biases and insights immediately after the interviews. In addition, the interviewer was following, rather than leading, the direction of interviews by asking for clarifications when needed.

5.10.3 Pre-testing

A questionnaire pre-test as a procedure aimed at detecting problematic questions in a questionnaire and remedying the shortcoming before the questionnaires were sent out to respondents (Fuller et al. 2020). In this study, the questionnaire was pre-tested by two academic staff members and pilot-tested by two people in the corporate environment who are familiar with the area of the study. The questionnaire was also submitted to a statistician for the purpose of a constructive critique. The pilot-test of the questionnaire assisted the researcher in identifying questions with high non-response rates and enabled the researcher to either add a supplementary probing question or re-word the question. It also enabled the researcher to check the wording, the question sequence as well as the form and layout of the questionnaire. The respondents noted that some of the questions were too lengthy and too technically worded, to the extent that respondents who were not familiar with technical aspects of CSR were unable to answer them. The questionnaire and the structured interview schedule were thereafter rephrased in line with the observations.

5.10.4 Triangulation

Triangulation was used to ensure validity in this study, whereby multiple methods and sources of data were used in order to obtain greater confidence in the results (Rose and Johnson 2020). Triangulation is the process of combining approaches in order to get multiple viewpoints on single research (Gao *et al.* 2018). Data triangulation entails obtaining multiple sources of data; investigator triangulation occurs when multiple observers are involved in a study; theory triangulation occurs when multiple theoretical perspectives and hypotheses are used to guide an investigation; and methodological triangulation entails employing multiple dissimilar methods to approach the same object in a study (Tourangeau *et al.* 2019).

In this investigation, three different types of triangulations were used. Multiple sources of quantitative and qualitative data were used to triangulate the findings. Questionnaires, interviews and focus group discussions were used to validate the findings. Three key theories, the stakeholder theory, the legitimacy theory and institutional theory were used to triangulate the theories underpinning CSR. Multiple theoretical views were used to achieve theory triangulation, with the core theoretical framework of institutional theory being used, as well as theory from CSR, CSI, and other relevant fields. In this study, methodological triangulation entailed combining quantitative and qualitative approaches in data analysis, as well as the acquisition of archive CSR data and data gathered from primary interviews. The quantitative study included a variety of statistical tests, and the consistency of their results helped to corroborate their findings.

5.11 Limitations of the study

The qualitative research aimed for in-depth insights that would allow for a more thorough examination of participant's opinions. Similarly, the community members selected for the study were some of the most active and well-liked leaders in the area. However, one of the qualitative study's main limitations is that its findings may not be applicable to the broader community of CSR practice among other enterprises in Zimbabwe, particularly those of a smaller scale. The study focused on the viewpoints

of a group of CSR employees from two of Zimbabwe's top corporations, which jointly control the majority of the country's CSR financing. In this regard, the conclusions of this study are significant to how the majority of the country's CSR funding is distributed. However, the findings may not be applicable to smaller businesses in Zimbabwe, which ostensibly use CSR differently than larger businesses. It is important to mention that the participants' points of view were their own and did not necessarily reflect the official attitudes or viewpoints of their corporations or communities. However, the anonymity offered to corporate players appears to have emboldened them to provide more candid personal viewpoints, which are at times critical of their own companies or the larger economy.

As a result, the CSR practice deviates from predetermined corporate viewpoints on the problems presented. The study was only limited to Zimbabwe, and the results may not be necessarily applicable to other countries.

5.12 Elimination of bias

Objectivity is related to the assessment of bias and values in research (Trnka and Smelik 2020), and is similar to the idea of confirmability, which refers to the extent to which a researcher's values or prejudice influence a study (Bu et al. 2019). Objectivity in qualitative research can be attained through displaying good faith and impartiality to the greatest extent feasible, as well as making every reasonable effort to prevent prejudice (Tecimer *et al.* 2021). This was accomplished in the quantitative phase by adhering to the procedures of the specified research methodology. Objectivity was achieved in the qualitative study by creating an audit trail that allowed any inquirer to see how the data was collected and processed for analysis, assisting the study's confirmability (Tancredi *et al.* 2021). Furthermore, to avoid researcher bias, care was made to guarantee that the research was done in good faith and that participant contributions were appropriately documented and reported.

5.13 Anonymity and confidentiality

All participants consented to participate in the study. The participants were informed that they would remain anonymous during the study and that no personally identifiable information would be released without their approval. Anonymity was vital not just for the study's ethical underpinning, but it also fostered honesty in participant responses, adding to the findings' overall respectability. The researcher also made efforts to protect the privacy of the volunteers. This included ensuring that interviewees and members of the focus group discussion had control over how much information they supplied and that they understood how the data would be used. The use of codes and pseudonyms, as well as the storage of the data collected, all contributed to the advancement of participant privacy concerns. In this study, participants were given numbers. Participant 1-6 for management and 1-10 for focus group discussion. Mining companies on reporting were referred to as Mine 1 and Mine 2 for the confidentiality of the company and individuals who participated. To protect the participants' privacy, the interviews were conducted in a secure setting. Before beginning the interviews and focus group discussion, the researcher asked the participants for permission to record them, and all accepted. The purpose of the study and how the information acquired from the interviews will be used were clearly explained to participants.

5.14 Ethical considerations

This work was conducted in compliance with the ethical research policies of DUT. DUT provided ethical approval prior to the commencement of the study. Research was carried out in compliance with Zimbabwean data and privacy laws. Cox (2019) highlighted four primary factors of research ethics: potential harm to participants, lack of informed permission, breach of privacy, and deception. These factors are discussed in this section. The researcher realised that the greatest risk to participants would be if the people, academic institutions, or organisations participating in the study were held accountable for what they said during the interviews. Damage to the participants' professional careers or the reputations of the organisations they represent could be among the consequences. Safety measures were put in place to protect research participants and their employers as a result of this risk. Despite the fact that the researcher was aware of

the participants' identities, she was determined to keep them hidden. All data recordings and transcriptions were coded to conceal the sources because it was expected that participants would expose sensitive information. The list of identities and codes were kept on devices separate from the data storage devices. Data recordings and transcripts were also password-protected and kept in a secure digital format. The study's report removed names and details that could lead to the participants' or their organisations' identity, and pseudonyms were used instead.

The researcher took precautions to ensure that the respondents were not directly or indirectly identified in the study. Participants were given any information that could have impacted their decision to participate in the study, and they were informed that participation was completely voluntary and that they could withdraw at any time. Harm can occur when there is a lack of informed consent. This can occur when consent is not given or when consent is given without a full understanding of what is being consented to. To reduce this risk, the researcher offered as much information as possible to the research participants during their oral and written explanations, allowing them to make informed decisions about their participation. This ensured that, if consent was given, it was given voluntarily and that participants were well-informed about the study.

In addition to ethical concerns for participants, there may be ethical problems about the researcher's honesty, candour, and objectivity in conducting the study (de Aguiar et al. 2022). Theory, epistemology, and ontology, as well as the enquirer's ideals and personal views, can all have an impact on research ethics (Sovacol et al. 2018). These points of view can introduce bias and have an impact on the research process, from methodology to data analysis and interpretation, and they can appear at any time during the study. According to a growing consensus, researchers should try to control their prejudice and then be self-reflective, acknowledging the role that their beliefs may have played in their research (Bryman 2016). This type of self-reflection, which is characterised by openness and disclosure as well as commitment to a set of ethical norms, can help the research's overall ethical standing (Mohajan 2020). The researcher was cognizant of the importance of maintaining neutrality and independence throughout the investigation and instilled a sense of security in order to foster honesty and transparency in their

responses. The researcher avoided asking the subjects leading questions or sharing personal opinions with them.

5.15 Conclusion

This chapter provided an overview of the methodology used in conducting this research. The chapter further detailed the research problem, central objective, specific objectives, research design, case study methodology, qualitative and quantitative data analysis. The study used questionnaire to collect quantitative data from both the employees and the community members. For in-depth data from the mining company, the study used semi structured interviews for the CSR management and focus group discussion for benefiting community members. The quantitative data derived were analysed using SPSS version 24.0 computer software, while the qualitative data was analysed by the researcher using thematic analysis. Ethical considerations for this study were also discussed in this section. The analysis and discussion of results is undertaken in Chapter Six.

Chapter Six

Analysis of results and discussion of findings

6.1 Introduction

The methodology employed in this study was discussed in the preceding chapter. The chapter presented a comprehensive examination of the qualitative and quantitative research methodologies employed in this investigation. The chosen methodology was deemed suitable for this investigation as it encompassed the gathering, interpretation, and examination of both qualitative and quantitative data. The current chapter provides an examination and elucidation of the gathered data, along with a discourse on the outcomes of the investigation. Pseudonyms were employed to ensure confidentiality of both the mining companies and the participants. The data analysis process involved the categorisation of responses obtained from both the questionnaire and interviews into distinct themes. This approach was adopted to facilitate a more precise interpretation and subsequent discussion of the research findings. The study's results are presented in conjunction with relevant literature, wherever feasible. The findings of the study are categorised under the following themes:

6.1.1 Research Themes

Data collected from the interviews and focus group discussions was coded by the research. This is a process whereby the research identified and grouped related themes together to identify the pattern and then developed themes. The researcher recorded all the sessions which were later transcribed to identify patterns of responses. These patterns were put into categories, which is how the themes were obtained.

Community Members

Theme 1: Overview of CSR activities

Theme 2: Challenges faced when implementing CSR

Theme 3: Monitoring and evaluation of CSR programmes

CSR Management

Theme 1: Overview of CSR activities

Theme 2: Challenges faced when implementing CSR projects

Theme 3: CSR Policy/Strategic objective

Theme 4: Monitoring and evaluation of CSR Programme

Mine Employees

Theme 1: Overview of CSR activities

Theme 2: Challenges faced when implementing CSR projects

Theme 3 CSR policy/Strategic objective

Theme 4: Monitoring and evaluation of CSR programmes

6.2 The sample

In total, 140 questionnaires were despatched to be administered to the community members benefiting from the CSR activities and the employees involved with CSR projects. A research assistant was engaged to administer the questionnaires to the companies and the communities. The research assistant was a Public Relations graduate from the university of Zimbabwe with experience in conducting research. The assistant was chosen because of his knowledge and understanding of CSR. The assistant did not have any background knowledge of the participants. This helped eliminate bias. One hundred and sixteen questionnaires were returned, which gave 82.5 % response rate.

6.4 Reliability statistics

The two most important aspects of precision are reliability and validity. Reliability is computed by taking several measurements on the same subjects and is concerned with testing the consistency of the measures (Mohajan 2020). A reliability coefficient of 0.70 or higher is considered “acceptable” (Cox 2019).

6.4.1. Cronbach's alpha test

Table 6.1: Cronbach's alpha score for all the items that constituted the questionnaire

<i>Sections</i>	Employees		Community members	
	<i>Number of items</i>	Cronbach's Alpha	<i>Number of items</i>	Cronbach's Alpha
Motivation	7	0.743	7	0.708
Benefits	4	0.733	3	0.732

Cronbach's alpha coefficient measures the internal consistency or reliability of questionnaire items. It is used to determine whether a collection of items consistently measure the same characteristic (Creswell, Bachrach, Wright, Pinto & Ansell 2016). In this study, a questionnaire was used to gather data from both the employees and the community members. These two groups of people have different perceptions and understanding of CSR. In addition, some questions are the same, but they were asked differently in order to accommodate community members who were not familiar with the specialised terms of CSR. The idea was to assess the views of both the company and the community on their understanding of CSR.

6.4.2 Factor analysis and validation of the research constructs

Factor analysis was computed to explore and validate the views of the community members and CSR employees on the factors motivating CSR implementation as well as the benefits of CSR implementation. Factor analysis was performed using exploratory factor analysis (EFA) and confirmatory factor analysis (CFA). Watkins (2018) reports that factor analysis help identify common factors that explain the order and structure among measured constructs. The principal component analysis (PCA) making using of Varimax rotation was set as the extraction parameters. For EFA to be carried, it is suggested that the Kaiser-Meyer value should exceed the value of 0.5, and Bartlett's Test of Sphericity must be statistically significant (Shrestha 2021). The data in Table 6.2. show that the Kaiser-Meyer value for all the two constructs (motivation and benefit) measured for both the CSR employees and community members were

above the recommended values while Bartlett's Test of Sphericity was statistically significant. This provides evidence for the suitability of the correlation matrix.

6.4.3 KMO and Bartlett's Test

Table 6.2: KMO and Bartlett's Test for the all the items in the questionnaire

Group	Construct	Kaiser-Meyer-Olkin Measure of Sampling Adequacy.	Bartlett's Test of Sphericity
Mine	Motivation	0.688	<0.001
	Benefit	0.642	<0.001
Community	Motivation	0.678	<0.001
	Benefit	0.669	<0.001

Using the eigenvalues greater than one, the PCA for the extracted items revealed two factors explaining 65.8% of the total variance. This implies that the CSR employees considered the factors motivating organisation CSR implementation into two separate factors. The emerged factors have been colour coded for ease of identification. Factor 1 highlighted in 'yellow' had four items (M1, M3, M4 and M7) categorised as external motivation while factor 2 highlighted in 'red' had two items (M5 and M6) categorised as internal motivation. All items loaded strongly into their respective factors.

6.4.4 Factor coefficient

Factor coefficient for CSR employees' views on factors motivating CSR implementation

		Component	
		1	2
Environmental Protection	M1	.696	
Promote corporate image and reputation	M2		
Shareholder satisfaction	M3	.806	
Advancement of community	M4	.977	

Employee satisfaction	M5		.737
Donation	M6		.809
Provision of community health services	M7	.975	
	Extraction Method: Principal Component Analysis. Rotation Method: Varimax with Kaiser Normalization.		
	a. Rotation converged in 3 iterations.		

Table 6.3: Validating the perception of community members on factors motivating CSR implementation

Using the eigenvalues greater than one, the PCA for the extracted items revealed two factors explaining 53.72% of the total variance. This implies that the community members considered the given factors as motivating CSR implementation in the organisation. The emerged factors have been colour coded for ease of identification. Factor 1 highlighted in ‘yellow’ had two items (M5-M7) categorised under new factor ‘internal motivation’. Factor 2 highlighted in ‘red’ had four items (M1-M4) categorised under new factor ‘external motivation’. All items loaded strongly into their respective factors.

Factor coefficient for community members views on factors motivating CSR implementation

		Component	
		1	2
Ethical motivation	M1		.541
Environmental Protection	M2		.823
Promote corporate image and reputation	M3		.564
Corporate income and profit	M4		.501
Philanthropy donation	M5	.886	
Employee satisfaction	M6	.631	
Avoidance of punitive measures	M7	.743	
	Extraction Method: Principal Component Analysis.		

	Rotation Method: Varimax with Kaiser Normalization.
	a. Rotation converged in 3 iterations.

Table 6.4 Validating the perception of CSR employees on the benefits of CSR implementation

Using the eigenvalues greater than one, the PCA for the extracted items revealed one single factor explaining 61.5% of the total variance. The factor coefficient measured suggests only three items loading strongly in the same construct. The first statement ‘the organisation CSR has improved livelihoods in our community’ has value below the 0.5 recommended value. It thus implies that the employees did not agree to the statement as benefits of CSR implementation in the community.

Factor coefficient for CSR employees’ views on the benefits of CSR implementation

Component Matrix^a	
	Component
	1
The organisation's CSR has improved livelihoods in our community	
The projects are relevant to social and economic needs	.940
The projects have helped increase family incomes)	.855
The projects have generated meaningful employment	.859
Extraction Method: Principal Component Analysis.	
a. 1 components extracted.	

Table 6.5 Validating the perception of community members on the benefits of CSR implementation

Using the eigenvalues greater than one, the PCA for the extracted items revealed one single factor explaining 65.5% of the total variance. The factor coefficient measured suggests all items loading strongly in the same construct. This implies that the workers considered all the statements as benefits of CSR implementation in the community.

Table 6.6: Factor coefficient for community members views on the benefits of CSR implementation

Component Matrix ^a	
	Component
	1
The organisation's CSR has improved livelihoods in our community	.755
The projects increased family incomes	.830
The projects have generated meaningful employment)	.840
Extraction Method: Principal Component Analysis.	
a. 1 components extracted.	

6.4.5 Mann Whitney Test

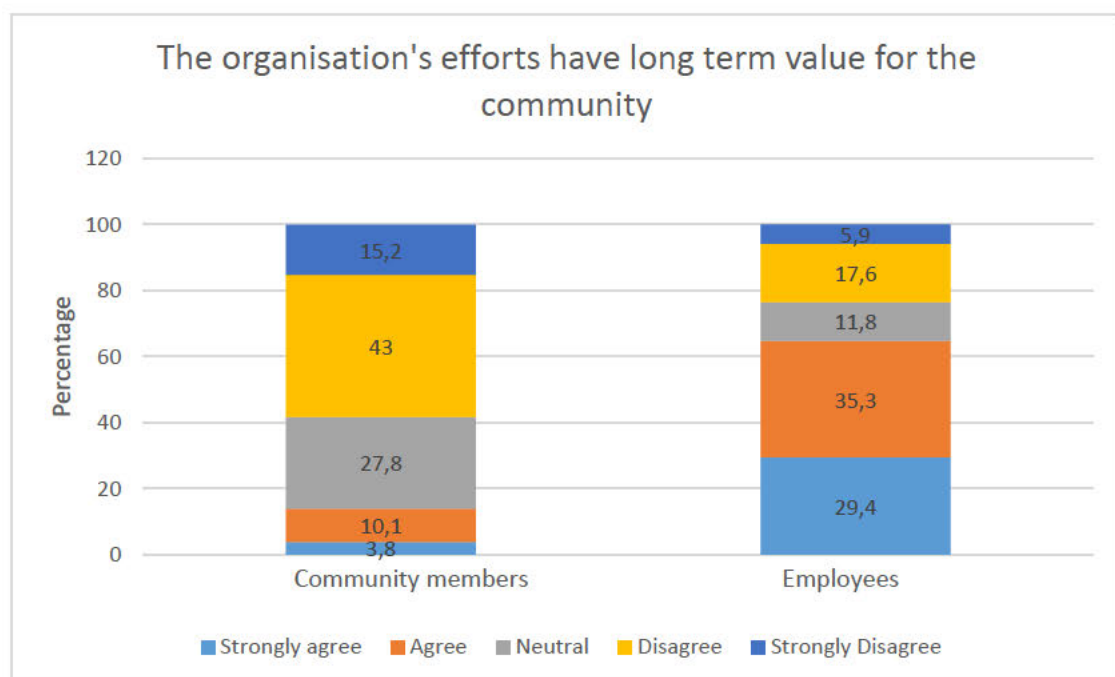


Figure 6.1: Long-term value of CSR in the community

Mann –Whitney test was further used to compare if views of the CSR employees on the long-term value of the organisation's efforts in the community were different from those of the community members. The results show that there was a statistically significant

difference in both views ($p < 0.001$). The mean value measured for the employees tends towards agreement ($M = 2.35 \pm 1.272$) while the mean value measured for the community members tends towards disagreement ($M = 3.56 \pm 0.997$). This meant that the employees' and the community's views are different on the long-term value of the organisation's efforts in the community. Despite the above view shared by the workers, some of the community members interviewed voiced that the CSR projects were unreliable. Despite the above view shared by the employees, some of the community members interviewed voiced that the CSR projects were unreliable.

6.5 Interpretation and discussion of quantitative and qualitative data

The present section of the chapter provides an exposition of the outcomes and deliberates on the findings derived from the data gathered via questionnaires and interviews. The primary instrument employed for data collection was the questionnaire, which was disseminated to both the employees of CSR and the members of the community who were beneficiaries of CSR initiatives. The statistical software package SPSS version 24.0 was utilised to analyse the data obtained from the participants' responses. The findings are exhibited through graphical representations, cross tabulations, and other visual aids to depict the quantitative data that was gathered.

The study also collected data through semi-structured interviews with six participants from the mining companies and from focus group discussions with eight respondents selected from the benefiting communities. The responses from the interviews were analysed and a narrative analysis of the findings are presented in Table 6.7. Data from both interview and focus group discussions was coded and presented as themes. These themes are discussed in the section below.

Table 6.7: Age distribution of the respondents

<i>Age group</i>	Employees %	Community members
18-29	11.8	16.5
30-39	0	3.5
40-49	35.3	12.9
50-59	47.1	24.7
60+	5.9	42.4
% Total	100	100

Table 6.7 reveals the following:

- Majority (47.15%) of the respondents from employees were within 50-59 years
- Majority (42.4%) of the respondents from community members were 60 years and above.

6.5.1 Section A: Community

6.5.1.1 Theme 1: Organisation's involvement in CSR

This section probed whether the organisation engages in CSR in the wider community. The community members were asked: Do you agree that organisations in your community engages in CSR activity? Figure 6.1 reveals the respondents' level of agreement on CSR engagement. 37% strongly agreed that the organisation engages in CSR programmes, 46,9% agreed and 11.1% remained neutral, while 4.9% disagreed with the statement.

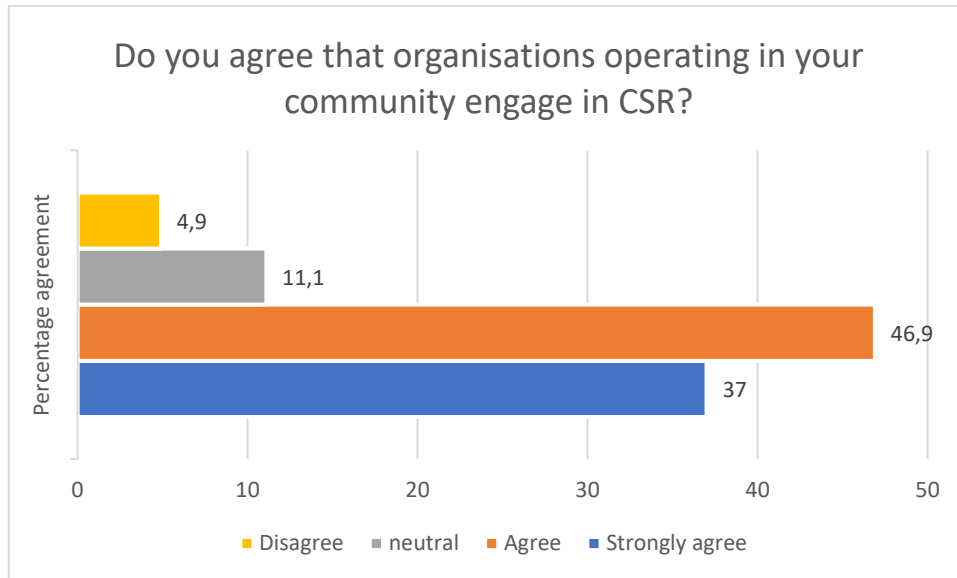


Figure 6.2: Respondents' view on community engagement by organisation

The results reveal that there is CSR engagement in the community and is consistent with literature that indicates that the movement towards CSR has an impact in several domains to both the organisation and the community (Hossain and Khanal 2020). That being said, many companies have taken steps to improve the environmental sustainability of their operations. These results are also consistent with the research findings by Susanto (2022) who found out that active corporations are making efforts to maximise sustainable economic impacts through local job creation, provision of training, local procurement, and involvement in community partnerships to create local infrastructure and build the capacity of local institutions and contribute to poverty alleviation, focusing on the potential of businesses to promote growth or provide jobs. Although CSR programmes have generally been most common among large corporations, small businesses also participate in CSR through smaller-scale programmes, such as donating to local charities and sponsoring local events. These CSR contributions by both the large and small organisations play an important role in community development and ultimately the improvement of standards of living for local community members. This was confirmed in the focus group discussion when respondents were asked to give an overview of CSR projects in the community, community members from Mine 1 indicated that *“organisations is involved in different project including scholarships, rehabilitation of clinics, support for albinos, schools rehabilitation, however, some of these projects does not get to be finished.”*

6.5.1.1.1 Factors motivating CSR involvement

Figure 6.2 details the community members' position on the factors motivating organisation involvement in CSR practices. The results reveal that there was significant agreement by community members for ethical motivation (57.7% agreement), promoting corporate image (62.7 agreement), an increase in corporate income and profit (53.2% agreement), philanthropy (44.9% agreement), and avoidance of penalties by the government or other responsible bodies (46.9% agreement). On the contrary, it appears that the community members tend to be neutral regarding the statements about environmental protection (37.3% agreement). The mean value measured for these two statements lies in the "neutral" range of the five-point scale. On average, the statement with the strongest agreement is the fifth statement (M5) which was stated as "To promote corporate image and reputation," with 51.3% Agree and 28.2% strongly agree. Respondents revealed that promoting corporate image and reputation was the core motivation for CSR involvement in the community.

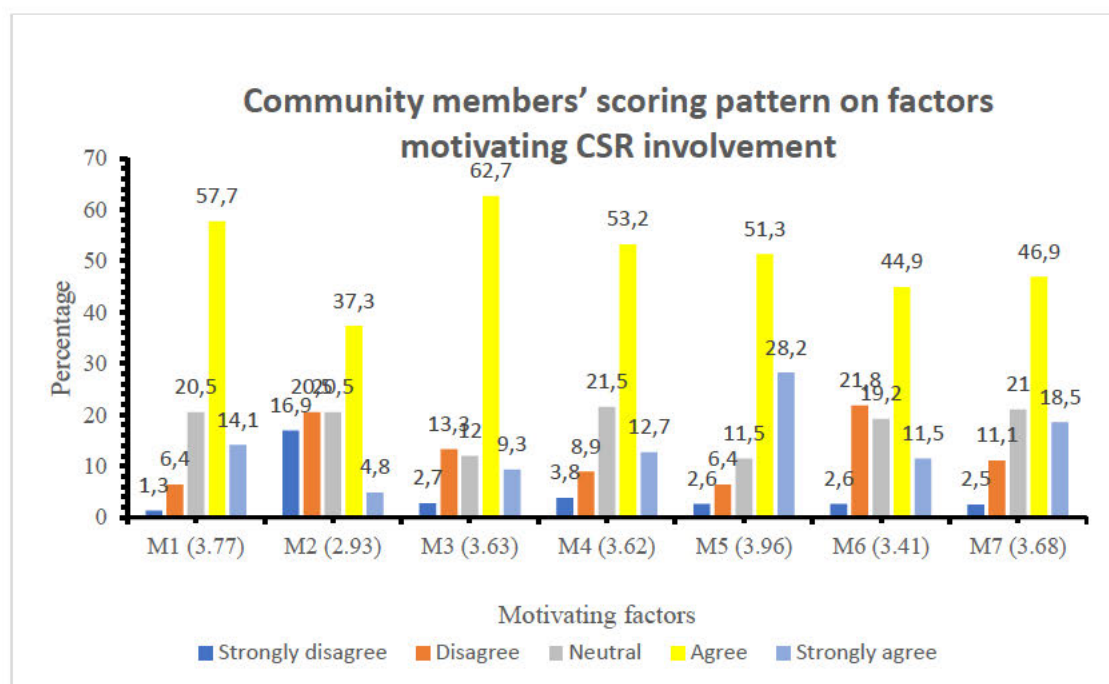


Figure 6.3: Community members' scoring pattern on factors motivating CSR involvement

Community members agree that the factors above contribute to the development of CSR programmes. This has been supported by literature which indicates that in developing countries, businesses do not only design CSR programmes, but there are also several factors that motivates for the development of these projects for example employee satisfaction, advancement of communities and shareholder satisfaction (Que, Awuah-Offei, Demirel, Wang, Demirel, and Chen, 2019). In addition, Brindha and Devika (2019) identified ethical motivation, environmental protection, corporate image and reputation, corporate profit and income, philanthropy and avoidance of penalty by responsible bodies as some of the motivating factors that motivate CSR implementation amongst multi-national companies in the Sub-Saharan African region. The findings are also consistent with the view of Ihlen (2018) who contend that CSR activities in South Africa are motivated by factors such as: (i) public relations management; (ii) corporate reputation focus; (iii) charitable giving; (iv) grant-making; (v) social investment; and (vi) social change. The focus of CSR in mining companies is corporate image and reputation. This implies that organisations are increasingly seeing the need to use available resources to engage in community development programmes that aim to improve the standards of living for local community members. It is important that organisations strike a balance between the organisation and its internal and external stakeholders.

6.5.1.1.2 Transparency in CSR implementation

When asked to indicate if community members agreed to the statement about transparency by the organisation, 37.3% strongly agreed, 42.2% disagreed, while 15.7% remained neutral that CSR is done in a transparent manner by the organisation. With 42.2% disagreement, it is evident that the community members did not agree that CSR is done in a transparent manner by the organisation.

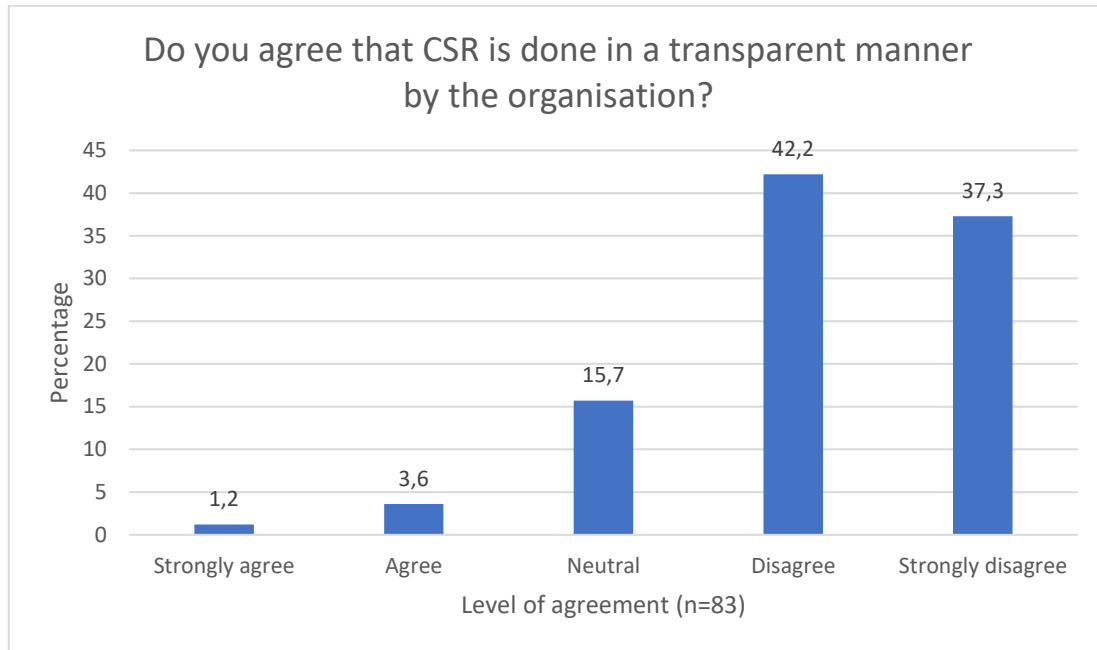


Figure 6.4: Community members' views on the transparency in the organisation's CSR practice

These results are inconsistent with the literature which stresses the importance of transparency in winning the trust and loyalty of CSR project beneficiaries (Fatima and Elbana 2022). In simple terms, community members and other stakeholders are simply expecting more and better information from companies with regard to their CSR and corporate giving programmes. Lack of transparency is one of the reasons why CSR projects fail because the company and the community members may not be sharing the same vision. As highlighted in the focus group discussion community members also listed the number of projects that the organisation is involved in, including improving education, improving health facilities, and improving infrastructure.

6.5.1.1.3 Familiarisation with CSR initiatives and actions

Given that most of the community members believed that CSR is not done in a transparent manner by the organisation, it is worth knowing if they are familiar with CSR initiatives and actions to strengthen their position on it. Accordingly, the community members were asked the following question “Are you familiar with the initiatives and actions related to CSR that have been introduced in your community?” Figure 6.5 shows that most (85.9%) of the respondents indicated being familiar with initiatives and actions related to CSR that have been introduced to their community.

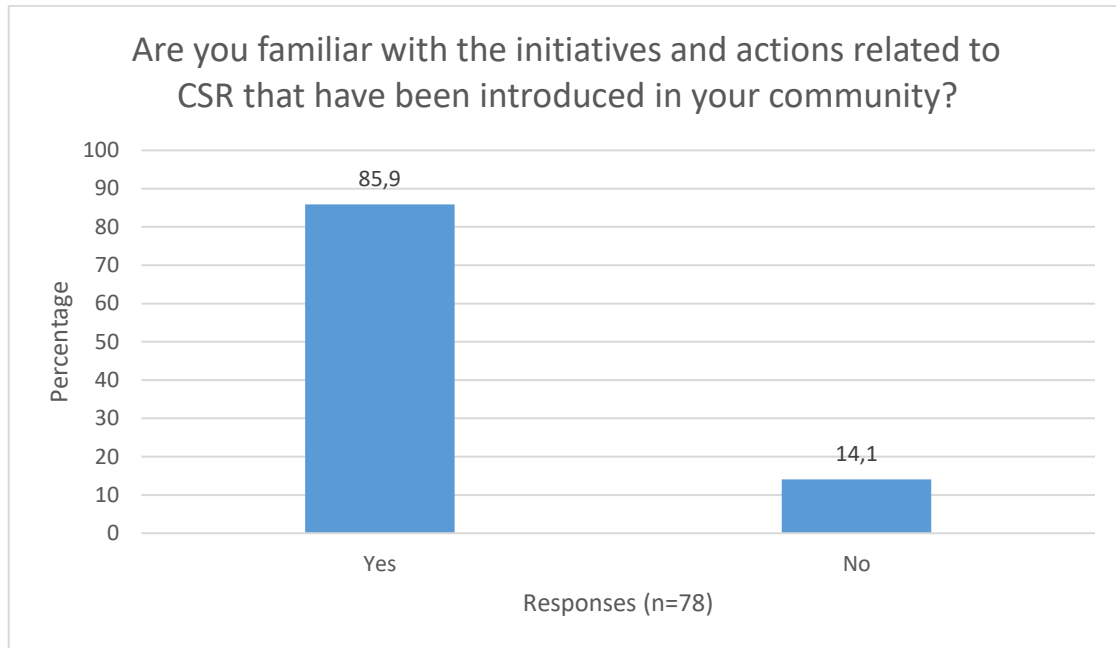


Figure 6.5: Community members familiarised with initiatives and actions of CSR

These results are consistent with literature which indicated that community engagement is one of the key pillars of CSR, alongside the concern with the workplace, the marketplace and the environment (Huq and Carling 2021). Community involvement can take many forms for example some businesses choose to support a local charity with financial contributions sponsoring a local event or organising clean-up events, volunteering in local premises or community projects. Improving education, clinic facilities, classrooms and supporting local farming are some of the projects mentioned by participants. When the community members are familiar with CSR projects by the organisation, they make an effort to participate in these programmes leading to successful and more impactful CSR projects.

6.5.1.1.4 Long-term value of CSR in the community

In order to assess whether CSR has long-term value, community members were asked the following question “Would you agree that the organisation’s efforts have long-term value for the community?” The data in Figure 6.6 reveals that 43% disagree that CSR programmes have long-term value in the community, while 15.2% strongly disagree, and 27.8% were neutral.

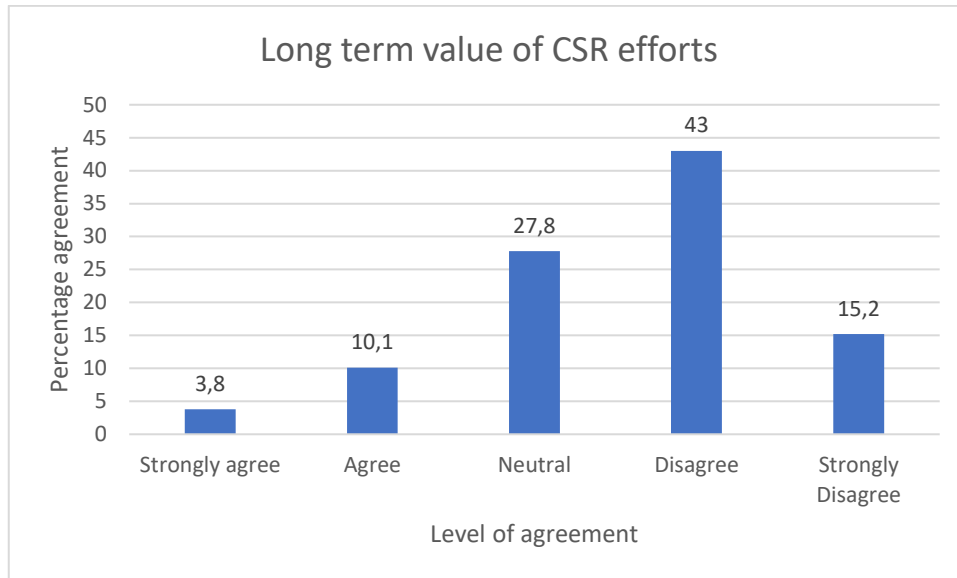


Figure 6.6: Organisation's CSR projects have long term value in the community

The results revealed that the community disagreed (43%) that CSR projects have term value to the community. These results are inconsistent with literature which emphasise that CSR projects should not only impact the society and create a healthier community on short term basis, but it can also be part of a business strategy for success to build a crucial ethical stand, in which members are accountable for fulfilling their public duty in the long run (Dragu 2018). Organisation's CSR efforts should positively impact the whole society to create the right balance between economic growth and the well-being of society and the environment. When planning and implementing CSR projects, organisations should design community development projects that cater for current communities and most importantly the generations to come.

Typically, short-term projects sustain the communities for a period of up to 12 months. These are steppingstones that will sustain the communities while they wait for bigger projects with long term value. Long-term impact entails programmes that take a prolonged duration to implement and necessitate multiple stages (Amer, Jung & Golparvar-Fard 2021). Typically, such goals require at least a year or two to accomplish. Their objective is to achieve a lasting resolution of issues and attain and sustain success over an extended duration.

6.5.1.1.5 Perceived organisation relationship with the community

In order to gauge the extent of the relationship the organisation has with the community; the following question was asked: “Does the community have a good relationship with the company?” The descriptive data in Figure 6.7 revealed that slightly more than half (51.3%) of the community members who responded indicated that the community have a good relationship with the company. However, 31.3% appeared neutral while approximately 17.5% others disagreed that the company has a relationship with the community (Disagree =15%: strongly disagree =2.5%). Taking into consideration those who appeared neutral and in disagreement, it can be said that nearly half of the community members did not think the company has a relationship with the community.

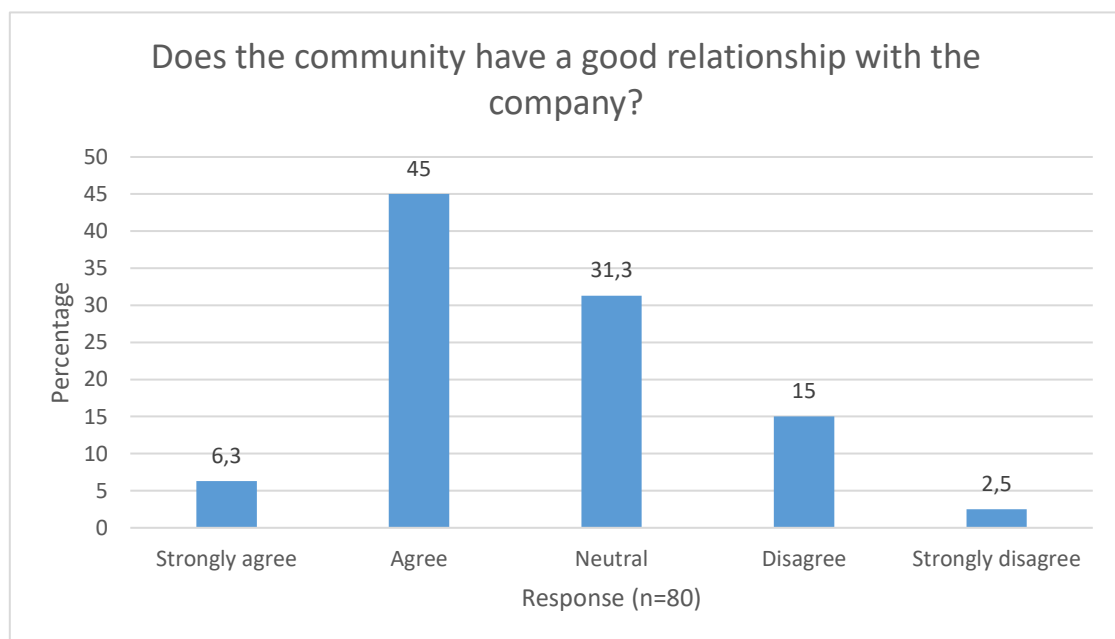


Figure 6.7: Showing the number of agreements in the relationship between the community and organisation

Despite the disagreement that the CSR projects have a long-term value, Figure 6.7 reveals that community members agree (45%) that there is good relationship between the organisation and the community. These results are consistent with literature which indicates that the underlying principle of community relations is that when a company

accepts its role and responsibility as a good corporate citizen and takes an active interest in the well-being of its community, then in return, it gains a number of long-term benefits in terms of community support, loyalty, and goodwill (Brin and Nehme 2019). Both the community and companies should make an effort to maintain a relationship to encourage mutual participation when it comes to community development projects for the community.

6.5.1.1.6 Perceived lack of education by the community on CSR

The data in Figure 6.8 reveals that there was disagreement by most (64.6%) of the community members who responded that people in the community were not educated about CSR. This implies that a perceived lack of education by the community on CSR practices may hamper the organisation's CSR drive.

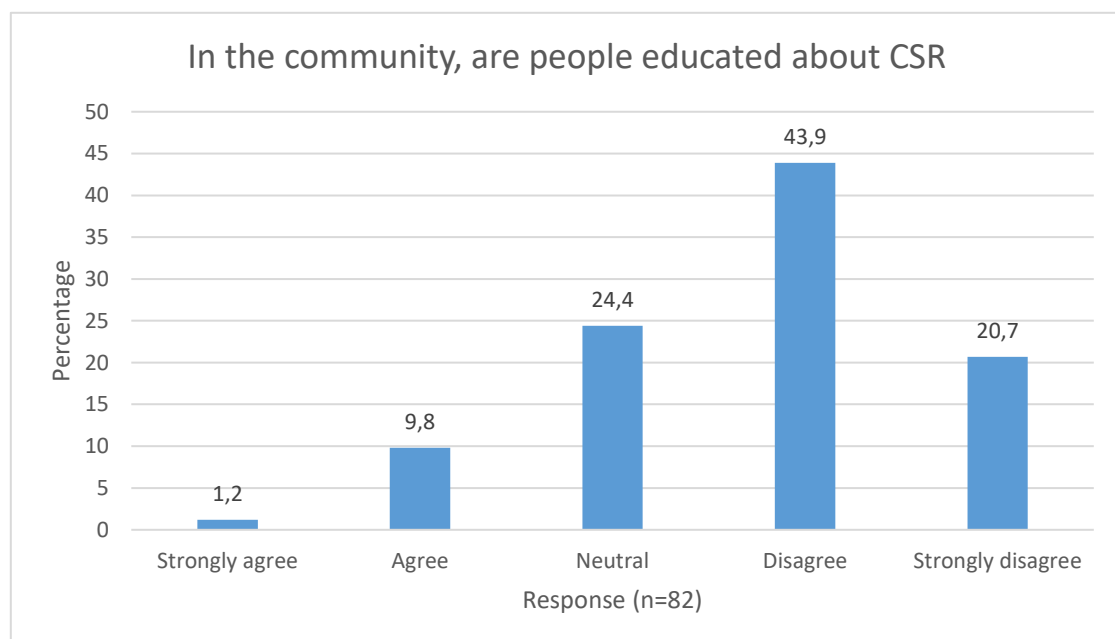


Figure 6.7: Showing the level of agreement that community members are educated about CSR

Despite the finding that indicated that community members are aware of CSR projects, these results reveal that community members disagree (43.9%) that people are educated about CSR and are consistent with literature which indicates that most community members are not well informed about the CSR projects taking place in their

communities and organisations are reluctant to invest in educating stakeholders about CSR (Barney and Harrison 2020). This explains why the community members are also reluctant to participate in CSR programmes, they do not understand its importance and relevance.

6.5.1.1.7 Impact of CSR on sustainable community development

This section explores the impact of CSR implementation in the community. The following questions were asked, “Do you agree that CSR has an impact on sustainable community development?” The data in Figure 6.9 reveals that the number of community members (69.1%) who agreed that CSR influences sustainable community development was higher than those who appeared (21%) neutral and or disagreed (9.9%). It is therefore reasonable to say that CSR has an impact on sustainable community development given the percentage that agreed.

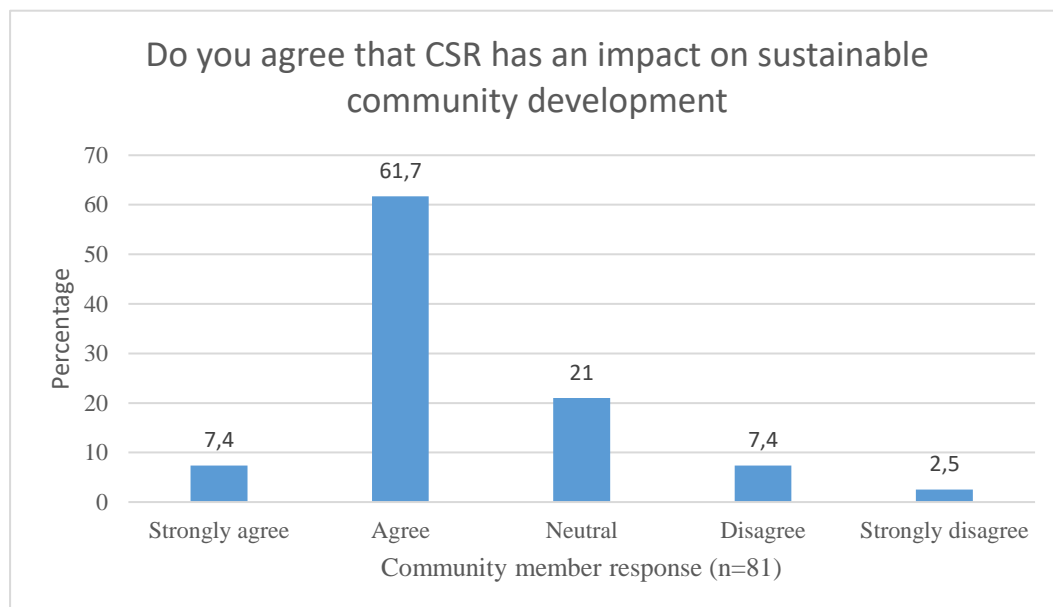


Figure 6.9: The number of community members who agreed on the impact of CSR on sustainable development

The results are consistent with researchers who indicated that sustainable development always encourages organisations and communities to conserve and enhance resources,

by gradually changing the way technology is used and developed (Song and Dong 2022).

6.5.1.1.8 Community members' perception of CSR benefits

The data in Table 6.7 reveals the listed benefits of CSR implementation. On average, most of the community members who responded agreed that CSR projects increased family income (M=2.88) and have generated meaningful employment (M=2.74). There was, however, disagreement by most (3.36) of the respondents that the organisation's CSR has improved livelihoods in the community.

Table 6.8: Showing the community members' agreement on the benefits of CSR implementation

Which statement indicate your level of agreement regarding CSR projects in your organisation:		Number	Strongly agree	Agree	Neutral	Disagree	Strongly disagree	Mean (SD)	T	Df	p-value
The organisation's CSR has improved livelihoods in our community	Q1	83	3 (3.6)	17 (20.5)	18 (21.7)	37 (44.6)	8 (9.6)	3.36 (1.031)	29.704	82	.000
The projects increased family incomes	Q2	81	4 (4.9)	27 (33.3)	27 (33.3)	21 (25.9)	2 (2.5)	2.88 (0.941)	27.526	80	.000
The projects have generated meaningful employment	Q3	84	4 (4.8)	37 (44)	21 (25)	21 (25)	1 (1.2)	2.74 (0.933)	26.899	83	.000

The results are consistent with the research by Buddu and Scheepers (2022) who found that CSR initiatives strive to have a positive impact on the world through direct benefits to society, nature and the community in which a business operates. Among many benefits, improved standards of living, increased income and creation of employment are noted in this study. Knowing that a company is promoting good causes, employee

satisfaction may increase, and retention of staff may be strengthened, and the members of society may be more likely to choose to transact with companies that are attempting to make a more conscious positive impact beyond the scope of its business (Kloppers and Kloppers 2018).

According to the findings from Zimplats Integrated Annual report (2022), the drilling of boreholes helps the community to improve sanitation which improved the livelihoods of local people whilst the employment of local youths from the community and intrapreneurship projects are aimed at increasing family income and created meaningful employment.

6.5.1.2 Theme 2: Challenges faced when implementing CSR.

Community members indicated that they were not involved in evaluation of CSR programmes and as a result were not aware of the potential challenges. The results are inconsistent with literature which emphasises the value of community involvement in bringing positive and measurable change to both the communities in which companies operate and to the business (Cox 2018).

6.5.1.3 Theme 3: Monitoring and evaluation of CSR projects

Given the perceived benefits of CSR in the community, it was essential to determine if the organisation has guidelines in place to monitor the CSR progress. Questions were posed to the community in this regard, e.g. “Does your company monitor progress of CSR projects?” Figure 6.10 depicts the responses of the respondents. Most of the respondents from both the community members (84%) answered ‘no’ and that the organisation did not include them in the monitoring of projects. The few who answered ‘yes’ from the community members suggest that some of them may have been privileged to be part the organisation monitoring activities.

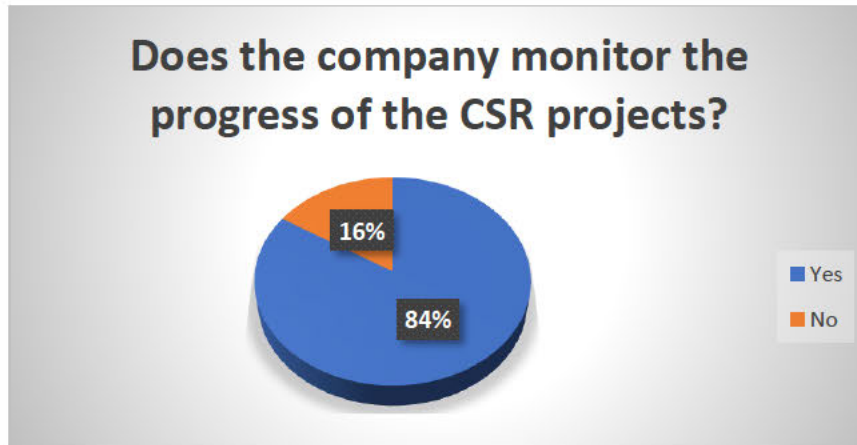


Figure 6.10: Views on the guidelines by the organisation to monitor CSR progress

These results are inconsistent with literature which emphasise the importance of monitoring and evaluation of CSR programmes to provide the information needed to assess and guide the project strategy, ensure effective operations, meet internal and external reporting requirements, and inform future programming (Onyango 2018). Thus, monitoring and evaluation should be an integral part of project design as well as project implementation and completion. In this case, the mining companies monitor by checking progress of CSR against the set objectives. Among the few who indicated awareness of monitoring the progress of CSR projects, they were further asked to indicate how often the monitoring takes place. The data in Figure 6.11 revealed some variations in the views of the community members.

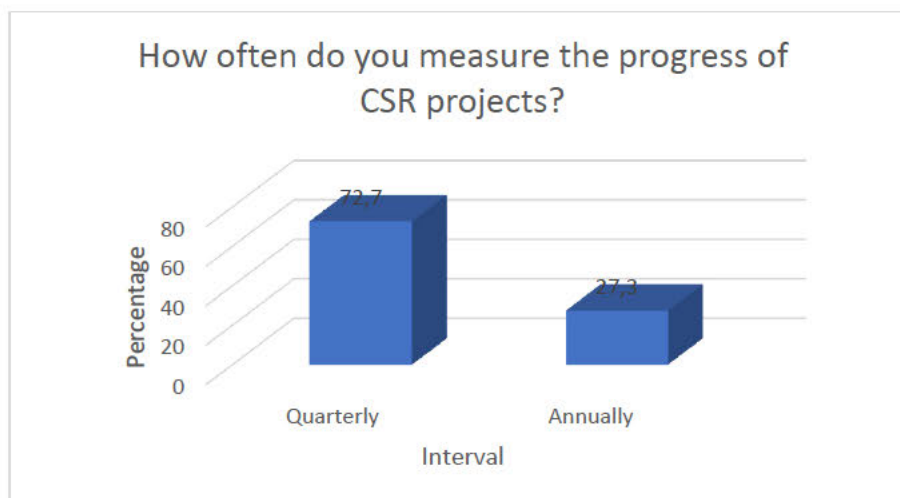


Figure 6.11: Frequency organisation monitors the progress of CSR projects

These results are inconsistent with the literature which views monitoring as a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an on-going development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds (Kala 2020). This view shows the importance of having monitoring and evaluation guidelines for the success of CSR projects in these mining sector. Assessing the performance of a business across various domains can aid in identifying its strengths and weaknesses, thereby facilitating the identification of areas that can be improved (Makwara et al. 2019). This can aid in the proactive and efficient management of organisation's performance. To obtain accurate information, it is imperative to measure the appropriate areas of your enterprise (Mensah et al. 2017). These are commonly referred to as key performance indicators in academic literature. Once the key performance indicators have been identified and the optimal measurement methodology has been determined, they can be utilised to establish performance objectives (Martínez & Nishiyama 2019). These guidelines will provide all members of the organisation with a distinct understanding of their individual and collective objectives. To facilitate management, it is recommended to decompose primary strategic objectives into smaller, more manageable targets (Dziro 2014). Through this approach, the attainment of smaller objectives assumes a routine character, whereby their accomplishment contributes progressively towards the realisation of the ultimate aim.

6.5.1.4 Focus Group Discussion

6.5.1.4.1 Overview of CSR projects and the social problems addressed

In many African countries including Zimbabwe, the Government is unable to deliver the social and physical infrastructure required to effect the desired transformation. This has necessitated the engagement of the private sector. As such, it was vital to understand the overview of CSR and understand the social problems that have been addressed by the organisation's CSR activities in the community. From the focus group discussions,

it was uncovered that organisations engaged in CSR activities to address numerous social problems which are discussed below.

6.5.1.4.2 Chronic and communicable disease intervention

In the focus group discussion, participants revealed that the organisation's CSR activities have helped address communicable diseases like HIV and endemic diseases such as malaria in the community. It was also revealed by participants that the mining companies operating in the community with the help of the local clinic educate them about HIV/AIDS and Malaria. The companies educate the community on preventative methods and the measures to take when one contract the virus. One of the challenges was not being able to access their medication in the local clinic most of the time. They recommended that the company prioritise health facilities more than other projects. Community members indicated that:

“The organisation has initiated a programme called striving for HIV free generation. This programme targeted youths to educate about how to prevent HIV and how-to manage it in the event that you have contracted it. The company also work together with the clinic to encourage and teach about child immunisation (FGD1 Session 2 Participant 1).

“The company has initiated programmes where health officials come to the community to teach us about HIV/AIDS and malaria. In this regard, we are also provided with free condoms to prevent HIV/AIDS and treated mosquito nets to prevent malaria” (FGD 2 Session 2 Participant 5).

According to a study by Aidsmap (2022) the opening of industrial mines in sub-Saharan Africa is associated with a twofold increase in the prevalence of HIV among the local population. Increased HIV prevalence in mining areas is not solely because of the influx of migrants but also local transmission facilitated by widespread risky sexual behaviours. Among other interventions, mining companies should offer holistic HIV education programmes including education about the disease, HIV testing services, treatment support, adherence counselling, lifestyle modification, viral suppression

monitoring, and psychological and nutritional assessments (Osei-Yeboah, Adedze, Bannor, Takyibea Opoku & Akweongo 2019).

6.5.2.4.3 Quality water supply

Participants in focus group discussions revealed that the community lacks clean water. Part of the CSR activities in the community was to provide quality water for the community. There was general agreement that the lack of clean water poses serious risks to survival and well-being. This has been revealed by the community member in the focus group discussion who indicated:

“The company has donated bleach that we have put in the water from the well and from the rivers. The company has also started the project of drilling community boreholes in the community. The company has been hosting workshops to teach the community about the importance of preserving the available water sources and the diseases that may be caused by drinking dirty water” (FGD 1 Session 1 Participant 2).

“Before company 2 started drilling boreholes for us, we have been using water from the nearby river and then walk more than 3km to get drinking water and in the rain season the water from the wells is very dirty but we had no option than to drink it which caused a number of diseases especially in the rain season” (FGD 2 Session 2 Participant 6).

These results are consistent with literature which indicated that lack of water has been associated with infectious disease and mortality, including schistosomiasis, cholera, typhoid, and other intestinal infectious ailments (Hove, D'Ambruso and Mabetha 2019). Community members also reported of a variety of impurities in drinking water, including plastics, pollution, and faeces from both humans and animals. When there is no water, individuals are reportedly obliged to make concessions, make sacrifices, and recycle water, which results in lower levels of sanitation and cleanliness. People were acutely aware of the health impacts of lack of a reliable clean water supply. Strengthening infrastructure and maintenance and advancing technologies to bring an end to water distribution via mobile trucks were identified as critical. Participants also

stressed that they need to be involved in all stages of planning, implementation and management of all CSR programmes including the borehole drilling project. Community awareness was identified as a complementary route to educate the community on the value of water, conservation and best practices such as waste disposal to avoid pollution and land degradation as well as the need to develop collective responsibility to existing borehole infrastructure. The lack of connection between communities and authorities was confirmed during this process, with no clear line of communication between the organisation and the community. The importance of closer working links between the organisation and the community was therefore recommended as necessary before engaging in these CSR projects. This will encourage individual participation in these sustainable community development projects. In addition, the community members emphasised the need to improve knowledge of who to approach for broken pumps, leakages and illegal connections was also emphasised. According to South African Human Rights Commission (SAHRC) (2018), the provision of water and sanitation services in an efficient, equitable, and sustainable manner is a responsibility that rests with all levels of government. It is imperative for all levels of government to endeavour towards the provision of water supply and sanitary services that are adequate for subsistence and sustainable economic activity. The involvement of mining operations in providing clean water and the responsibility of government to supply infrastructure to communities demonstrate the shared responsibility between mining companies and the government in providing basic services.

6.5.2.4.4 Improved education in schools

Community members indicated that the organisation helped less privileged children with tuition fees. Tanimoto (2019) is of the view that education generates positive externalities, so the social returns to education tend to exceed the sum of the individual returns to education. For these reasons, there is a clear consensus that expanding access to education is critical to enhancing welfare and advancing development. Community members also indicated that companies must go beyond only paying tuition fees but should also consider building schools and libraries to reduce the distance that children walk, to get to school.

“We had a number of children not going to school because the school fees have been charged in United States Dollars. In my case, the mine has assisted me with paying the tuition fees for my grandchildren who had left school in Grade 6 because I could not afford the school fees and the books. I am old and my granddaughter died in 2019” (FGD 1 Session 1 Participant 1).

“The company has given college and high school scholarship to children who have passed different stages to proceed to the next stage. We have about two boys who are studying geology at the university of Zimbabwe through these scholarships” (FGD 2 Session 3 Participant 6).

This recommendation is supported by literature which indicates that location of the school has an enormous significance, and it should be set up suitably in a peaceful and clean setting to ensure that the child can easily absorb what is being taught in class (Aisah Achmad, Khoeriah, and Sudrajat 2021). Community members acknowledge that the mining company is doing a number of community development projects to improve the standards of living for the people.

“The mine has done projects like drilling of boreholes for clean water, assist with tuition fees for less privileged children in the community, the company also renovated our clinic and teaching us about HIV/AIDS which really improved our way of life (FGD 1 Session 3 Participant 6).

However, there is no formal communication pertaining to the implementation of these programmes, which makes it difficult for the community members to participate and express their actual challenges that needs to be prioritised at a particular time. Thus, the participants recommended formal communication structures that include community members when making decisions pertaining to their welfare. From the questionnaire, it can be concluded that the local companies are involved in CSR through a number of projects. The community indicated that these community development projects improved the standard of living for community members. However, it was revealed that there is less transparency when planning and implementing these CSR projects. From the focus group discussion, it can be concluded that monitoring and evaluation should

be done in partnership between the company and the community. The reason for no consistency in the results is due to limited inclusivity when it comes to checking the progress of CSR projects.

6.5.2 Section B: Management

6.5.2.1 Theme 1: Overview of CSR activities

The practice of CSR with the actual positive impacts has been increasingly incorporated into the strategic movement of business operations (Ahn and Lu 2021). In addition to CSR initiatives, successful CSR engagement also requires the company to effectively communicate their CSR activities with their stakeholders through various platforms (Fatima and Elbanna 2022). Management was asked to provide an overview of CSR activities that the company is involved in. Management indicated that the company was involved in a number of CSR activities including health programmes, sports promotion, improved sanitation, scholarships, provision of clean energy and agriculture.

6.5.2.1.1 Health programmes

Participants from the management interviews indicated that the organisation promotes health programmes in the community such as HIV/AIDS awareness, and malaria prevention programmes. The above statements are corroborated by the community members interviewed who confirmed that the organisation engaged in HIV/AIDS awareness and malaria prevention programmes in their community.

“The Group’s indoor residual mosquito spraying programme has been an effective way of preventing the spread of malaria in the communities where our employees and community members reside. As a result, there were no locally transmitted malaria cases recorded at all the Group’s operations during the year” (Mine 1 Management – Participant 2).

“We have a private clinic that attends to at least 100 patients from the community monthly. ZCDC has refurbished a local clinic in the Community 1 area which has a

population of over 4000 people from 11 districts. In order to stop the spread of the Coronavirus, the provides the community with sanitizers, face-masks and conducts regular awareness campaigns about the pandemic” (Mine 2 Management Participant 6).

These results are consistent with the literature which emphasises the importance of operating in societies with healthier populations with higher levels of human capital and a greater capacity to generate wealth (Doke and Dadas 2019). In addition, higher quality of care for the individual increases society's human capital by reducing both the number of premature deaths (thus increasing the labour force) and the amount of temporary or permanent disability (thus improving worker productivity) (Kala 2020). Thus, both the organisation and society benefit from better health and lower public expenditures for treatment, which can then be reallocated to other development programmes. The findings are consistent with the views of Molefe (2018), who asserts that several attempts have been made to estimate the correlation between health outcomes and long-term economic growth. For example, the high prevalence of diseases such as malaria has been linked in some studies to a slowing of economic growth by one to two percentage points per year. The views of Molefe, further confirm the reasons for investing in health care as part of CSR programmes in mining companies in Zimbabwe.

6.5.2.1.2 Sports promotion

Sport is another area that the mining companies invests in. Interviews with the management disclosed that the organisation sponsors sports programmes for both their employees and the community.

“Zimplats has built a top-notch football and netball stadium. However, employees and the community have complained that Turf town has few sports facilities. Zimplats has built a basketball and volleyball pitch to promote social and competitive sports and broaden the sport codes offered to employees and the community. Employees and community members can play more sports on the new court.” (Mine 1 Management Participant 1).

The results are consistent with ZCDC CSR policy which indicates that the organisation is committed to developing and promoting sport for its employees and local communities in order to harness the spirit of unity and teamwork within the group and between the group and the community while promoting wellness (ZCDC 2019). Kloppers and Kloppers (2018), agree that by sponsoring sports, organisations have achieved milestones in building a mutually beneficial relationship between the organisation and the community.

6.5.2.1.3 Provision of clean water

All managers interviewed revealed that the mining companies are involved in providing clean water to the surrounding communities.

“The company has managed to drill 18 boreholes around the community which saves our women from traveling long distance to fetch water from the river” (Mine 1 Management-Participant 2).

“We have rehabilitated 12 boreholes in Ward 29 and 10 in Ward 30 in the Community 2 area to afford the community access to unpolluted water” (Mine 2 Management-Participant 6).

These results are consistent with literature which indicates that the first stage of engaging in CSR is providing sanitation facilities like clean water to the community and employees to ensure their human rights (Arrive and Feng 2018). In addition, research reveals that by maintaining proper sanitation and ensuring good hygiene, the organisation is creating the perfect environment for communities by improving the standard of living (Cox 2018). Access to clean water and sanitation not only improves quality of life, but also brings tangible health and economic benefits and contributes to poverty reduction.

6.5.2.1.4 Scholarship provision

The provision of scholarships to deserving students in the community was another CSR

activity that the organisation was engaged with. All the respondents noted that the organisation offers scholarships to students studying in mining-related programmes at the University of Zimbabwe and high school children.

“The company offers scholarships to a number of children. Namatai Chisaenyerwa was the best student in 2020 Form four (4) public examinations at Gandauta Secondary School in Mine 2 area resulting in ZCDC funding her High School education. She got enrolled at Marange High school where she is doing her “A” Level studies. In addition, mine 2 funded a full scholarship for Nyasha Razawo who has a prosthetic leg. The diamond company also funds for Tinovimbanashe Marange’s education at King George Memorial School in Bulawayo, Matabeleland Province. She is a disabled girl child” (Mine 2 Management – Participant 4).

The organisation is at the forefront in providing as well as improving the community education level through scholarship provisions. Many companies provide support to schools through donation of infrastructure and learning material and a similar proportion provide scholarships in cash or kind (Wallman 2021). This is backed by the views of Singh and Misra (2021) who note that CSR strives to enhance people's lives via community service such as education. In this case, scholarships provide an opportunity for mining communities to earn an education. Without assistance from an outside source, students may have trouble paying for the education they need in order to enter the workforce and become contributing members of society (Sharma 2019). Providing scholarships to community members increases the availability of skilled labour to be utilised by the mining companies.

6.5.2.1.5 Provision of clean energy

According to the testimony of the respondents interviewed, the organisation provides clean energy in the form of the solar systems to the local clinic. Renewable energy is being championed as a potentially significant new source of jobs and rural growth in developing countries, and a means of addressing environmental and energy security concerns. In most countries, governments have invested large amounts of public money to support renewable energy development and are requiring significant quantities of it

to be sold by energy providers (Dragu 2018). Making a positive connection between renewable energy development and local economic growth will require more coherent strategies, the right set of local conditions, and a place-based approach to deployment.

6.5.2.1.6 Training and funding agriculture

Agriculture promotion within the community is another CSR activity that the organisation is involved with in the community. Interviewees revealed that the organisation has livestock farming projects in the community.

“Mine 2 uses local farmers to supply poultry, veggies, and other garden products for its canteens. Public Relations and Community Development coordinates farmer mobilization. Farmers have supplied poultry, leaf vegetables, tomatoes, and onions through these collaborations. Monthly farmer payments pump RTGS \$100,000.00 into the local economy. The income-generating prospect excites the community and boost agriculture productivity. To fight hunger, Mine 1 bought fertilizer and seed maize worth RTGS \$2 370 000.00 for evacuated communities at, Chimanimani, and less privileged or child-headed families in Community” (Mine 2 Management-Participant 5).

These results are consistent to recent studies by Sharma (2019) who estimated that around 75% of the world’s poor live in rural areas and most are dependent on agriculture and/or related activities in the rural economy. In addition, the researcher agrees that agriculture can be important for developing countries in several ways; where food security is weak it can be a vital source of nutrition, it provides income for farmers and farm workers and thus revenues for rural areas, job opportunities in related areas such as processing and in some cases export revenue and thus foreign exchange for governments.

6.5.2.2 Theme 2: Challenges faced when implementing CSR

This theme uncovered the challenges faced by the organisation in CSR implementation. The interviews with the CSR management uncovered that despite the relevance and importance of CSR activities in respect of the corporate image, the organisation still

faced challenges in such implementation, particularly with financial resources and disruption of projects.

6.5.2.2.1 Financial resources

Interviews with management indicated that the company does not have enough resources to execute as many meaningful projects as they would like. This is in line with previous studies that reported that the lack of resources, including finances, human capital, knowledge, and expertise constitute a common barrier to CSR implementation (Yuen and Lim 2016). From the interviews, there was consensus among the respondents about the lack of financial resources to effectively carry out the companies CSR activities.

These results are consistent with previous literature which reported that there is non-availability of well-organised nongovernmental organisations in remote and rural areas that can assess and identify real needs of the community and work along with companies to ensure successful implementation of CSR activities in developing countries (Flôres 2019). Like other developing countries, non-governmental organisations in Zimbabwe usually partner with mining companies, providing financial resources and capital to execute relevant CSR projects for mining communities. Companies acquire their human resources and other resources from the mining companies, which builds the case for investing in local communities by way of building their capacities to undertake development projects at local levels. In fact, Lam and Lim (2016) found that for effective implementation of CSR in the mining sector, large amounts of resources are required. However, budgets for implementing CSR are often inadequate and outcompeted by other projects which guarantee higher return on investments. In addition, most mining companies do not have a dedicated department that manages CSR.

6.5.2.2.2 Disruption of projects

Another identified challenge faced by the organisation in implementing CSR in the community is the disruption of projects. Respondents indicated that in some cases

community members may disrupt the smooth transition of the projects. The results are consistent with literature which indicated that lack of partnership between the company, the employees and the community when planning and implementing CSR leads to project disruption.

6.5.2.3 Theme 3: CSR Policy/Strategic Objective for the organisation

Respondents were asked to provide an overview of CSR policy/strategic objectives within the organisation. Literature indicates that most companies with thriving CSR initiatives use strategy to build and monitor their programmes; a few of these companies also share their strategy publicly. The main strategic objective of CSR is to reduce poverty and improve the standards of living for people through different community projects. These objectives are discussed below.

6.5.2.3.1 Improving education in the community

CSR management interviewed stated that the organisation is at the forefront of providing as well as improving the community education level. These results are consistent with literature which indicated that access to high-quality education in rural areas can be one of the contributing factors to local economic development and help rural communities adapt to a fast-changing environment, while a lack of access risks widening the rural-urban divide with regard to the level and relevance of skills through multiple channels (Bhatia and Makkar 2019). These results are also consistent with the study by Makwara, Mutambara, and Magagula-Hlatjwako (2019) which highlighted the gap between rural-urban education which is becoming more visible when analysing rural students' educational expectations. Based on a survey among 15-year-old students carried out in 2018, students in rural schools are half as likely to expect completing a university degree as those in city schools (Echazarra and Radinger 2019). This ultimately feeds into lower educational attainment and achievement in rural areas, lower geographical mobility and higher territorial inequalities. Thus, by improving education, the mining companies are pacing towards their policy of alleviating poverty in mining areas and improving the standards of living in mining communities.

6.5.2.2.2 Entrepreneurship skills

Singh and Misra (2021) note that CSR strives to enhance people's lives via community service. Part of this enhancement through CSR uncovered in this study is entrepreneurship provision. Findings from management interviews revealed that the Mine 2 has set up livestock farming projects within the community as part of youth employment development and skills for the youth in the community. Some of the responses listed below reveals that mining companies invest in developing entrepreneurial skills in communities in which they operate. As management indicated

“To avoid community members from depending on the provisions of the mining company’s donations, the company has introduced livestock farming projects where community members are trained on livestock farming then they are given capital to start the projects. We started the project with five people. This project started in 2019 and then it was disturbed by covid19” (Mine 2 Management- Participant 3).

These results are consistent with literature which indicates that the economic growth of a country depends largely on the progress of rural areas and the standard of people living in this area and a rural entrepreneur is one of the vital contributors in the economic development of a country (Katekhaye & Magda 2017). Thus, it is important for mining companies to invest in developing entrepreneurial skills to local community members. This emanates from the fact that rural entrepreneurs are faced with more challenges including non-availability of essential amenities in the rural parts the country, mainly attributable to the remoteness of the areas and the lack of support, infrastructure and access to finance, preventing them from becoming valuable producers and service providers. As indicated by community members in Mine 1 Community: *“.....although some of us are given fertiliser by the mining company, we still struggle to get other inputs like seeds and spray for our vegetables and we sometimes do not have money to transport our produce to the market as the nearest market is 53 km away from the community”* (FDG 1 Session 2 Participant 3).

Apart from entrepreneurship skills and education provision in the community, it was found that the organisation also works towards uplifting the community. This they

achieved by renovating local roads, and provision of alternative energy such as solar systems. These results are consistent with previous researchers who found that entrepreneurial education and funding is considered central to the economic development of nations as it increases entrepreneurial self-efficacy, self-employment, and risk-taking attitude of the entrepreneur (Bester and Groenewald 2021). Entrepreneurship education and funding creates enormous business opportunities and trains people with innovative enterprise skills to grasp the opportunities for starting new entrepreneurial activities as a way of addressing poverty reduction, as there is strong empirical evidence suggesting that economic growth over time is necessary for poverty reduction (Ackers and Grobbelaar 2021).

The provision of entrepreneurial skills to the community will no doubt have a positive effect on people's quality of life. This is also evident in the statement shared by some of the management where it is revealed that the organisation strives to eradicate and improve the standards of living for the local communities through their CSR activities. This has been revealed by one of the participants who is part of management Mine 1 that:

“Giving opportunities and support to local people is one strategy that can help us to reduce poverty uplift these people since most of the are unemployed old age and children. It also avoids the community members from depending on CSR benefits from the mining company” (Mine 1 Management-Participant 1).

Apart from entrepreneurship skills and education provision in the community, it was found that the organisation also works towards uplifting the community.

6.5.2.2.3 Government-specific guidelines on CSR

According to Kloppers and Kloppers (2018), the government is regarded as one of the most important driving forces behind the CSR agenda and it has a particularly important role to play in the creation of an enabling CSR environment. Thus, one would easily assume that the government has a regulation when it comes to CSR processes. However, all the participants from the organisation claimed that there are no specific

guidelines from the government that speak to CSR activities. Nonetheless, the participants acknowledged that the company has its own CSR guidelines.

These results are inconsistent with the literature which encourages the government to provide a framework for regulation and the means by which to monitor compliance to improve CSR standards and encourage large and small companies alike to improve their performance (Shackleton 2020). The government should also be involved in standard-setting through the provision of policy frameworks, which encourage companies to improve their performance beyond minimum legal standards. Research by Arrive and Feng (2018) confirms that the policy-making role of government is crucial for promoting CSR between different industries at the national level and encouraging a tightening of standards across the board. Research also proves that the ability of government to improve disclosure and transparency of often-hidden social responsibility practices and through the regulation of monitoring and reporting, companies that undertake CSR initiatives are often subject to accountability measures (Shackleton 2020). These quality-assuring procedures encourage businesses to uphold their commitments through the publication of company practices and in-turn improves industry CSR standards as companies will likely aspire to rival their competitors and gain recognition for their performance in this sphere. The adoption of a policy regulatory framework for Mine 1 and Mine 2 in Zimbabwe could potentially incorporate the Extractive Industries Transparency Initiative principle. This principle underscores the importance of utilising natural resource wealth in a responsible manner to foster sustainable economic growth and development, as noted by Murombo (2022). Despite its flaws, the mining sector in Zimbabwe holds promise for adhering to the Extractive Industries Transparency Initiative's principles. These principles recognise the ability of both entities and governments to leverage mining as a tool for attaining sustainable development and alleviating poverty. The incorporation of measures pertaining to transparency and accountability within mining communities is of paramount importance in guaranteeing that mining corporations are divulging their revenues and mining-related undertakings and are being held responsible for their conduct within their designated mining regions (Oppong & Andrews 2020).

6.5.2.4 Theme 4: Monitoring and Evaluation

According to Yuen and Lim (2016), measurement systems are required to quantify the benefits of implementing CSR. They further note that the system serves as a useful tool for the evaluation and control of CSR performances, and as a basis for rewards. From the interview, it was uncovered that while the organisation has no systems to measure the performance, they, however, engaged in the following:

6.5.2.4.1 Project visitation

While most of the CSR managers revealed that the organisation's visits to the project were a way of monitoring the performance, it was however acknowledged that there is no standard procedure for checking the progress of the project. Visiting the CSR project sites and communities allows the organisations to check progress against the set objectives. These results are consistent with literature which indicates that, instead of leaving the CSR programme to run its course, CSR manager creates a plan beforehand to monitor the progress of the programmes. Tanimoto (2019) indicates that 'In the early phases of such programmes, the results might not add up, but having a curve of performance to compare data to every couple of weeks will give you a clear indication of the project's overall performance. It should be noted that CSR managers should not only visit the project site but should assess and take note of all deviations that that may have happened and take corrective measure to ensure that the project remains in line with the achievement of CSR objectives.

The question now is, how do they evaluate the impact of CSR when there is no standard evaluation process in place? These results are consistent with literature which indicate that CSR professionals should understand the relationship between strategy, actions, impact, and outcomes (Doke and Dadas 2019). The common challenge that organisations face is creating a consistent process to efficiently get the data needed to measure results, report on success, and reaffirm the business. Thus, companies should find a way to get the underlying data needed to track each CSR activity. The more a company simplifies, centralises, and streamlines data collection and management process, the more time it will have to focus on programme work, affirming the

company's outcomes, and celebrating success. According to King Report V in 2016, it is imperative for the board to guarantee that the reports and other disclosures provided facilitate stakeholders in making a well-informed evaluation of the organisation's performance and its capacity to generate sustainable value.

6.5.2.4.2 Recommendations by participants

When asked what has been done to promote participation, during the interview with management and in the focus group with the community, the importance of community inclusion in planning and executing CSR was the main recommendation.

“We ask that the company involve us in the planning of these programmes because you realise that the people from the mine just come here and start doing the projects not knowing that maybe they have consulted the community leaders. We also feel like we have to be part of the decision as to how the projects should be done” (FDG 2 Session 3 Participant 4).

“The problem is that the community members are not willing to participate. Last week we arranged to discuss on renovating the road that connects re mine and the community to the Harare- Bulawayo highway. About eight people came for that meeting” (Mine 1 Management-Participant 2).

Active participation helps address the community's negative attitudes toward the CSR projects as it makes them part of the project. These results are consistent with literature which alludes that community involvement has the power to bring positive, measurable change to both the communities in which business operate and to the business (Sharma 2019). Community involvement include in-kind and financial donations, employee volunteer days and enduring non-profit partnerships. In addition, diversity and inclusion within CSR helps to create a positive brand image, helping to build an enhanced reputation and develop effective business relationships (Arrive and Feng 2018). Implementing a well-developed programme for CSR, an organisation can create, and maintain, positive and engaging relationships.

The results are also consistent with literature which emphasises allowing the involvement of various stakeholders (employees, consumers, partners, volunteers) in CSR activities (Song and Dong 2022). In this regard, crowdsourcing plays a significant role in raising awareness and increasing involvement in CSR to reach stakeholders and provide them with support in the areas that are important to them. In community development, crowdsourcing is a tool to effectively reach stakeholders, gather their opinions and ideas, and involve them in final implementation.

“I wish the community members could understand their important role in the success of our community development projects. We provide resources as the mine and the community has to now work together with the mine employees to plan, implement and measure progress” (Mine 2 Management-Participant 6).

It allows community inclusion in deciding what kind of projects will be implemented and what institutions and beneficiaries will benefit from them (Espinoza-Ramos 2020). CSR projects carried out in this manner are extremely effective because the authors and contributors of the ideas are also brand ambassadors. This is the reason why it is important for the mining companies in Zimbabwe to source support from the communities to ensure their CSR projects yield desired results.

One of the concerns raised by CSR management in the interview was the need of the CSR projects to meet the needs of the communities. Hence, it was understandable that they proposed the community members should be included in decisions of CSR programmes that affects them. These results are consistent with literature which indicates that one of the key aspects of doing business in Zimbabwe is the development and upliftment of those marginalised communities that rely on the organisation’s investment products to make a difference in their lives (Ndiweni and Sibanda 2020). Through an internal process of engagement and debate and factoring in external influences, health and education were identified by Ndiweni and Sibanda (2020) as key inputs into the process of community development and upliftment. It is important to consider the fact that these inputs provide a sense of human dignity for people living at the margin.

6.5.3 Section C: CSR Employees

6.5.3.1 Theme 1: CSR Involvement within the community

This section explores whether the organisation has a CSR policy and if yes, does such policy translate to CSR engagement in the communities. In this regard, the employees were asked if they were aware of the organisation's CSR policy. Figure 6.12 reveals the respondents' level of agreement on CSR engagement, with the value 1 indicating strongly agree and 5 indicating strongly disagree. The data indicates that 52.9% agreed and 41.2% strongly agree that they are aware of the organisation's CSR policy. This means that the organisations engage in CSR practices.

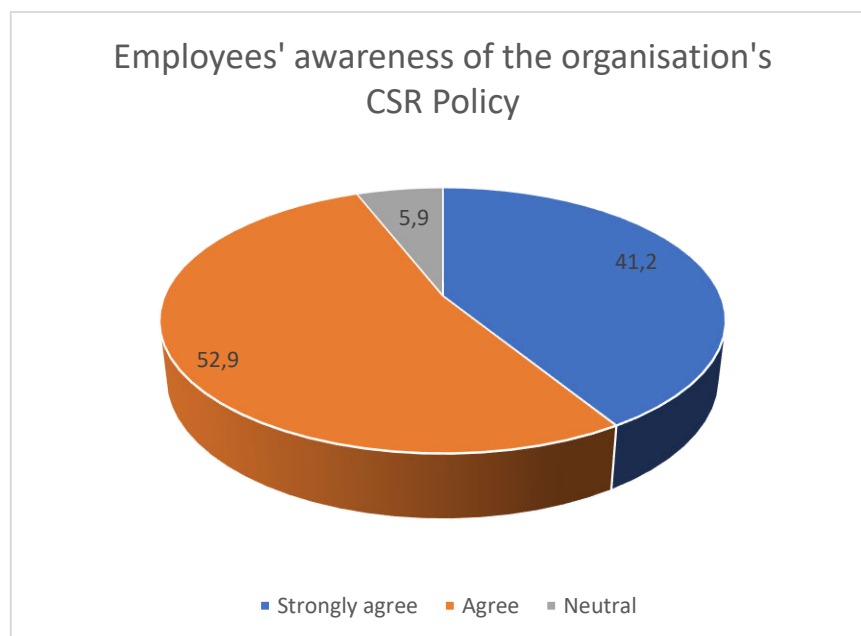


Figure 6.12: Respondents' view on CSR policy and community engagement by the organisation

These results are consistent with the literature which stipulates that mining companies undertake CSR activities to reduce its negative effects and to improve the lives of locals, the local economy and the environment (Fatima and Elbanna 2022). The finding is also supported by the qualitative interviews with CSR management which were discussed in section B of this chapter during the employee interviews. Employees revealed that the company's engagement within the community includes the improvement of education

for the community, entrepreneurship skills, poverty reduction, as well as uplifting the community through tangible projects and support.

6.5.3.1.1 Employees' views on the factors motivating CSR involvement

Figure 6.13 explores the employees' position on the factors motivating organisation involvement in CSR practices. The result shows that there was significant agreement by the employees that environmental protection (29.4% agree and 47.1% strongly agree), promoting corporate image and reputation (29.4% agree and 23.5% strongly agree), shareholder satisfaction (23.5% agree and 58.8% strongly agree), advancement of the community (29.4% agree), philanthropy/donation (52.9 agree and 17.6 strongly agree), and provision of community health services (82.3%) motives organisation CSR involvement. On the contrary, it appears that the workers tend to be neutral regarding the statements about employee satisfaction (35.3%), as the mean value ($M=2.35$) measured lies in the “neutral” range of the five-point scale.

On average, the statement with the strongest agreement is the seventh statement (M7) which was stated as “Provision of community health services” ($M=4.24$; $SD=1.200$; $t(16) = 14.546$, $p < 0.001$). This implies that the workers considered the provision of community health services as the most motivating factor for CSR involvement in the community.

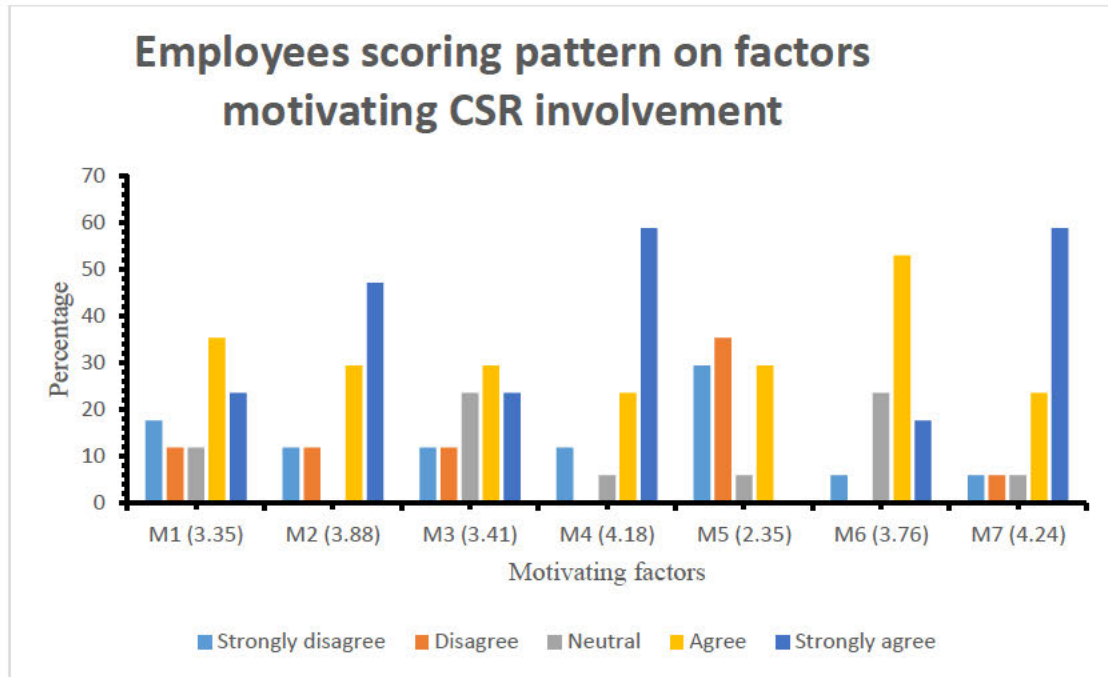


Figure 6.13: Employees scoring pattern on factors motivating CSR involvement

The results are consistent with literature which indicate that there are several motivations behind the company’s practice of CSR (Ansong 2017). Many organisations including mining aim to shift their focus from singular financial accounting to a more comprehensive approach known as the quadruple bottom line. The quadruple bottom line adopts the triple bottom line perspective, encompassing the interrelated dimensions of environment, economy, and society and further expands upon this approach by introducing a fourth pillar which is culture. When the data shows each of these four dimensions along the same line, and measured with the same standard, it will be much easier to measure the impact of a decision and to judge the appropriateness of that decision (Merriam-Webster 2021). In the case of CSR programmes, implementing monitoring and evaluation becomes less complicated.

6.5.3.1.2 Long term value of CSR projects

To understand the value of CSR projects, employees were asked to indicate their level of agreement on the following statement: The organisation’s CSR efforts have long-term value for the community. The results in Figure 6.14 indicate that 29.4% strongly agree, 35.3% agreed to the statement. However, 11.8% participants decided to be

neutral while 17,6% disagreed and 5.9% strongly disagreed.

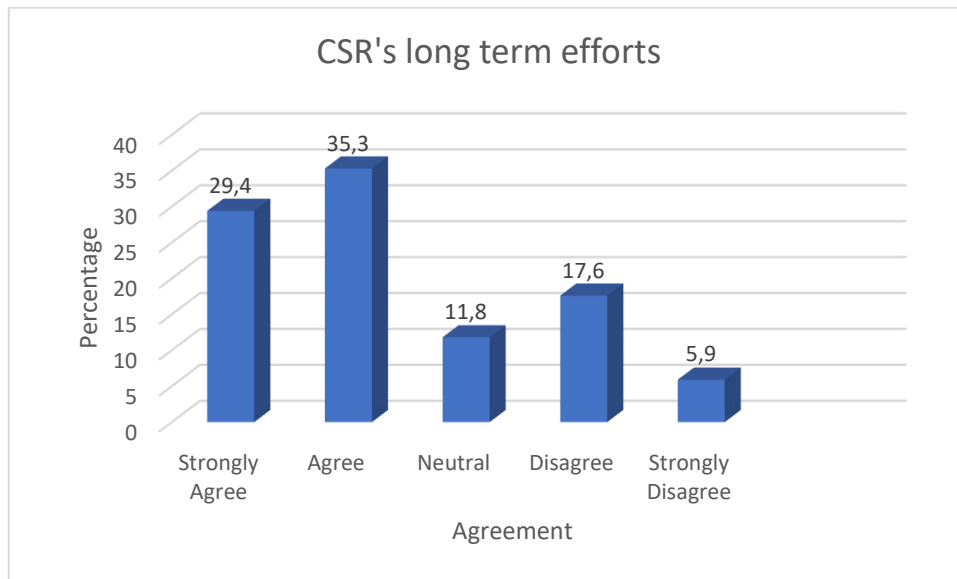


Figure 6.14 The long-term value of CSR efforts

Results indicate that participants agree with the notion that organisation's CSR efforts have a long-term value to the community. In essence, companies that implement CSR consistently are able to reduce the cost of operations so that in the long term the company will be able to perform more efficient than before, so it can reduce the cost of goods sold, this gives the companies more resources to invest in community development. Literature further indicates that CSR builds a crucial ethical stand, in which members are accountable for fulfilling their public duty (Deng *et al.* 2020).

The ethical strand builds on the triple bottom line framework. In this case, incorporating the principles of triple bottom line helps the organisation to create a sustainable future that also focuses on social and environmental sustainability. Thus, focusing on people and the planet along with profits helps to improve business performance as it is believed that the financial performance of TBL organisations is consistently better than other organisations. For the long-term survival of the business and for its growth, it is equally important that this ecosystem also remain healthy and conducive to business activity to give the organisation new opportunities to generate profits through customers who care about the planet. In order to have a profound impact, CSR needs to be used to facilitate deep-rooted collaboration so that there are dependable, continuous resources available

for the local community to rely on as a catalyst for growth and development. Longer-term partnerships grant the opportunity to truly understand the needs of the local communities, identifying business opportunities to positively shape the built environment and recognise and forecast for future community needs. CSR is an important antecedent to promote brand image and customer satisfaction and loyalty. CSR has the ability to have a short-term impact, by encouraging purchase intentions, and a long-term effect, by helping to develop the organisation's reputational capital, which can provide a competitive advantage. This has been confirmed by Mine 1 management who revealed that CSR has helped the organisation to improve image and attract more investors.

6.5.3.1.3 Company meetings and financial statements motivated the company to implement CSR.

The employees were asked to indicate their level of agreement and or disagreement if the reports at company meetings and the company's financial statements motivated the company the most to implement CSR. The descriptive data in Figure 6.15 reveals that there was agreement by 64.7% (agree and strongly agree) of them that the reports at company meetings and company's financial statements motivated the company the most to implement CSR. Evidently, the adoption of CSR in financial statements has the ability to increase the amount of relevant information provided to shareholders and stock exchange markets around the world, which is presently enforcing the importance of adopting CSR into financial statements (Lemus 2016).

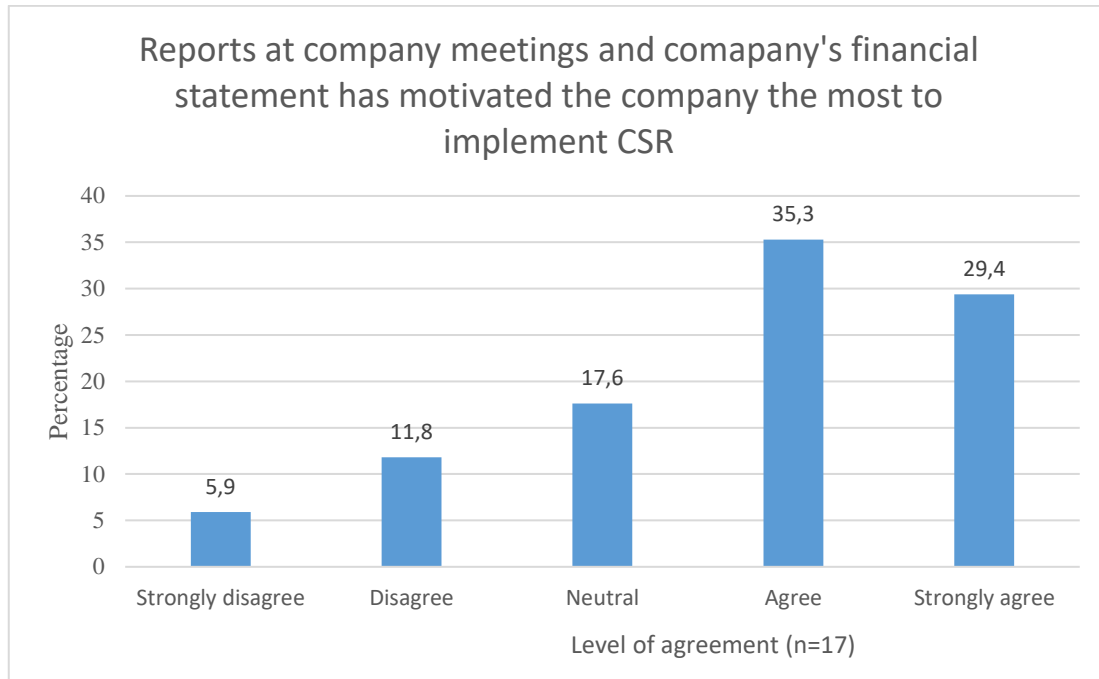


Figure 6.15: Respondents' agreement that reports on company meetings and financial statements motivated CSR

6.5.3.1.4 Benefits of CSR implementation

Given the number of respondents in agreement that CSR has an impact on sustainable development, it was worth knowing the areas CSR implementation benefitted the community. This section details the employees' perceptions of the benefits of CSR implementation in the community.

The data in Table 6.10 reveals the listed benefits of CSR implementation. On average, most of the workers' disagreed that CSR projects has improved livelihoods in the community. There was, however, agreement by most of the workers' that the organisation's projects are relevant to social and economic needs ($M=1.82$). This is supported by those who agreed that the project has helped increase family incomes ($M=1.71$) and has generated meaningful employment ($M=1.88$).

Table 6.9: Showing the CSR employees' agreement on the benefits of CSR implementation

Which statement indicates your level of agreement regarding CSR projects in your organisation:		Number	Strongly agree	Agree	Neutral	Disagree	Strongly disagree	Mean (SD)	T	Df	p-value
The organisation's CSR has improved livelihoods in our community	Q1	17	2 (11.8)	10 (58.8)	2 (11.8)	3 (17.6)	17 (100.0)	2.85 (1.367)	7.986	16	.000
The projects are relevant to social and economic needs	Q2	17	5 (29.4)	11 (64.7)	2 (11.8)	2 (11.8)	0 (0)	1.82 (0.728)	10.33 3	16	.000
The projects have helped increase family incomes	Q3	17	7 (41.2)	9 (52.9)	0 (0.00)	1 (5.9)	0 (0)	1.71 (0.772)	9.114	16	.000
The projects have generated meaningful employment	Q4	17	6 (35.3)	9 (52.9)	0 (0.00)	2 (11.8)	0 (0)	1.88 (.0928)	8.368	16	.000

These results are consistent with literature which indicates that a commitment to CSR is no longer optional, companies need to understand that CSR affects their internal (employee engagement, productivity, turnover rate) and external (increased sales, customer loyalty, brand awareness) growth (Susanto 2022). By creating and participating in CSR initiatives, companies have the opportunity to showcase their core values and create trust among their employees and buyers and ultimately improve the standards of living for local communities.

6.5.3.1.5 Employee involvement

Another perceived cause of the challenges faced by the organisation in CSR implementation may be the lack of CSR understanding on the part of the employees. As such, the following question was asked to elicit a response “Are the employees involved in CSR activities emanating from the broader company's CSR vision?” The descriptive data in Figure 6.16 indicate that employees are involved in CSR activities emanating from the broader company's CSR vision as (76.5%) of the respondents

answered yes to the question. However, 11.8% indicated employees are rarely involved, while 11.8% others appeared neutral. It thus means that some employees hardly get involved in CSR activities while others may not understand the organisation's CSR vision. This may likely constitute a challenge in the organisation's CSR implementation.

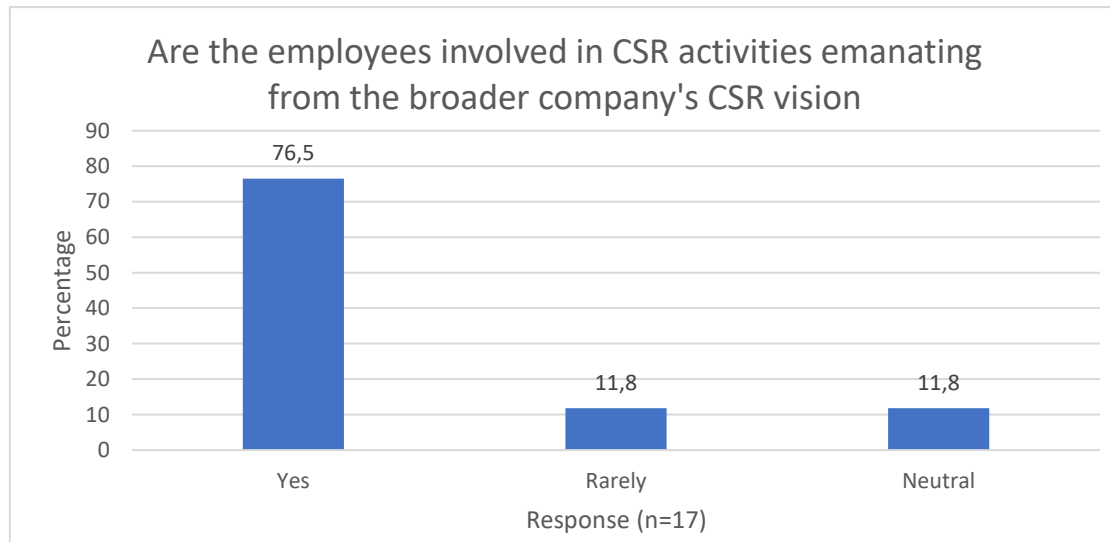


Figure 6.16: Showing the number of employees involved in CSR activities

These results are consistent with previous studies which indicate that there is a lack of CSR understanding of the local community for them to participate and contribute to CSR activities of the company (Bester and Groenewald 2021). This is largely attributable to the fact that there exists little knowledge about CSR within the local communities as no less efforts have been made to educate the community on the importance of active participation and supporting CSR to instil confidence in the local communities about such initiatives. Zimbabwe's situation is different from other developing countries in the sense that CSR is not mandatory, so mining companies plan and implement CSR projects based on the resources available and based on what other mining companies are doing without necessarily consulting the befitting communities. Institutional theory confirms that organisations respond to pressures from their institutional environments and adopt structures and/or procedures that are socially accepted as being the appropriate organisational choice. Thus, in some cases like in Zimbabwe, companies tend to impose CSR on the community with less consultation.

To probe this question, employees were asked to indicate the CSR projects which organisations engage in. Results indicated that the common CSR projects included the drilling of boreholes, education about HIV/AIDS, provision of mosquito nets and scholarships for less privileged children. As indicated by Mandever (2020), the concept of CSR is an evolving one and this could be why there exists a lack of understanding of CSR from organisation management in Zimbabwe and other developing countries. More specifically, a lack of a structural framework can contribute to a clear understanding of CSR in such economies.

6.5.3.2 Theme 2: Challenges faced in implementing CSR

The descriptive data in Figure 6.17 shows that there was a disagreement by most (70.6%) of the respondents that organisations face challenges when implementing CSR. While 11.8% of the employees agreed that the organisations face challenges when implementing CSR, 17.6% appeared to be neutral. The number of those who agreed and or appeared neutral was nearly one-third of the employees. This raises a concern for CSR implementation in the community.

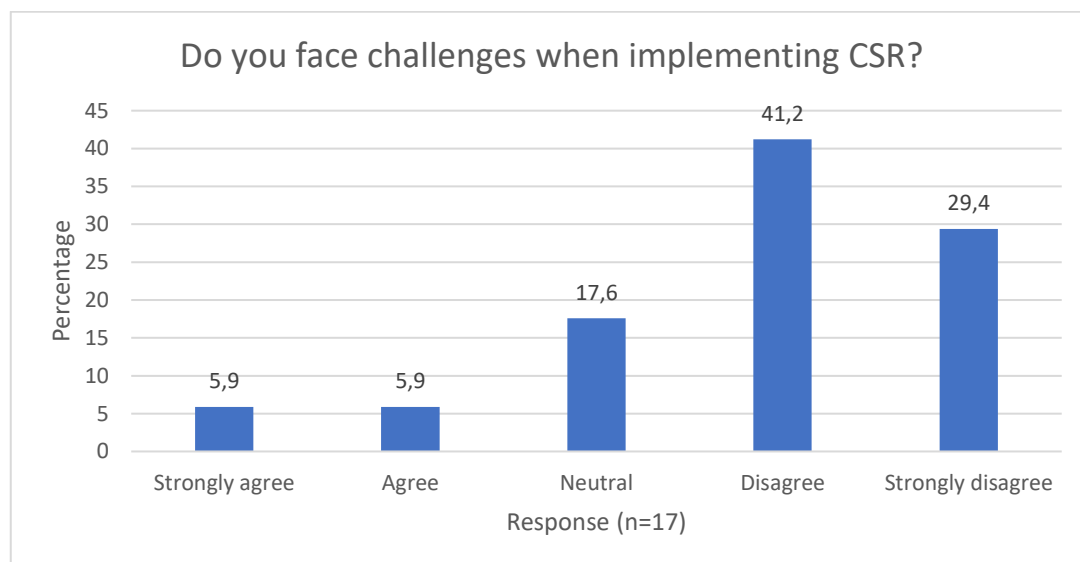


Figure 6.17: Challenges organisations faced implementing CSR

These results are consistent with literature which indicates that there are organisations that face a number of challenges when implementing CSR and their impact on CSR

implementation could vary among individual firms (Shao *et al.* 2020). The researcher further explained that these implementation challenges can be influenced, controlled, and managed by the organisation through change management and transformation of organisational culture and leadership. In addition, industry-specific challenges are macro and homogeneous factors that are experienced invariantly by all organisations in the same industry, which in this case, refers to the mining industry. In the probing question, employees explained that the most difficult challenge they are facing is that they are not given sufficient resources to complete the projects. The other challenge is that community members are not willing to participate in these projects which makes it difficult to smoothly run the projects because of lack of communication and transparency.

6.5.3.3 Theme 4: Monitoring and evaluation of CSR projects

Given the perceived benefits of CSR in the community, it is important to determine if the organisation has guidelines in place to monitor the CSR progress. Employees and the community were asked the following question “Does your company have guidelines in place to monitor the progress of CSR projects.” Figure 6.18 depicts the responses of the respondents where 88.2% of employees answered ‘no’ and that the organisation does not have guidelines to monitor the CSR progress. The 11.8% who answered ‘yes’ from workers suggest that some of them may be privy to the organisation’s guidelines used in monitoring CSR progress that the majority do not know.

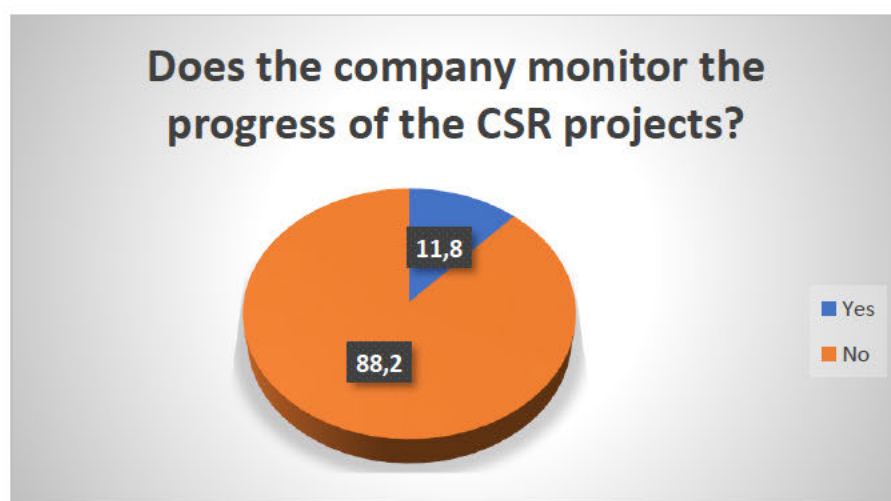


Figure 6.18: Views on the guidelines by the organisation to monitor CSR progress

These results are inconsistent with literature which emphasise the importance of monitoring and evaluation guidelines which provide the information needed to assess and guide the project strategy, ensure effective operations, meet internal and external reporting requirements, and inform future programming (Onyango 2018). Thus, monitoring and evaluation should be an integral part of project design as well as project implementation and completion. Among the few participants who indicated that the organisation has guidelines to monitor the CSR progress, they were further asked to indicate how often this is done. The descriptive data in Figure 6.19 revealed some variations in the views of the community members and employees. All (100%) of the CSR employees indicated that this is done on annual bases.

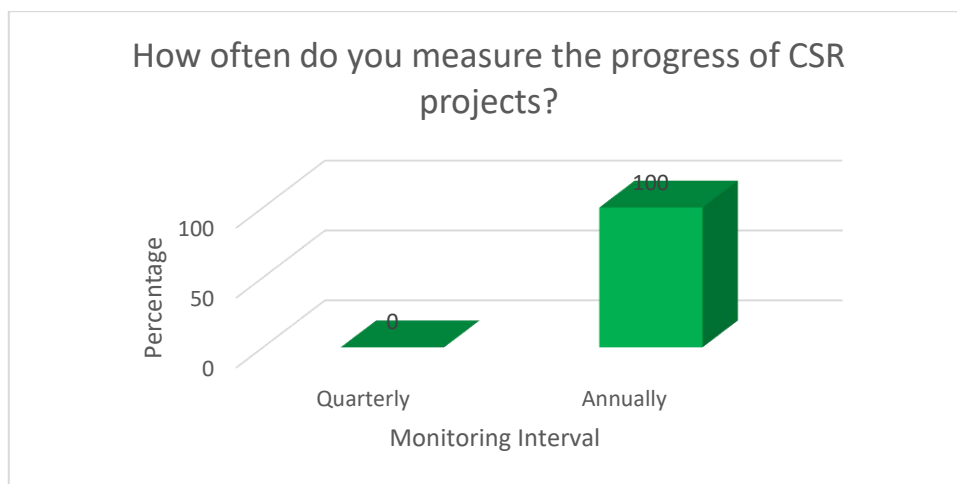


Figure 6.19 Interval for monitoring CSR projects

The results indicate that monitoring and evaluation is done annually. These results are inconsistent with the literature which views monitoring as a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an on-going development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds (Onyango 2018). In the case of Zimbabwe, mining companies tend to use international policies to guide their monitoring and evaluation because of lack of local policies to measure CSR. This view reveals the importance of having monitoring and evaluation guidelines for the success of CSR projects in the mining sector. Monitoring and evaluation should not be once a year, it should be an ongoing exercise from the beginning to the end of every CSR project. Monitoring and evaluation is essentially a

management tool that allows managers to assess the status or progress of a programme and report on it accordingly (Shackleton 2020). Monitoring and evaluation embed credibility and accountability within programmes and determines the way in which donors fund and engage with these programmes and companies.

6.6 Conclusion

In this chapter, the findings and conclusions drawn from the analysis of the data obtained from the questionnaire and the structured interviews were given. The information was first organised into topics, and then the findings were presented in the context of those themes. In order to assess whether or not the findings were compatible with the literature on the subject, a comparison of the findings to the literature on the subject was carried out. Mining companies in Zimbabwe are active participants in CSR activities that are of mutual benefit to the companies and the communities in which they operate. These activities include, but are not limited to, awarding scholarships to young people residing in the community, sponsoring agricultural and educational programmes, giving access to sustainable energy, and enhancing the quality of health care facilities located within the town. When the corporations attempted to adopt CSR, they were met with a number of obstacles, some of which included a lack of financial resources, a lack of community participation, a lack of transparency, and disruptions to projects. Participants indicated that the company visits the project site to check progress; however, other participants indicated that they had limited knowledge of monitoring and evaluation by the company. In terms of monitoring and evaluation, participants indicated that the company visits the project site to check progress. The following chapter will provide an overview of the study's accomplishments, which will be compared to the goals and objectives that the study intended to achieve. The limits of the study, as well as its recommendations for company management and suggestions for further research in the topic, are outlined here, along with the findings and conclusions of the study.

Chapter Seven

Conclusions and Recommendations

7.1 Introduction

The previous chapter presented the findings of the study based on the analysis and interpretation of data collected from the mining company and the benefiting community by means of a self-administered questionnaire and structured interviews and focus group discussions conducted on select participants from the target population. This chapter provides a summary of the achievement of the research objectives. The chapter contains a summary of the findings and sets out the conclusions and recommendations from the study. It further highlights the contribution that the study makes to the body of knowledge in the context of CSR and monitoring and evaluation in Zimbabwe and sets out possible areas for further research in the field.

The chapter concludes with a monitoring and evaluation framework and the researcher's graphical guideline for monitoring and evaluation that may be used by mining companies in Zimbabwe. This study highlighted mining companies' attempts to evaluate their effectiveness and impact on beneficiary communities in Zimbabwe. The study also attempted to understand how mining companies quantify the impact of the investment through successful CSR interventions to help address the poor socio-economic situation of the majority of Zimbabwean citizens through strategic CSR planning, implementation and evaluation. The study sought to examine policies employed by different Zimbabwean mining companies in its quest to become more socially responsible to disadvantaged citizens, as well as to its various stakeholders. However, in so doing, the company's policies produced certain challenges which affected businesses' CSR implementation as well as the impact. The study sought to investigate these challenges and the impact thereof on CSR implementation in the sampled mining companies and their communities.

In order to achieve this aim, the study set out four research objectives. The next segment of the study will provide a brief overview of the theoretical orientation of this study.

Thereafter, the study will outline the summary of findings, evaluate the achievements of the study objectives and clarify how each objective was achieved.

7.2 Research problem

CSR has emerged as a significant element in the discourse surrounding community development. Consequently, the assessment and appraisal of these initiatives can aid a company in fulfilling the expectations of stakeholders from economic as well as social standpoints. Illicit financial outflows from developing countries to affluent nations have been identified as a significant factor in the depletion of vital resources in the former (Hira & Sam, 2021). In several other developing nations, such as South Africa, regulatory requirements mandate that companies listed on the Johannesburg Securities Exchange (JSE) create codes of ethics and provide reports on their triple bottom line performance, encompassing social, environmental, and financial aspects (Hira and Busumtwi-Sam 2021). The aforementioned obligation serves as evidence that corporations in South Africa are adhering to legal requirements and undertaking voluntary measures to enhance the welfare of their personnel, their families, and the communities and societies in which they conduct their operations. In Zimbabwe, it has been observed that a significant number of companies tend to prioritise their core business operations over social responsibility initiatives. As per the findings of Promuppatum et al. (2018), the measurement of CSR is primarily based on the allocated budget. Zimbabwean corporations are required to strategically reposition their operational methods to ensure their competitiveness and longevity. In light of the nation's recuperation from a period of economic decline lasting over ten years, it is crucial for corporations to enhance their operational efficiency and fulfil the requirements of all interested parties. Moreover, the increasing pressure from stakeholders for CSR has prompted companies to integrate CSR into their strategic plans. The process of conceiving and executing community development initiatives is a complex undertaking that presents a range of obstacles that can impede the success of such projects. In order to effectively tackle these challenges, it is imperative for organisations to facilitate the involvement of all relevant stakeholders in decision-making processes related to developmental initiatives.

7.3 Overview of the theoretical orientation of study

Chapters Two, Three and Four of this study covered the literature review, which provided a broad view on the concepts of CSR and monitoring and evaluation from an international, regional and national perspective. The chapters provided a historical underpinning of how CSR and monitoring and evaluation practices came to be fashioned in the manner that is articulated in this study. The implications of monitoring and evaluation and CSR as overlapping concepts were identified and analysed. The challenges and impact of compliance with CSR policies were highlighted. In addition, the impact of these challenges on Zimbabwean businesses was elucidated. The need for Zimbabwean businesses to engage in monitoring and evaluation of CSR programmes and good practice, including becoming involved in the socio-economic development of their operational communities through the implementation of strategic CSR, was presented in the study.

In Chapter Two, an overview of the various legislative measures that the South African government employed to ensure that companies become more socially aware and responsible towards their various stakeholders were unpacked. This study assessed South African policy because there is limited literature on CSR policy by the Zimbabwean government to ensure that businesses in Zimbabwe are socially responsible. South Africa was selected as it has related social issues and it is also in the same region. The chapters presented various challenging factors that companies encountered in CSR implementation, particularly in developing countries such as Zimbabwe. The different factors motivating as well as hindering the practice and implementation of CSR in Zimbabwe were identified and discussed and the causes of the seeming failure of CSR in uplifting the socio-economic development of communities were also identified and described. In the end, the study described the examples of best practice case studies for CSR.

Chapter Three of the study examined theories underpinning CSR implementation in developing countries in relation to methods which could be employed to bring CSR in line with modern global and international trends, such as the use of a measuring monitoring and evaluation tool to precisely demonstrate CSR's impact on company

triple bottom line. The theories included stakeholder theory, legitimate theory and institutional theory. These theories were also reflected on subsequent discussion on data analysis.

Chapter Four of the study outlined literature on the monitoring and evaluation of CSR programmes and best practice examples of companies that invest in monitoring and evaluation. This departure removes the erstwhile voluntary nature of monitoring and evaluation and CSR implementation to a more mandatory nature, whereby companies are required to apply the principles of King IV and thereafter report on steps, which they took to apply the principles.

7.4 Summary of findings

This study set out to investigate the monitoring and evaluation of CSR programmes in Zimbabwe specifically in the mining industry. The study was categorised into four themes and data collected from the survey and structured interviews were analysed in accordance with the identified themes. The findings from the survey and the structured interviews were then compared to the literature on the themes to determine whether the findings were consistent or inconsistent with the literature. Below is a presentation of the summary of the research findings.

- Mining companies view CSR implementation as an important aspect of their company. Few Zimbabwean companies have committed, allocated and budgeted large sums of corporate finances to issues of CSR.
- Factors that motivate CSR implementation in the sampled listed companies range from: ethical motivation, promoting corporate image and reputation, shareholder satisfaction, advancement of the community, employee satisfaction and provision of community health services and to a lesser extent, environmental protection, and philanthropy.
- The sampled Zimbabwean mining companies found CSR implementation is a challenge for companies in the following areas, namely: lack of transparency, financial constraints, government interference through regulations and stakeholder engagement.

- Comparison of factors motivating CSR involvement between employees and community members show that both groups agreed that environmental protection, promoting corporate image and reputation, shareholder satisfaction, advancement of community, philanthropy and provision of health services are motivating the implementation of CSR. However, there is a difference in the level of agreement in some factors which may have been caused by poor communication between the employees and the community members. This awareness assisted in drawing more attention to governance issues such as monitoring and evaluation; accountability and transparency; integrated reporting and stakeholder's engagement.
- As far as CSR implementation was concerned, mine employees agreed that the CSR reports on company objectives at company meetings and the company's financial statements motivated the company to implement CSR. In this case, the motivation for involvement is to maintain a good relationship with shareholders of the company.
- Transparency in implementing CSR was the most coined shortfall for the mining companies. Community members did not have access to information pertaining to planning and implementation and evaluating of CSR activities. Community members noted that there was no transparency when it comes to projects that affects the community.
- Familiarisation with CSR initiatives and actions taking place in the community is one of the factors that contribute to successful implementation of projects. Community members indicated that they were familiar with the CSR projects that take place in the community. These projects were aimed at improving education in the community, developing entrepreneurial skills, reduction of poverty and community upliftment. Community upliftment is a process where community members are supported by agencies to identify and take collective action on issues which are important to them (Narula, Magray and Desore 2017). Community upliftment empowers community members and creates stronger and more connected communities.

- In terms of the value of the implemented projects, the sampled mining company employees agreed that the CSR projects implemented in the community have long term value. In contrast, the community members differ in opinion, they disagreed that the projects have long-term value in the community. Community members may not be experiencing the long-term value of these CSR projects. In simple terms, community members indicated that the CSR benefits and services could benefit them for a period less than a decade.
- Mining companies indicated that they are facing challenges when implementing CSR projects. This is evidenced by the percentage of mine employees who agreed that they are facing challenges when implementing CSR. Causes of these implementation challenges include perceived lack of education by the community on CSR, organisation relationship with the community and lack of CSR understanding. Efforts that were made to overcome these CSR challenges, included constant review of CSR programmes, organisation communication systems and adequate budgetary provision.
- There are a number of benefits of CSR projects from both the community and the companies' perspective. The benefits of CSR include improved livelihoods of communities, increased family incomes and increase employment opportunities. Specifically, from Mine 1, a total of 390 learners and 12 teachers benefited from additional classrooms built by the mine, 23 families benefited from the mine agricultural initiative, over 300 people in the province benefited from the albinism project done by the mine, more than 75 families benefited from 75 boreholes drilled by the mine from 2012 – 2022. In addition to these, mine employees indicated that CSR addressed social and economic needs of both the employees and the communities.
- Mining companies are yet to develop guidelines for monitoring CSR projects. In addition, there are no specific guidelines from the government to use when implementing CSR projects. Both the companies and the community members agreed that there are no guidelines in place to monitor ongoing CSR projects.

The conclusions of the study are outlined in the next section.

7.5 Conclusions relating to the objectives of the study

This study sought to investigate the monitoring and evaluation of CSR programmes in Zimbabwe. The following are the conclusions derived from the findings of the study in respect of the study objectives:

7.5.1 Objective One: The nature of CSR in the mining companies assessed

There are a number of community engagement projects that each company is involved in around the surrounding communities. ZCDC partners with local health authorities in the fight against Covid-19 through various donations and the collaborative efforts within the communities. This is in line with the company's vision, mission and values which embrace community development and sustainable coexistence on an ongoing basis, thus, mining companies are committed to invest in local community development to ensure improved standards of living for the community. As such, mining companies continue to invest in the communities in which it does business across key development domains.

7.5.2 Objective Two: CSR policies in the mining sector

The sampled companies reflected that the government expects companies to be socially and environmentally responsible in their operations, but the government does not have written guidelines that companies should follow when implementing CSR programmes. Zimbabwean government has introduced policies like indigenisation and empowerment Act have been used by mining companies but in terms of CSR, companies are adopting international standards for CSR and reporting - The Environmental Impact Assessment Policy (EIAP) of 1994, Mines and Minerals Act, Indigenisation and Economic Empowerment Act, and the Companies Act. Although not obligatory, it should be noted that EIAP is

not a mandatory requirement. The IEEA and the EIAP was later repealed. These policies have been discussed in the literature review in Chapter Two.

Each company has its own CSR policy, and some companies are using international standards like King IV that is designed by South Africa. Mining companies in Zimbabwe use their company CSR guidelines and the international CSR standards because the Zimbabwean government does not guide companies to structure their own CSR policy.

7.5.3 Objective Three: Challenges experienced by businesses in implementing CSR in the mining sector.

The conclusions that emerged from the study in relation to this objective are as follows:

- Lack of financial resources was indicated as the most challenging factor when implementing CSR.

Other challenges include:

- Lack of communication when planning and implementing CSR activities. Community members indicated that they were not included in planning and implementation of CSR programmes. Mining communities have to devise strategies that ensure stakeholder involvement when planning and implementing CSR programmes.
- Project disruptions due to lack of cooperation of both the employees and the communities. It was indicated by participants that community members sometimes sabotage CSR programmes because of lack of knowledge and understanding of the impact of these projects and how they could contribute to the communities in which they live in.
- Lack of education and understanding by community members. This could be because of lack of communication between the company and benefiting communities. Strategies should be put in place to ensure inclusive decisions making that allows companies and its internal and

external stakeholders to engage when planning and implementing CSR programmes. Employees revealed that the communities are informed about decisions on CSR projects, and they are not active participants in the decision-making process.

- ***Monitoring measuring and evaluation of CSR:*** The sampled mining companies are yet to develop models and internal policies to enable the measuring and evaluation of the impact of CSR programmes on company triple bottom line. This chapter develops the monitoring and evaluation that can be used by mining communities to improve the quality of CSR programmes; thus, CSR objectives are achieved in an effective and efficient manner.

The next section discusses the researcher's suggested recommendations derived from this study.

7.6 Recommendations

Having discussed the findings of the study and highlighting the subsequent conclusions drawn, the following recommendations can be made to company CSR initiators, planners, implementers, managers, boards of directors and government:

Community members should be involved in CSR planning and implementation. There should be a synergy between businesses, government and communities at every stage of CSR implementation.

A monitoring and evaluation framework should be developed and implemented by all Zimbabwean mining companies. Management and community forums should be established by companies and stakeholders should be consulted and involved in company decision making, particularly in the area of CSR implementation. Communication structures and systems should be set up for stakeholders to communicate their concerns with the company.

Mining companies should be at the forefront of developing long-term CSR initiatives, which can be built upon by successive management. Company management should avoid situations where they engage in short-term projects where they are completely hands off once the projects are completed. Long-term CSR projects that sustain from more than two years will allow the executing companies to continue to have a stake in the project and therefore be able to intervene, fix, maintain, alter, amend or expand on the projects for the benefit of communities.

A generic monitoring and evaluation tool that can be adapted to meet the different business peculiarities should be developed for and by companies wishing to determine the impact of their CSR implementation on their company triple bottom line. This will remove some of the barriers, obstacles and challenges of CSR implementation if the various stakeholders and company directors are able to appreciate the improvement in standards of living that CSR contributes to local communities.

7.7 Recommendations for further research

- Investigating the international CSR policies that can be adopted by Zimbabwean companies to allow for uniformity in all businesses in Zimbabwe.
- A study should be done on how the politics of Zimbabwe influences the implementation of CSR programmes in businesses.
- Devising a Zimbabwean standard of CSR that is contextually and locally relevant to the prevailing socio-economic development requirements of communities where businesses operate is necessary.
- There is need to examine mediators and moderators in the relationships within the CSR framework.

7.7 Contribution to the body of knowledge

The findings of the study contribute to the literature on monitoring and evaluation of CSR programmes in Zimbabwe. Literature on the significance of the interface between CSR implementation and the contributions of monitoring and evaluation in developing a monitoring and evaluation framework has been limited. Most literature on CSR and monitoring and evaluation in South Africa tends to discuss the concepts from a singular perspective. This study suggests that monitoring and evaluation is a necessary requirement for the successful implementation of CSR. The study highlighted the challenges experienced by mining companies and the impact that such challenges have on CSR implementation. A study of this nature has not been conducted, whereby the implications of lack of monitoring and evaluation is directly linked to CSR implementation failures. This study further contributes to the body of knowledge with regard to monitoring and evaluation of CSR by developing a framework to assist CSR managers to overcome CSR implementation challenges that arises when implementing CSR.

7.8. Limitation of the study

The first limitation is the nature of the sample which is diverse and spread across the different mining companies and different benefiting communities. The mining companies and the community members have different if not opposite viewpoints when it comes to CSR. This means that the findings cannot be generalised however, it can be used to add to the theory of monitoring and evaluation and its influence on CSR implementation in mining companies in Zimbabwe.

The process of data collection was a difficult and time-consuming exercise. Many potential respondents approached by the researcher indicated that they were not permitted by their company policies to grant interviews or respond to electronic surveys sent to their emails. Company employees showed cautiousness in answering because they were not sure of the consequences of responding despite the researcher

emphasising on the confidentiality of the collected data. This led to the researcher receiving some shallow responses, which became difficult to interpret.

The next section provides the monitoring and evaluation framework for CSR programmes which will assist CSR managers in monitoring and evaluating CSR programmes in mining communities. The aim of the framework is to assist and guide CSR managers on the concepts that should be considered when initiating, planning and implementing CSR projects. The framework sets out the goals and objectives that should be the target of every CSR project initiated by a company. The framework also highlights how the inputs, activities, outputs and outcomes can be monitored and evaluated. By using this framework, the mining companies will be able to incorporate monitoring and evaluation from the planning to the implementation of the CSR programmes which has been identified as a key strategy for the success of programmes and the benefit of communities. The framework is followed by a graphical representation and discussion which explains the key elements of the external environment necessary for the mining company to assess when scanning, monitoring and forecasting environment.

7.9 Monitoring and evaluation framework for CSR Communities

	Indicators	Definition How is it evaluated	Data Source How is it measured	Frequency	Responsible	Reporting	Importance of reporting
Goal	Percentage of people benefiting from CSR projects	Number of people benefiting from the current project divided by the number of people who benefited from the previous project multiplied by 100	Community members records from the councillor	Annually	CSR Manager	Annual Sustainability Report	Demonstrating credibility to stakeholders
Input	The financial, human and material resources needed for the CSR project	Total amount of resources needed to complete the CSR project	Depends on the amount of work, complexity of work, how often you get changes	Quarterly	Project manager	Quarterly reports	Attracting Capital and Investment
Activities	Investing in education sponsorship through scholarship programmes	Number of students benefit from mining scholarship programmes	Community meeting and percentage calculations	Every six months		Monthly report	Encouraging stakeholder participation
Outcomes	Benefits of the CSR project	Sum of all benefiting community members divided by the total community members	Discussion with benefiting community members On-going communication with community members	Every three months	CSR Employees	Company quarterly report	To show transparency
Outputs	Number of people who benefited from the CSR project What about the CSR projects- were they successful?	Number of people who benefited from the beginning to the end of the project	Benefiting member's meeting attendance To do what??	End of every meeting	CSR Employees	Meeting Reports	To show accountability
	Number of stakeholders that partnered in the CSR project	Number of stakeholders who answered, 'yes' on the question "Did you partner in this CSR project?"	Survey to potential stakeholders To assess what???	End of survey	Programme coordinator	Survey report	To get feedback for future improvement

Table 7.1 Monitoring and evaluation framework

Figure 7.1 is a graphical guideline that has been illustrated from the findings of the study and unpacks the important elements required for the monitoring and evaluation process for mining communities in Zimbabwe.

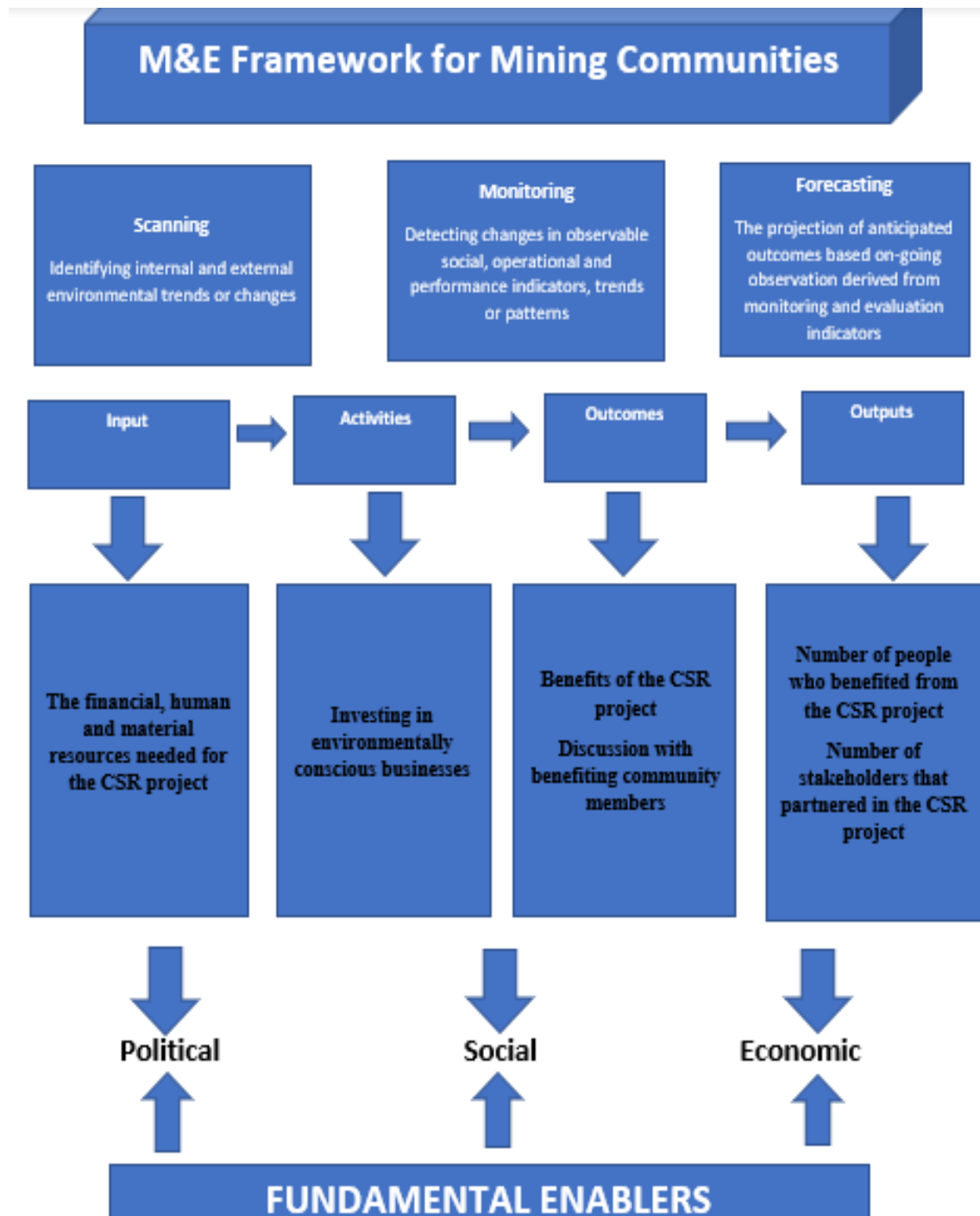


Figure 7.1 Monitoring and evaluation framework for mining communities

Monitoring and evaluation for mining communities aim to ensure continuous improvement in CSR programmes in the mining sector. Continuous improvement is a measurement process that facilitates and enables organisational change and dramatic performance improvement through use of best practices and stakeholder inclusion strategies in implementing CSR programmes. Monitoring and evaluation concentrates on CSR programmes and is based on evaluating critical factors; leadership, strategic planning, customer and market focus, information and analysis, human resources focus, process management and the impact of CSR programmes. For continuous improvement to happen, there is a need for scanning, monitoring and forecasting of both the internal and the external environment. The key elements of the external environment that the mining companies should always consider when scanning, monitoring and forecasting include the political, social and economic environment.

7.9.1 Political environment

Political environment comprises of elements that are related to government affairs and the type of government in power (Plagerson *et al.* 2019). The political environment in Zimbabwe remains highly uncertain with violent crime and corruption (Makwara *et al.* 2019). This environment is crucial, and it affects the implementation of CSR programmes in the mining sector. Thus, this environment has to be scanned, monitored and forecasted.

7.9.2 Social environment

Besides maximising shareholder value, mining companies should operate in a way that benefits the society. Mining companies should adopt policies that promote the well-being of society and environment while lessening negative impact (Carels, Maroun & Padia 2013). Elements of the social environment include how people behave, gender, ethnic groups, education and work, the conditions and communities in which mining companies exist (Sorensen & Torfing 2012). CSR managers should make an effort to understand and track the social environment and how it influences the implementation of CSR projects.

7.9.3 Economic environment

CSR activities like rural development projects, education and skills development, livelihood enhancement projects and healthcare are contributing to the index, which are the measures of economic growth (Gochero & Boopen 2020). This environment directly affects the implementation of CSR projects. Understanding the economic environment allows the company to continuously tailor the project to adapt the environment (Muchaendepi, Mbowa, Kanyepe & Mutingi 2019).

7.9.4 Internal environment

Measurement of CSR projects is important to ensure the project achieves the desired objectives. Trialogue (2014) identified five levels of measurement to describe progressive degrees of measurement that can be used to measure short term or long term and qualitative and quantitative results of interventions which are relevant to this study. These include input, activities, outputs, outcomes and impact.

- Inputs – all resources that are used when planning and implementing CSR project allocated to specific activities for example staff time, infrastructure, vehicles, funding and supplies. These inputs need to be evaluated to ensure that they meet standard quality needed for the project.
- Activities - Purposefully designated actions that transform the various inputs into specific outputs. For example, mining companies are usually involved in growing trees in areas where they have exhausted the mineral. Mining companies have to observe and check progress of these projects to ensure that they are inline towards achieving the CSR objectives.
- Outputs - Direct result of activities. These are short-term result that are immediate, visible, and concrete, for example, the number of trees that are planted or the total area. Outputs for the business may in some cases include the value of public relations that is generated, number of business stakeholders involved, and the number of staff volunteers engaged.
- Outcomes - specific changes in the behaviours, new knowledge, skills or wellbeing. These are medium-term developmental results that are a consequence

of achieving a specified combination of short-term outputs for example reduced land degradation as a result of growing trees. Outcomes could include improved staff morale, increased customer awareness or enhanced corporate reputation.

- Impact - Broader long-term consequences of the project. These include community, society or system-level changes that are the logical consequence of a series of medium-and short-term results. Companies can select indicators measuring a combination of these levels of measurement to track the outcomes of their community initiatives and are generally advised to adopt an approach commensurate with each projects level of investment or strategic value.

7.9.3 External Environment

7.9.3.1 Scanning

By identifying early warning signals, CSR managers will have as much time as possible to determine appropriate alternative courses of action before or during the implementation of CSR programmes. Scanning is a first step towards exploring and identifying opportunities to improve CSR programmes, compliance with policy, and processes of both the organisation and the government. Environmental are scanning early warning signals alerting CSR managers and other related departments about important trends and events that could have either a positive or negative impact on CSR programme implementation (Bowen, Appiah & Okafor 2020). It is the basis for effective monitoring and corrective action of CSR programmes. This will allow the CSR managers to identify current and potential strategic trends or changes that need to be addressed by the department or the entire company.

The scanning process relevant for the mining companies include:

- Establishing Scope – The mining company has to determine the scope and range of relevant data and sources of information to narrow down the scope so that it is more likely that important early warning signals will not be missed.
- Interpreting Trends - It is critical that the mining company integrate and make sense of relevant social performance indicators and other relevant data to

determine the meaning of integrated data and identifying important correlations or relationships between social performance indicators that signal future events.

- Selection - At the end, the company has to evaluate the relative importance of indicators or precursors and those indicators with the greatest relevance or importance will be selected for further monitoring, forecasting and assessment at later phases of the stakeholder assessment process. In this case, the most relevant and reliable signals or performance indicators should be considered for further monitoring, forecasting or assessment. Scanning can be a continuous process or follow an annual or bi-annual cycle depending on the size and complexity of the CSR project.

7.9.3.2 Monitoring

- The monitoring process help management, managers and business units who are responsible for managing the organisation's, corporate social and operational responsibilities focusing on continuous improvement of management practices to achieve better results through the relevant management information, early warning signals and guidance, which would allow for remedial action wherever possible (Rampersad 2015). Thus, monitoring requires partnership between the CSR management and the community, clear communication and collaboration between stakeholders and the organisation.
- Monitoring must be a proactive and ongoing process that should be integrated and implemented throughout the entire enterprise/organisation.
- Mining companies must incorporate monitoring into all relevant aspects of management activities in order to elicit information on achievements or lack thereof; adherence to standards, norms and specifications; and compliance with regulations, rules, policies and procedures.
- The company should use clearly defined methodologies of monitoring and must utilise and be supported by appropriate mechanisms and tools by identifying useful, easily available and current information, data and reports.
- Effective monitoring requires dedicated resources, supported by specialised teams of staff with the necessary skills, knowledge and experience, using SOPs

to effectively manage within the context of a clearly defined programme of work.

- Companies in the mining sector should use monitoring for observing, and tracking relevant performance, stakeholder sponsorship, and providing management and intervention teams with information about trends in operations, functions, process and environmental functions that will enable management and managers to effectively respond to and address these issues. The long-term goal of monitoring aims to continuously improve management practices and achieve better results of CSR projects by the mining companies. Companies can achieve this by scanning, interpreting, and evaluating relevant management information and identifying early warning signals, which should allow for timely remedial action.

7.9.3.3 Forecasting

Companies should use forecasting to develop projections of anticipated outcomes based on on-going observation derived from monitoring significant environmental trends. This provides line managers and heads of offices, units and departments with a projection of what is more or less likely to take place in the future based on the tracking of past events, indicators or trends. Forecasting serves as an underlying basis for making important decisions and improving management practices (Capelli, Ielasi & Russo 2021). Forecasting provides a picture of what is most likely to take place in the future based on the tracking of experience, trends or events. Kraus, Rehman & García (2020) Identified key elements of forecasting include:

- Identifying the underlying factors or circumstances that drive the evolution of long-term trends and patterns in the environment.
- Determining the scope, speed, direction, intensity, volatility and magnitude of patterns, indicators. This involves an analysis of whether detected or projected change is a quickly passing episode or an event of some duration. Patterns can be systematic or cyclical.
- Effective forecasting should focus on identifying what should be forecast and why it should be forecast. This involves identifying the projected changes that will have the greatest relevance or impact on the organisation

or staff. It is both time consuming, unnecessary and counter-productive to focus on forecasting of large number of trends and patterns. As you try to forecast and track too many areas, the amount of data collection and analysis expands exponentially.

7.10 Concluding remarks

The importance of CSR can be seen by the fact that in the past four decades since Zimbabwe became a democracy, big companies have come to accept CSR as part of their corporate strategies. The period has also witnessed many corporates reporting on CSR projects and activities in their annual financial statements, as well as a rise in budgetary allocations for CSR projects. Although mining companies encounter several challenges in implementing CSR, the study revealed that many of them have developed and adopted measures to enable them to overcome such challenges. Although many companies have not yet developed measuring and evaluation tools, there is the realisation that CSR has moved from mere philanthropy to that of finding a place in company corporate strategic planning. This study highlighted and discussed CSR challenges, which have contributed immensely to the development of CSR in Zimbabwe. Recommendations and suggestions for further research have been made. The monitoring and evaluation framework is developed to provide CSR managers and company directors with a guide for CSR implementation. The study contributes to CSR literature in Zimbabwe by showing the relationship and interconnectivity of CSR and monitoring and evaluation, as well as how they can be utilised to advance the socio-economic development of Zimbabwe business communities.

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APPENDIX I

QUESTIONNAIRE FOR COMMUNITY MEMBERS

Instructions to participants

- Answer all questions.
- Place only one ✓ or circle for each answer.
- Please do not leave any question/statement blank.

1. Please select your age group

18-29	
30-39	
40-49	
50-59	
60+	

2. Do you agree that organisations operating in your community engage in CSR.

	Response
Strongly agree	
Agree	
Neutral	
Disagree	
Strongly disagree	

3. In your opinion, what has motivated companies to implement CSR? (1 strongly disagree, 2 disagree, 3 neutral, 4 agree, 5 strongly agree)

3.1 Ethical motivation	1	2	3	4	5
3.2. Environmental protection	1	2	3	4	5
3.3. To promote corporate image and reputation	1	2	3	5	5
3.4. Increase of corporate income	1	2	3	4	5
3.5. Increase in corporate profitability	1	2	3	4	5
3.6. Philanthropy i.e. donations	1	2	3	4	5

3.7 Avoidance of penalties by the government or other responsible bodies	1	2	3	4	5
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3.8 If others, please indicate the factor(s) that led the company to implement CSR.

4. Would you agree that corporate social responsibility is done in a transparent manner by the company?

	Response
Strongly agree	
Agree	
Neutral	
Disagree	
Strongly disagree	

5. Are you familiar with the initiatives and actions related to CSR that have been introduced in your community?

Yes	
No	

6. Would you agree that the organisation's CSR efforts have long term value in your community?

	Responses
Strongly agree	
Agree	
Neutral	
Disagree	
Strongly disagree	

7. Does the community have a good relationship with the company or companies?

	Response
Strongly agree	
Agree	
Neutral	
Disagree	
Strongly disagree	

8. In the community, are people educated about CSR

	Response
Strongly agree	
Agree	
Neutral	
Disagree	
Strongly disagree	

9. Do you agree that CSR has an impact on sustainable community development?

	Response
Strongly agree	
Agree	
Neutral	
Disagree	
Strongly disagree	

10. For the statements listed in the table below, indicate your level of agreement on CSR.

	Responses				
	Strongly Agree	Agree	Neutral	disagree	Strongly Disagree
10.1 The company CSR has improved livelihoods in our community.					
10.2 The projects have helped to increase family incomes					
10.3 The projects generate meaningful employment					
10.4 Projects delivered can be sustained without further input from the company					

11. Does the company monitor the progress of the CSR projects?

Yes	
No	

12. If YES, how often do they measure the progress

Weekly	
Monthly	
Quarterly	
Annually	

13. Please narrate the challenges that you face as a community when monitoring your CSR projects

14. Please narrate the challenges you are facing when evaluating CSR projects

Thank you for participating.

APPENDIX II: QUESTIONNAIRE FOR CSR EMPLOYEES

Instructions to participants

- Answer all questions.
- Place only one ✓ or circle for each answer.
- Please do not leave any question/statement blank.

1. Please select your age group

18-29	
30-39	
40-49	
50-59	
60+	

2. Please indicate the position you hold in the organisation.

3. Are you aware of the organisation's CSR policy?

	Response
Strongly agree	
Agree	
Neutral	
Disagree	
Strongly disagree	

4. In your opinion, what has motivated your company to be involved in CSR? (**1 strongly disagree, 2 disagree, 3 neutral, 4 agree, 5 strongly agree**)

4.1 Ethical motivation	1	2	3	4	5
4.2. Environmental protection	1	2	3	4	5
4.3. To promote corporate image and reputation	1	2	3	5	5

4.4. Shareholder satisfaction	1	2	3	4	5
4.5. Advancement of the community	1	2	3	4	5
4.6. Greater employee satisfaction	1	2	3	4	5
4.7. Philanthropy i.e. donations	1	2	3	4	5
4.8. Provision of community health services	1	2	3	4	5

5. Please specify some of the CSR projects that your organisation is involved with.

6. Corporate social responsibility is done in a transparent manner in your organisation.

	Response
Strongly agree	
Agree	
Neutral	
Disagree	
Strongly disagree	

7. The organisation's CSR efforts have long-term value for the community.

	Response
Strongly agree	
Agree	
Neutral	
Disagree	
Strongly disagree	

8. Please elaborate.

9. Does your organisation face any challenges when implementing CSR?

	Response
Strongly agree	
Agree	
Neutral	
Disagree	
Strongly disagree	

10. If you agree or strongly agree, which areas does your company find most challenging?

11. What measures are employed to address the organisation's CSR implementation challenges?

Statements: 1 strongly disagree, 2 disagree, 3 neutrals, 4 agree, 5 strongly agree.	1 SD	2 D	3 N	4 A	5 SA
11.1 The company constantly reviews the impact of its CSR projects, thereby keeping abreast of the needs of its community.					
11.2 The company has good communication systems that stakeholders may use to communicate dissatisfaction and needs.					
11.3 The company ensures that it provides adequate budgetary provisions.					
11.4 CSR reporting at company meetings and in the company's annual financial statements enables company to monitor the effectiveness of its CSR initiatives.					

12. Are employees involved in CSR activities emanating from the broader company CSR vision?

	Response
Yes	
Rarely	
Neutral	
Never	

13. Please describe these activities

14. For the statements listed in the table below, indicate your level of agreement regarding CSR projects in your organisation.

	Responses				
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
14.1 The organisation's CSR projects have improved livelihoods in our community					
14.2 The projects are relevant to social and economic needs					
14.3 The projects have helped to increase family incomes					
14.4 The projects generate meaningful employment					

15. Does the company have guidelines in place to monitor the progress of the CSR project?

Yes	
No	

15.1 If YES, how often do they monitor the progress of CSR projects.

Weekly	
Monthly	
Quarterly	
Annually	

16. Are you aware of any challenges experienced when monitoring and evaluating CSR projects. Please elaborate.

Thank you for participating.

APPENDIX III: CSR MANAGEMENT INTERVIEW QUESTIONS

1. Provide an overview of the CSR policy/strategic objective within your organisation.
2. Please provide an overview of the CSR activities that your company is involved with.
3. Are there policies that exist and does each company subscribe to specific guidelines by the government?
4. In your opinion, what has motivated your company to be involved in CSR?
5. What social problems have been addressed by the CSR projects around the community?
6. Does your company monitor CSR performance?

If yes, how is it monitored?
7. In your opinion, do you think the company's CSR contribution is effective in addressing issues like poverty in the community? Please elaborate.
8. To what extent is the company involved in partnerships with other stakeholders in both social and economic development? Please provide examples.
9. What are the major bottlenecks/challenges faced when implementing CSR programmes?
10. How does the organisation encourage individuals and community participation in sustainable community development?
11. Have there been any recommendations to increase efficiency and effectiveness of the various projects?
12. How does the organisation evaluate the CSR projects?

APENDIX IV: COMMUNITY MEMBERS FOCUS GROUP DISCUSSION

1. Provide an overview of CSR projects taking place in your community.
2. In your opinion, do you think the company's contribution to community projects is effective in addressing issues like poverty in your community?
3. Do you think the CSR projects executed are meeting your expectations as benefiting communities?
4. To what extent does the company encourage individuals and community participation in sustainable community development?
5. What has been done to stimulate the culture of participation among community members?
6. What is your understanding of monitoring and evaluation of CSR projects?
7. Are there systems in place for monitoring and evaluation of the ongoing projects? Please elaborate.

APPENDIX V: LETTER OF INFORMATION



Dear Participant

Thank you for taking an interest in my research. My name is. I am currently registered for a Doctoral degree in Public Relations Management at the Durban University of Technology. I wish to provide information of my research study so that you have a clear understanding of what it is about. The title of my study is,

MONITORING AND EVALUATION OF CORPORATE SOCIAL RESPONSIBILITY PROGRAMMES IN ZIMBABWE. CASE STUDY OF THE MINING INDUSTRY.

If you choose to be part of the study, you will:

- You may be part of a group discussion to discuss methods of monitoring that are used by the company to ensure impactful results.
- Be requested to take part in individual interviews of which the information given to me will be treated with anonymity and confidentiality.
- As a group, help in developing a monitoring evaluation framework to ensure impactful results are achieved.

Your participation is voluntary, and you can withdraw at any time. There will be no negative consequences should you choose to withdraw from the study. You will not be paid for participating in the study and you will not be expected to pay anything to take part in the study. The individual interview sessions will be held at a time convenient to you.

I will not use your name when reporting on the interviews. Your answers will be seen by me. Should you have any problems or queries then please contact me (+2761 936 0799) or my supervisor) or the Institutional Research Ethics administrator on.

Sincerely,

Priscilla Musariwa
+27607636928

Supervisor
Prof R Rampersad
Tel: 0313735367
Email: renitha@dut.ac.za

APPENDIX VI: REQUEST FOR PERMISSION



The Manager
Zimbabwe Platinum Mines Limited
PO Box 6380,
Harare,
Zimbabwe

31 June 2018

My name is. I am currently registered for a Doctoral Degree in Public Relations Management at the Durban University of Technology. I would like to request permission to interact with your CSR Department at your company. Below are the details of my study:

Title of study: "Monitoring and evaluating Corporate Social responsibility in Zimbabwe. A Case study of the mining sector."

Corporate social responsibility in the mining sector plays a very crucial role in the upliftment of communities in Zimbabwe. There is therefore a need to shift from doing it as a duty, to striving towards impactful results. To support a strategic shift towards, impactful results, organisations need a constructive and efficient monitoring and evaluation, which is simple and user friendly. This helps project managers and company managers to improve effectiveness and efficiency of CSR programmes. Participation is voluntary and no harm will befall participants during and after the study has been carried out. For this study, I am guided by the code of ethics of Durban University of Technology to ensure confidentiality of information provided to me by the participant. I do hope that I will be granted access to work with your company. Should you have any problems or queries then please contact me) or my supervisor) or the Institutional Research Ethics administrator on.

Sincerely,

Priscilla Musariwa
+27607636928

Supervisor
Prof R Rampersad
Tel: 0313735367
Email: renitha@dut.ac.za

APPENDIX VII: LETTER OF REQUEST



Corporate Social Responsibility Manager
ZCDC
Borrowdale

30 June 2018

Dear Manager

My name is. I am currently registered for a Doctoral Degree in Public Relations Management at the Durban University of Technology. I would like to request permission to interact with your CSR Department at your company. Below are the details of my study:

Title of study: “Monitoring and evaluating Corporate Social responsibility in Zimbabwe. A Case study of the mining sector.

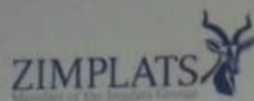
Corporate social responsibility in the mining sector plays a very crucial role in the upliftment of communities in Zimbabwe. There is therefore a need to shift from doing it as a duty, to striving towards impactful results. To support a strategic shift towards, impactful results, organisations need a constructive and efficient monitoring and evaluation, which is simple and user friendly. This helps project managers and company managers to improve effectiveness and efficiency of CSR programmes. Participation is voluntary and no harm will befall participants during and after the study has been carried out. For this study, I am guided by the code of ethics of Durban University of Technology to ensure confidentiality of information provided to me by the participant. I do hope that I will be granted access to work with your company. Should you have any problems or queries then please contact me or my supervisor) or the Institutional Research Ethics administrator.

Sincerely,

Priscilla Musariwa
+27607636928

Supervisor

Prof R Rampersad
Tel: 0313735367
Email: renitha@dut.ac.za



05 July 2018

Dear Miss P Musariwa

You have been granted the permission to interact with our employees.

Please provide us with the outcome as per our agreement.

Regards,

George Mutsoka

Zimbabwe Platinum Mines (Private) Limited

Makwiro Road, Selous, Zimbabwe
P O Box 61, Selous, Zimbabwe

Tel: +263 (0) 628 44 888-9

Fax: +263 (0) 628 44 123

E-mail: george.mutsoka@zimplats.com

Web: www.zimplats.com