

CSR and shared value in multi-stakeholder relationships in South African mining context

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Abstract

Purpose: Mining is surrounded by controversy, in spite of corporate social responsibility (CSR) projects. This study aims to explore the theory on CSR and shared value (SV) and identified a gap in an approach to implementing CSR and SV. Perceptions of multi-stakeholder relationships in the South African mining context were elicited.

Design/methodology/approach: A qualitative research design included 17 semi-structured interviews with 3 stakeholder groups, including members of the community, government representatives and mining management and secondary data of company documents on CSR.

Findings: The qualitative research revealed important gaps between CSR and SV theoretical frameworks, normative ethical approaches and operationalizing of these at the mine to the detriment of effective multi-stakeholder relationships.

Practical implications: Mines have to engage with the community and government stakeholders proactively and build relationships.

Social implications: Ethical normative approaches have to be considered. Government has to take note of this study's findings with regards to negative consequences of institutionalized CSR for trust between mines and communities.

Originality/value: The literature review differentiates theoretically between normative and instrumental stakeholder theory, philanthropic and business case CSR, SV and their implicit normative ethical approaches. The semi-structured interviews revealed legacy issues and lack of engagement between mine and community as main barriers to multi-stakeholder relationships and raised important questions on normative ethical approaches to CSR and SV. The direct and indirect barriers by government, community and mine management are identified and differentiated.

Keywords: Stakeholder theory, Corporate social responsibility, Mining, Shared value, Normative ethics, Multi-stakeholder relationships

Introduction

Although the mining industry is a major source of income for many countries, particularly developing countries, it is surrounded by controversy because of its social and environmental impacts (Cruz *et al.*, 2019). Faced with reputational pressures from public and government scrutiny, it is no longer adequate for mining houses to merely comply with legislation around the management of these impacts (Hilson *et al.*, 2019). The industry must show that it cares about local communities to fulfil its potential to become one of the largest contributors to the United Nations Global Sustainable Development Goals (SDGs) released in 2015 (Sonesson *et al.*, 2016).

Corporate Social Responsibility (CSR) programs are meant to build relationships between mines and affected communities while addressing social and environmental impacts, unfortunately they had minimal effect on community wellbeing (Hilson *et al.*, 2019). Porter and Kramer (2011), as well as in later publications of Kramer and Pfitzer (2016), argue that although CSR programs enable companies to adhere to legislative requirements and enhance their reputations, they are unsustainable as they do not improve company profits or competitive advantage. While these programs maintain a social licence to operate, they are classed as cost centres and rarely form part of company strategy (Laudal, 2018).

In contrast, Shared Value (SV) refers to the mutually beneficial relationship between a company and its stakeholders, whereby profits are shared among all stakeholders in the relationship (Porter and Kramer, 2011; Pfitzer *et al.*, 2013). The concept of SV has been criticised, however, both for enabling the company's power hold over communities (Aakhus *et al.*, 2012) and ignoring tensions that exist between economic and societal goals (Crane *et al.*, 2014). A systematic literature review of Dembek *et al.* (2016) on SV reveal that the concept is in a nascent stage and more recent studies declare that the difference between SV and CSR remains unclear (Yang and Yan, 2020). The current study therefore contributes to the building of the SV concept by deepening understanding of SV through this real-life case study-based research.

There are significant gaps in the existing body of literature pertaining to the barriers and enablers of the concept of SV, as well as how it could be operationalized. Porter and Kramer (2011) argue that implementing SV entails three steps, namely: redefining productivity in the value chain; reconvening products and markets; and building industry clusters. This three-step methodology, however, lacks any substantial form of the relational aspects one would expect to be present. SV fundamentally requires the collaborative effort of several parties for the benefit of all. SV's relational aspects, such as trust, are enablers within multi-party dynamics (like that between mining companies and communities), specifically when employed for grievance resolution strategies (Kemp *et al.*, 2011). The current study therefore undertakes to explore the enablers of multi-stakeholder relationships necessary for SV.

Current literature on CSR concentrates on the financial benefits of engaging with CSR, as illustrated by the second-order meta-analysis by Busch and Friede (2018). An opposing view to the focus on financials is the normative ethics approach to CSR, which stems from moral philosophy (Nwanji and Howell, 2007). The latter approach is adopted by the current study, as we believe more studies are required in this domain. While there exist limited current literature that refers to normative ethical approaches to CSR (Fontaine *et al.*, 2006), and

stakeholder management in particular (Donaldson and Preston, 1995; Evan and Freeman, 1983; Freeman, 1984), there is no explicit link between the normative ethical approach and the widely-cited SV framework. We identified this theoretical gap of limited attention to a normative ethical approach in the existing literature on SV. We therefore endeavored to address this limitation by considering normative ethical approaches in our research.

We relate CSR theory (Carroll, 1979) and the SV framework (Porter and Kramer, 2011) to the relationships among multi-stakeholders (Freeman, 1984) at a South African platinum mine. For example, we highlight the importance of deontological principles, which capture ethical justifications and are duty-based in nature (Folger *et al.*, 2013). We question whether the CSR and SV approaches in the study represent deontological and or teleological ethics, as described by Nwanji and Howell (2007).

The South African mining industry unfortunately has a dark political past stemming from years of apartheid (Hamann *et al.*, 2008). During this time, the “colour bar” prevented black workers from attaining skilled jobs and both the education and health care systems for black people were deficient. This culminated in the very poor socioeconomic circumstances still prevalent in the country’s mining communities (Cronje and Chenga, 2009) and resulted in deep tensions between communities and the mining corporations they surround. The mining industry in this country has to resolve real social issues and create a positive social economic impact on the communities in which it operates (Lane *et al.*, 2015). This provides a compelling reason to explore SV in the South African mining context. The South African government introduced several laws and legislations to promote equality and inclusion of previously disadvantaged groups, including the *Broad Based Black Economic Empowerment Act No. 53 of 2003* and the *Employment Equity Act No. 55 of 1998*. Kleynhans and Kruger (2014) explain that black economic empowerment was established as part of the equity plans in the *Employment Equity Act* to promote the participation of black people in the economy.

Literature review

The first section examines the essence of CSR and SV, and then reviews literature around multiple-stakeholder relationships.

Instrumental and normative stakeholder theory

Freeman (1984) originally defines stakeholders as those individuals or groups affected by corporate policies and practices. While there are numerous studies on stakeholder theory this literature review focuses mainly on two relevant streams of thought within the domain, namely instrumental and normative stakeholder theory: **Instrumental stakeholder** theory states that stakeholders should be treated well because it is economically advantageous for the business in the short- and long-term, according to the classic work of various scholars, including Jones (1995) and Sethi (2003). Adherence to stakeholder principles and practices achieves conventional organisational performance objectives even more effectively than rival approaches. Not all stakeholders necessarily create equal value for shareholders. For example, customers certainly contribute to profit growth, but the community around the enterprise, which requires housing, could require capital investment which increases cost to company, negatively influencing value for shareholders.

While Sethi (2003) agrees that a company cannot necessarily treat all stakeholders as equals, it seems, nonetheless, that there is a form of normative ethics associated with instrumental stakeholder theory, namely the **teleological or utilitarianism ethical approach**, which dictates that companies at least seek solutions that best serve the needs of the majority of stakeholder groups. To explain utilitarianism, Solomon (1992) refers to British philosopher, JS Mill, who believed an act could be evaluated in terms of whether its consequences were for the good of society. For this reason the normative ethical approach which emphasises consequences is also called consequentialism.

Another relevant approach to the current study is the **normative stakeholder theory**. Freeman and Philips (2002) and Donaldson and Preston (1995) remind us that stakeholder theory has a normative core, as it perceives stakeholders as individuals or groups with legitimate interests in the company. It also views the interests of all stakeholders as of intrinsic value and therefore as meriting consideration for their own sake, and not merely because they could benefit shareholders. This illustrates that ethics are central to the normative approach to stakeholders. Kapelus (2002) likewise argues that if companies are guided by moral motivation they will live up to their commitments to stakeholders.

In this regard, Folger's deonance theory refers to motives such as acting from a sense of responsibility rather than selfishness (Folger *et al.*, 2013). Deonance is thus the appropriateness of behaving in a certain way, because of an obligation or duty and is called the **deontological normative ethical approach**. This is aligned to the Kantian perspective. Kant's categorical imperative is that one should treat people as an end in themselves and not merely as a means to an end. Kant viewed an action as right or wrong without respect to the consequences, whereas utilitarianism views an action as right or wrong only with reference to its consequences (Kant, 1785; in Gregor, 1998). In this regard, the rights of stakeholder groups give them some legitimate "stake" in how the company is run, on a normative ethics level.

We therefore deem it important to note the differentiation on a normative ethical level between these approaches in the management of stakeholders, where the instrumental stakeholder theory represents the teleological normative ethical approach and the normative stakeholder theory, represents the deontological normative ethical approach. In table 1, we illustrate this differentiation.

Philanthropic and business case CSR approaches

Carroll (1979) says of CSR, "The social responsibility of business encompasses the *economic, legal, ethical, and discretionary* expectations that society has of organizations at a given point in time" (1979, p. 500). Smith (2003) differentiates between CSR with the motive of doing good or the normative ethical approach on the one side, and the business case approach on the other, which reflects a company's enlightened self-interest. We use this differentiation as a lens to analyse CSR in this study.

On the one hand, the intention of the **CSR philanthropic approach** is to give something back (Schwartz and Carrol, 2003), and make a positive contribution to a community - an act of goodwill (Carroll, 1979; Carroll, 1996). This act of goodwill represents a deontological normative ethical approach, as described above under normative stakeholder theory. The approach can however, involve limited engagement with beneficiaries. Unfortunately, the

intentions are not always purely altruistic. Waddock and Smith (2000) point out that these acts may not only be to make a positive contribution to society, but to signal that the business is a caring employer, which benefits its employee recruitment. Companies gain good reputations and legitimacy through good deeds that contribute to society. This is called strategic philanthropy. Crane *et al.* (2014) also warn that philanthropic activities might simply be based on economic interests.

On the other hand, the **business case approach** to CSR openly highlights the benefit to the company, and is therefore also called the strategic CSR approach. Harrison *et al.* (2010) and Galbreath (2006) warn that profit orientation, or focus on the financial benefits of CSR, is an arms-length approach by the business to society. In this regard, Peloza and Falkenberg (2009) advise companies to go beyond simple cash donations to truly make a difference. Relationships between mining companies and communities thus need to move away from dependence to interdependence (Erdiaw-Kwasie *et al.*, 2017).

The **corporate citizenship strategy**, by contrast, is focused on the long term, even if this is at the expense of weaker short-term results (Galbreath, 2006). A citizenship approach is also transparent about CSR initiatives, which are detailed through integrative or triple bottom line reporting in annual reports, or corporate webpage disclosures (Matten and Crane, 2005). Companies have obligations towards society in this deontological normative ethical approach and must increase their legitimacy so that they are granted a license to operate (Scherer and Palazzo, 2011). Smith (2003) points out that business can benefit from paternalistic capitalism, in which they look after their workers and ultimately benefit from the improved living conditions. Pro-organisational behaviour encompasses those activities for which rewards are uncertain and for which there are no formal contractual agreements in place, but where employees or the community would still support the organisation (Bridoux and Stoelhorst, 2014).

The current research is embedded in an emerging market. The CSR literature specifically relevant is therefore Valente and Crane's (2010) report that in developing countries, business had increasingly been perceived as a major player in addressing public problems, such as a lack of infrastructure and services. They call the activities aimed at filling in for government absence **political CSR or public responsibility**. Institutional voids are regularly mentioned in the literature on Africa (Kolk and Rivera-Santos, 2018) and these types of CSR initiatives extend the usual corporate citizenship to compensate for ineffective governmental infrastructure or processes. The boundaries between the public and private spheres are therefore becoming increasingly blurred. Corporations are filling the regulatory vacuum in global governance and these scholars therefore propose a politicized concept of CSR (Scherer and Palazzo, 2011).

A possible limitation of this approach is the dependency created in the local community, where needs could escalate and become difficult to meet effectively, which in turn could cause reputational risk. Another risk of political CSR is a change in the reign of political parties (Garriga and Mele, 2004).

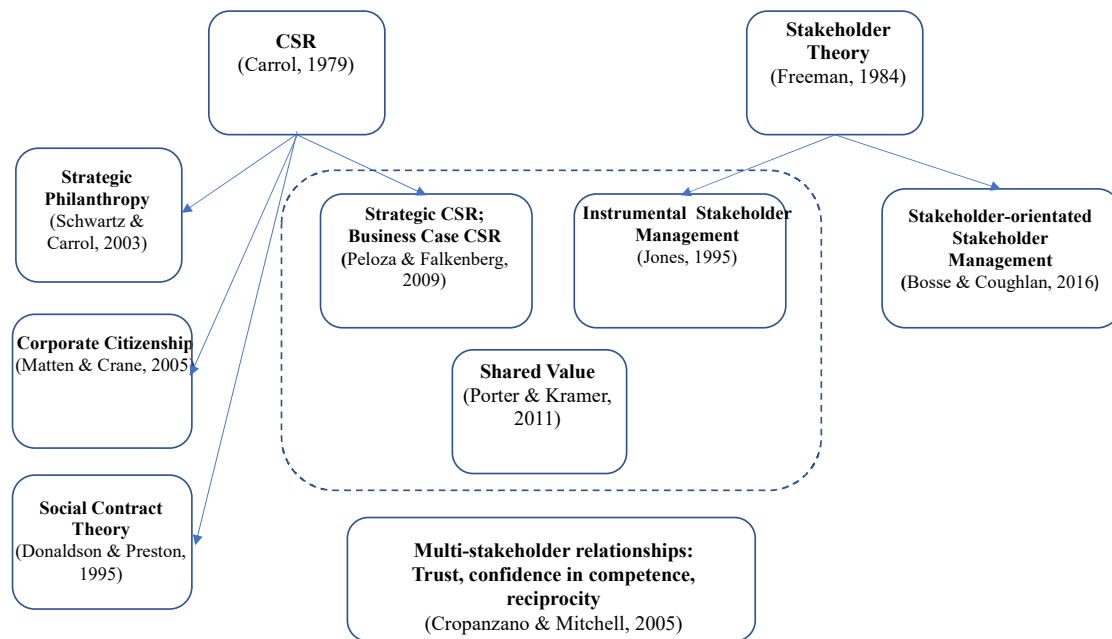
SV framework

The SV framework is about creating economic value in a way that also creates value for society. It is important to note that Porter and Kramer (2011) take it as given that by addressing

society's needs and challenges, the principle of creating SV presumes compliance with the law and ethical standards, as well as mitigation of the risk of the corporation causing any harm. Kramer and Pfitzer (2016) acknowledge that the business can and should be central to the reshaping of the ecosystem around it and this role of business is actually essential to unlock opportunities for real change.

Crane *et al.* (2014) note that the SV concept is not new, but is a new way to frame what prior studies on instrumental stakeholder theory and social innovation have already described. We would add that business case CSR, also called strategic CSR, resembles the principles of SV. Our literature review indeed revealed that the instrumental stakeholder theory relates to SV, as it too shows that economic value creation can also create value for society by addressing its challenges. Unfortunately, unlike instrumental stakeholder theory, the SV framework refrains from attending to the possible trade-offs between economic and social value creation (Crane *et al.*, 2014). Figure 1 illustrates how SV relates to the focus areas within instrumental stakeholder theory and strategic CSR.

Figure 1: Illustration of SV relating to instrumental stakeholder theory and strategic CSR



Researchers' own synthesis based on existing literature

Von Liel (2016) explains that stakeholder management principles concern the intentional consideration of the company's stakeholders and the SV concept in contrast, involves intentional consideration of creating new markets or customers, and redefining the supply chain. Nevertheless, since SV pays attention to the consequential mutual benefit of creating SV to business and society, SV represents the teleological normative ethics approach.

In this regard, Crane *et al.* (2014) warn that companies might use isolated SV projects to "greenwash" or appear to be focused on society, whereas they are not actually addressing systemic injustices in the environment, such as the poverty in the vicinity of the company. In

table 1 below, we differentiate between the aspects of CSR and stakeholder theory, as well as SV and their respective normative ethical approaches.

Multi-stakeholder relationships

The multi-stakeholder relationships theory most relevant to our study is the Social Exchange Theory proposed by Blau (1964). Social Exchange Theory posits that social exchange involves a series of interdependent actions that generate obligations and are able to create quality relationships (Cropanzano and Mitchell, 2005). For relationships to evolve into trusting, mutual commitments over time all parties must abide by the guidelines of the exchange process, such as reciprocity (Cropanzano and Mitchell, 2005). Blau (1964) also referred to the ideological *rewards* on which psychological contracts are built. The *currency* exchanged in the psychological employment contract is this ideological reward. This social *exchange* is voluntary and should not be coerced. According to the theory of reciprocity, if the intention is perceived as insincere or self-interested, a “kind” reciprocal exchange is destroyed (Falk and Fischbacher, 2006). This sheds light on the continued failure of CSR strategies to gain the trust of mining communities.

Van Prooijen and Ellemers (2015) reinforce the relevance of the current study, in claiming that it is moral judgments, and not necessarily competence judgments, which are central to the impressions people form of other individuals and groups. Thompson and Bunderson (2003) discuss ideological *currency* in the psychological contract between employees as stakeholders and the organization. We observed that financial value is pervasive in the business and scholarly language around CSR and stakeholders. For instance, the question, “Does it *pay* to be moral?” of Van Prooijen and Ellemers (2015), and other examples including the use of words like *rewards*, *currency*, *exchange*, *business case*, indicate that value is perceived in financial terms and that social value *per se* is not seen in the same light.

Hahn (2015) also highlights that reciprocal stakeholder behaviour, is contingent on the motive-based approach to stakeholder management. It stresses the importance of prosocial corporate behaviour which elicits stakeholders to reciprocate. Instrumental stakeholder theory in particular considers the performance consequences for companies of highly ethical relationships with stakeholders, characterized by high levels of trust, cooperation, and information sharing.

Rousseau *et al.* (1998) define trust as “a physiological state compromising the intention to accept vulnerability based upon positive expectations of the intentions or behaviour of another”. For trust to emerge, risk and interdependence must exist, but the nature of the risk and trust changes as the interdependencies increase (Rousseau *et al.*, 1998). For multi-parties that are interdependent (like mines and communities), trust is therefore a key enabler for reciprocal interdependent exchange (Bowen *et al.*, 2010). We argue, therefore, that for SV to succeed it is imperative to understand the critical success and risk factors for the establishment of trust and to preserve trust.

The mining industry is embedded in its social context and local communities surrounding mines are, in general, susceptible to the impact of the mines as well as primary stakeholders with the ability to be the most influential (Buchholtz and Carroll, 2012). Failure to recognize the authority of these communities may lead to community violence, loss of profit and even

mine closures (Humphreys, 2000). Core strategy, however, does not regularly include management of these key stakeholders (Kemp and Owen, 2013).

CSR in the South African mining context is legislated in the form of the Mining Charter which was first introduced in 2004 and is currently in its third review which began in 2017 (Heyns and Mostert, 2018). The original Mining Charter stipulated that all stakeholders must be intimately involved in the development of the Integrated Development Plan (IDP). Subsequent revisions of the Charter placed less emphasis on the IDP and hence multi-stakeholder involvement (Heyns and Mostert, 2018). The current revision requires alignment between the mine's Social and Labour Plan (SLP) and local government's IDP. The Mining Charter (2018) is aligned to the *Broad Based Black Economic Empowerment Act No. 53 of 2003* and specifies the community development that mines have to undertake.

The mine in the area where the research was undertaken are in South Africa's northern province, with more than 5 000 employees and are owned by an international mining group. The mine is undertaking several CSR projects in developing the nearby community, including investing in education, healthcare as well as upgrading infrastructure in the local village. Their CSR projects of improving infrastructure involved for example, the installation of more than a thousand solar street lights in the community (which created around 30 local temporary jobs); the sinking of boreholes to supply water to the community (which created more than 80 permanent jobs and nearly 30 during construction). With regards to corporate social investment in education, the mine conducted the renovation of a secondary school in the area, including six new classrooms and a science laboratory and the construction of ablution blocks at schools to eradicate pit toilets; as well as support for educators to develop their content knowledge and teaching skills; in terms of investment in healthcare, the mine constructed a healthcare clinic, with onsite staff accommodation.

Two main tribes live in the communities surrounding the mines. Historically, tribal authorities led community villages through the born heir to the throne. However, the youth of today prefer a democratically-elected representative which has resulted in tribal authorities allowing a group of representatives to be elected to co-lead these villages in key processes (Kapelus, 2002).

Method

Sample and Procedure

We adopted a philosophy of interpretivism for this research because the research explores the relational aspects of the multi-stakeholder relationships towards SV which are understudied in the mining industry context. Exploratory data was collected from 17 semi-structured interviews. It was imperative that the different views of all social actor groups were elicited to obtain an understanding of the issues that presented as impediments or otherwise (Mark *et al.*, 2009). We used non-probability purposive sampling to ensure representation of all identified social actors. Six company, six community and five government respondents were interviewed. Individuals who worked in a mine's Social Development and Strategy department were selected as the social actors from the company. Further details of the respondents can be found in Table 1.

Table 1: Respondent details

Respondent Number	Stakeholder Group	Position	Gender	Demographic
Respondent 1	Company	Senior General Manager	Male	White
Respondent 2	Company	Senior Human Resource Manager	Male	Black
Respondent 3	Company	Senior Production Manager	Male	White
Respondent 4	Company	Senior Social Performance Manager	Male	Black
Respondent 5	Community	Chairperson of the X Task Team *	Male	Black
Respondent 6	Community	Deputy Chairperson of the X Task Team *	Male	Black
Respondent 7	Community	Tribal Authority Representative	Male	Black
Respondent 8	Government	Provincial Executive Committee Member	Male	Black
Respondent 9	Community	Task Team Village Leader	Female	Black
Respondent 10	Community	Task Team Village Leader	Female	Black
Respondent 11	Community	Task Team Village Leader	Male	Black
Respondent 12	Government	Local Government (Municipality)	Male	Black
Respondent 13	Government	Local Government (Municipality)	Male	Black
Respondent 14	Company	Social Performance Coordinator	Female	Black
Respondent 15	Government	Provincial Executive Committee Member	Male	Black
Respondent 16	Government	Local Government (Municipality)	Male	White
Respondent 17	Company	Social Performance Coordinator	Male	Black

Note: * The name of the task team was omitted and called X task team to render anonymity

We conducted a pilot with two respondents to ensure validity of the instrument (Kimberlin and Winterstein, 2008). Transcripts of the recorded interviews allowed for repeated reading of the data to pull out the evidence sought (Polkinghorne, 2005). The qualitative research design offered the opportunity to analyze the company's value creation. When using interview data, triangulation is required from various sources, including public and private documentations, reports and online material (Yin, 2010).

Data Analysis

Qualitative thematic analysis was conducted using the Computer-aided Qualitative Data Analysis Software (CAQDAS) called ATLAS.ti. A total of 183 codes were obtained. The codes were then categorized into 21 code categories from which 10 themes emerged (See Table 2).

Table 2: Codes, Code Groups and Themes

Number of Codes	Code Group	Theme
6	Shared benefits of mining	Institutionalized CSR
1	No understanding of concept	
5	Bad image of mining	Legacy of mining
10	Perception of poor relationship	
14	Government services lacking	Barriers to shared value segmented Direct barriers by government Direct barriers by company Indirect barriers by ecosystem
3	Uncommon agendas	
9	Company management of relationship	
6	Community is a key stakeholder	Social sustainability not executed as strategy
8	Communities as strategy lacking	
12	Consideration of all parties	Interdependence as an enabler
9	Collaborative effort from all	
5	Entrepreneurship by community to mine	Shared value implementation
4	Skills development/ transfer	
7	Multi-party collaboration	
5	Community role towards shared value	Multi-party roles towards shared value implementation
20	Company role towards shared value	
15	Government role towards shared value	
9	Relational aspects important for shared value	Honesty, transparency, trust and engagement
17	Establishing and maintaining trust	Importance of trust
13	Causes of distrust	
4	Hopeful	Desire for a better relationship
183	21	10

The researchers remained open and flexible to avoid researcher bias and allowed the data to speak for itself. Research credibility was enhanced through peer verification of the codes used in a random sample of transcripts. In addition, two respondents were asked to review their individual transcripts to provide a member check.

Results

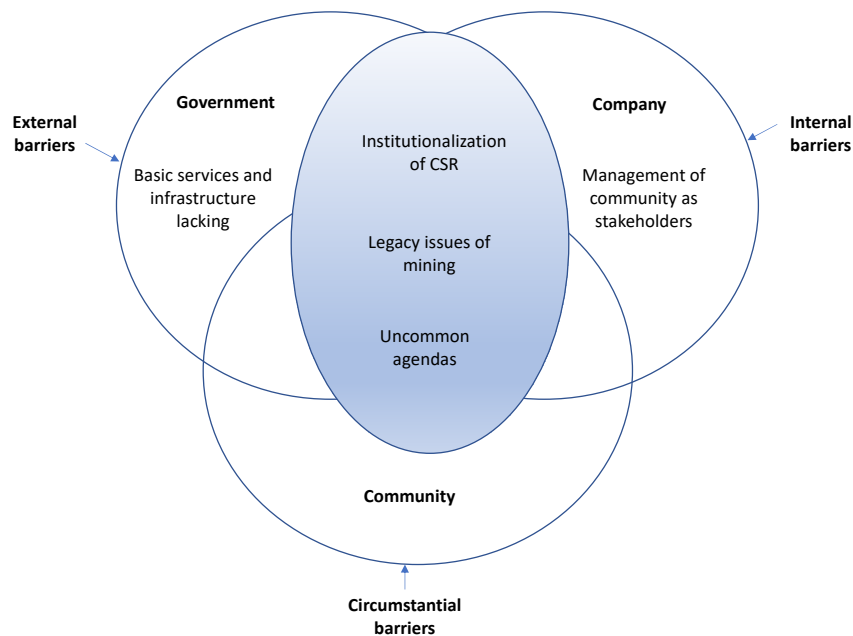
The purpose of the research was to explore multi-stakeholder relationships towards shared value at a platinum mine. The following themes emerged in response to each research question.

Research Question 1: What are the enablers and barriers for the concept of shared value to be effective?

The answers to this question revealed specific themes around the barriers to SV, including direct and indirect barriers as well as perceptions about the company. See Figure 2 for an illustration of these barriers. The SV concept was unfamiliar to the respondents at this mine. Those who indicated some understanding referred to the concept as “sharing benefit between all”. A community leader understood SV to mean:

“Shared value according to my understanding, I think it’s what the mine got they must share with the communities” (Respondent 11)

Figure 2: Graphical summary of barriers to shared value



Researchers' own synthesis based on interview data

The barriers to SV are either direct or indirect. Direct barriers are those imposed as a direct result of action or inaction from a certain group (company, community or government). Indirect barriers are those imposed by the systemic factors within the context, such as the culmination of rules, regulation, historical context and legacy. The direct barriers that emerged were those imposed both by government and the company.

Indirect barriers were common to all three groups of social actors in the study. They were not the direct result of action or inaction by one party but rather, they arose from different agendas (hereafter referred to as uncommon agendas) between the mine and government as well as between the different facets of the community structure.

It emerged that the company's Social Labour Plan, a directive from government as part of the Mining Charter of 2018, and the local municipality's Integrated Development Plan (IDP) were largely misaligned and lacked any consideration for what the community felt it needed. As Respondent 8 from government related:

"The problem between municipalities and corporates is that they do not align their individual development programmes."

All social actor groups in this study (government, community and company) referred to the capitalist nature of the mining industry and how relationship barriers present themselves in the form of a lack of transparency between parties. The community perceived the mine to be dishonest, exploiting it with no equitable sharing of the wealth generated.

"So, the system itself does not care about the local people because it is interested in maximization of profit, and that is inherent in the capitalist system"
(Respondent 15 - from government)

“We should be the ones who know everything about things that happen, in the mine, but we don’t know” (Respondent 9 – from community)

“And during apartheid for example they were seen as just capitalists who are there to take the minerals from the land and take them elsewhere.”

(Respondent 1 – from company)

The above quotes illustrate that the community and government stakeholders do not perceive the company as caring about its stakeholders yet believe it has a moral obligation to treat its stakeholders fairly and honestly. This finding is concerning, given that our literature review highlighted the importance of treating stakeholders ethically. We refer back to this finding in the discussion section below.

Barriers are also created because of the bilateral leadership structure in the surrounding communities. There is no longer one body representing the community as there is a tribal structure as well as local community representatives. Misalignment therefore occurs between the two tribal authorities and the company’s task team.

“Now the government thinks of building a school somewhere, corporate thinks of building a school – in the same area – now... the government does their own things, and the corporate does their own things.” (Respondent 8 – from government)

Direct barriers imposed by the company

Most respondents viewed the relationship between the mine and the community as being riddled with distrust, a lack of transparency and poor engagement. The relationship between the mine and government also lacked meaningful engagement, apart from compliance discussions. The community and government actors both felt strongly that there was a lack of quality and quantity engagement from the company.

Although all respondents unanimously agreed that communities are key stakeholders and are managed strategically on paper, all social actor groups agreed that management of communities as important stakeholders, is lacking:

“... absolutely nothing we can do in this land without our communities’ buy in. So, they are the key stakeholders for our mine to operate” (Respondent 14 – from company)

“... the bottom-line performance for us is currently still number one, and not so much sustainability”; “We are not living our strategy yet.”(Respondent 3 – from company)

Community actors displayed anger at the lack of execution of social sustainability as strategic intent. However, CSR in this context is involuntary and mandated through the Mining Charter specification that each mine implement an SLP. The community sees and appreciates this for what it is, a superficial arrangement between the mine and government that allows the mine to continue to operate, but avoids any meaningful relationship.

Direct barriers imposed by government

Government services and infrastructure are lacking. Communities are dealing with the serious degradation of educational and health facilities as well as a major shortage of water and sanitation, thereby confining them and future generations to rural life. This finding was unanimous among all social actor groups and speaks to whether it is even possible for SV to be considered and implemented in areas that lack the basic services.

“Infrastructure is definitely one aspect and there are a lot of role players there, of which the mine is one, the municipality is one” (Respondent 16 – from government)

The government and community actors indicated that there was an expectation for the company to step in and provide these services. Hence the onus of social transformation transfers to the company. CSR requirements are largely around infrastructure development and basic services.

Table 5 below summarizes the findings of research question 1 and illustrates which of the enablers were mentioned across the three stakeholder groups, namely the company, government and community. For example, the lack of a common agenda between the mine and government was a barrier that only the community respondents mentioned. Respondents from the company mentioned poor execution of strategy as a barrier.

Research Question 2: What are the current and future potential impediments to the operationalization of shared value?

The community respondents were very vocal about wanting entrepreneurship opportunities from the mine. However, the mine's lack of transparency emerged as a major impediment to entrepreneurship. This created negative perceptions of the mine which were viewed as not being open to sharing mining processes with the community, thereby preventing community innovation and not allowing it to provide services and procurement to the mine.

“And one of the things that the community was fighting for was to say ‘let us have the local entrepreneurs being part of what is happening.... they are able to identify business opportunities’ (Respondent 6 – from community)

“...is to build the necessary capacity within communities, ...so that they can ... seize these opportunities... and they are not just becoming spectators of the process.” (Respondent 15 - from government)

Unfortunately, the social actors in the context of this research are not all equal partners and the current lack of multi-party collaboration emerged as a further impediment to the implementation of SV. Low levels of collaboration, stemming from poor engagement, were thought to hinder the relationship and create a strong barrier to SV.

For SV implementation, each stakeholder (company, community and government) has a role to play. A role common to all three social actors is multi-party collaboration (See table 4).

“In it, inherent is collaboration...It must not fall by the cracks...and with working together we can do more” (Respondent 15 – from government)

Table 3: Roles of stakeholder groups in collaboration towards SV

Roles of stakeholder groups in collaboration towards SV	Government	Company	Community
Developing infrastructure	X	X	
Offering basic services	X	X	
Initiate relationship			X
Innovation			X
Support other stakeholders	X		
Transparency		X	
Oversight of development programs	X		
Monitoring of development programs	X		
Address legacy issues		X	
Skills development		X	X
Multiparty collaboration	X	X	X

The various roles which the stakeholder groups play towards collaboration to implement SV are described in table 3. The next table, table 4 below summarizes the findings of research question 2 and shows the subgroup of the sample from which the themes emerged. For example, the theme that the community must become innovative emerged from all three subgroups.

Research Question 3: What are the critical success factors for trust to be established and maintained between the parties?

Respondent 2 from the company related the lack of trust to legacy issues of broken promises and unmet needs:

“Because as we speak now we are still sitting with legacy issues, where the community is saying ‘We were promised X but it was never delivered’. And that has contributed to this mistrust.”

Honesty, transparency, trust and engagement emerged as key relationship themes that could enhance the relationship aspects between the parties. These aspects are not mutually exclusive and form an interlinked system in which one leads to the other. The importance of honesty, transparency, trust and engagement is further linked to multi-party interdependence. Both the number and quality of engagements were a cause for concern in the relationship between the parties. The community, identified as the lowest power group, felt that engagements lacked substance and transparency.

In the current dynamics, the community appears to be the only party that perceives risk, whereas the mine and government are not in a position of risk.

“They just have to be honest, if community asks for something if they don’t have it, then they just have to be honest and say we don’t have that kind of things, but we can help on this one” (Respondent 9 – from community)

The current power dynamic prevents the community from overcoming its resource dependency on CSR activities.

“And you are from the community, you don’t have money, and you’re looked down upon. You know, it is like you are seen as if alone you cannot make it therefore you are here because you depend on others. It destroys the trust” (Respondent 6 – from community)

There was also a perspective that the community must be more vocal about what it needs. Government respondents related the following:

“We always go to them and say, ‘we’re going to build ...’ – no! It must be a bottom up approach where the community tells us as government that this is what we want.” (Respondent 8)

“It should have happened a long time ago already and then we would not be sitting with the problems that we are sitting with at this stage” (Respondent 16)

Table 4 below summarizes the themes under research question 3 and shows from which subgroups these themes emerged. For example, the community mentioned that both honesty and respectful engagement were lacking.

Table 4: Themes from research questions and which stakeholder group presented the theme

Themes from research questions (RQ)	Company	Government	Community
RQ 1: What are the enablers and barriers to the concept of shared value to work?			
Poor understanding of the concept SV	X	X	X
Institutionalization of CSR	X	X	X
Legacy of mining (bad image)		X	X
Government services lacking	X	X	X
Company must aid in the provision of basic services	X	X	X
Poor management of stakeholder relationship		X	X
Uncommon agendas between the mine and government			X
Community is considered strategically	X		
Execution of strategy is poor	X		
Interdependence is an enabler of shared value	X	X	X
RQ2: What are the current and future potential impediments to the operationalization of SV?			
Entrepreneurship is key to SV operationalization	X	X	X
The mine is not transparent		X	X
Current levels of multi-party collaboration are low		X	X
Government and company to provide infrastructure and basic services	X	X	X
Upskilling is the role of the company and government		X	X
The community must become innovative	X	X	X
RQ3: What are the critical success factors for trust to be established and maintained for all parties?			
Honesty is lacking			X
Engagement (frequency and quality) is lacking		X	X
Trust and transparency are key to SV	X	X	X
Trust is enabled by delivering on commitments made		X	X
Trust and engagement are interlinked	X	X	X
Dishonesty leads to mistrust	X	X	X
Lack of respect during engagements causes distrust			X
Hope for the future	X	X	X

Source: Researchers own compilation, based on interview data

Discussion

Barriers and enablers to multi-stakeholder relationships towards shared value

Treating stakeholders well has advantages in the short- and long-term (Busch and Friede, 2018); however, the excerpts from the interviews quoted in this article illustrate that government and community respondents did not perceive the mine as treating stakeholders well. Instead, mine management was perceived as capitalist and uncaring. Interestingly, the mine had contributed to the social and economic development of the area through multiple CSR projects. The question remains, how is it that the mine has made valuable contributions but community perceptions about these are negative? Has the lack of a deontological normative ethics approach of the company towards its CSR projects perhaps led to these negative perceptions? The deontological normative ethics approach would entail engaging with the community and doing what is right by being of service to the community.

It seems that because the Mining Charter forces companies to conduct CSR projects, government and communities do not perceive these as voluntary or discretionary - as they would be if there were a philanthropic CSR approach (Carroll, 1996). It seems as if the CSR initiatives are representative of a business case, or strategic, CSR approach (Busch and Friede, 2018). Galbreath (2006) explains the citizenship approach and Donaldson and Preston (1995) the Social Contract Theory approach, which involve engagement with communities that goes further than mere cash donations, or doing just enough to retain a license to operate. It appears from the interview data that more investment in relationships with stakeholders would benefit the company, encourage these primary stakeholders to reciprocate with pro-organisational behaviour and contribute to value creation (Bosse and Coughlan, 2016; Bridoux and Stoelhorst, 2014; Hahn, 2015). We elaborate on this aspect in the implications for business section below.

In developing countries, CSR is significantly more than mere philanthropy, as Valente and Crane (2010) report. The regulation of CSR creates compliance and not co-creation and collaboration towards common goals. This could explain why the institutionalization of CSR poses a major barrier to SV. Different, or uncommon, agendas between the social actors emerged as a further indirect barrier. Indirect barriers are what Kramer and Pfitzer (2016) refer to as the eco-system. This is where societal conditions and limitations imposed by the government have resulted in barriers that are a result of the culmination of these factors (Kramer and Pfitzer, 2016).

Barriers that exist as a direct result of government inaction are those associated with a lack of infrastructure and basic services like water and sanitation, confirming previous studies in developing countries (Valente and Crane, 2010; Scherer and Palazzo, 2011). SV in the context of a developing country with large social issues can perhaps exist as a hybrid between the true definition of SV and that of CSR. In this instance, the company does not profit from infrastructural spend but the reputational benefit to its image, in the eyes of the community and government, could ensure SV succeeds down the line. This approach to consider the reputation of the company, points to a utilitarian or teleological normative ethics approach to CSR.

The question could thus be asked as to whether a deontological normative ethics approach could have contributed to enhanced stakeholder relationships, as the community and government would have trusted the company to treat all stakeholders fairly and honestly simply because it was the right thing to do, and not because it paid.

The barriers that are a direct result of the company are based on its bargaining power and reign over the network. The current dynamic is one in which the company owns all the power in the relationship and the community and government recognize and resent this. CSR perpetuates this dynamic (Rajak, 2011). As communities around this mine appear not to be managed strategically, this supports the view held by Porter *et al.* (2011) that CSR is not considered part of the strategy because it is an expense to the company. If the company is to explore SV, it is imperative to consider the communities as strategic partners (Thompson and Bunderson, 2003).

Enablers for successful SV were all related to the relational aspects between the mine, community and government. This resonates well with the literature which revealed that monetary donations on their own are inadequate to gain community acceptance and collaboration (Moffat and Zhang, 2014). Community involvement in social strategies, as well as collaboration in practice, are key enablers of SV. It is also imperative that the relationship migrates from dependence to interdependence (Erdiaw-Kwasie *et al.*, 2017).

Multi-stakeholder relational aspects important for SV

This study explored the roles of each stakeholder group in operationalizing SV and found many co-distributions of roles. However, the only role shared among all three social actor groups was multi-party collaboration. A further shared role emerged between the company and the community: the company must provide skills transfer to the community and the community must be able to absorb this knowledge and use it to its advantage and for economic upliftment. This is termed knowledge absorption capacity (Campos-Climent and Sanchis-Palacio, 2017). The relationship aspects that emerged as important for SV are honesty, transparency, trust and engagement. For SV to be effective, a diverse set of multi-party stakeholders needs to co-create value for the benefit of all. Relationship motives, where co-creation is driven through partnerships and collaboration between the stakeholders, have been identified as reasons for multi-party stakeholders to engage in co-creation (Pera *et al.*, 2016).

Interdependency is one of the conditions for trust to be established (Rousseau *et al.*, 1998). Although this condition is present in this study, trust is lacking. The other condition for trust to be established is risk (Rousseau *et al.*, 1998). The company and government do not feel at risk from the community in any way and yet the community feels very vulnerable to risk. For trust to be established so that SV can be implemented, it is imperative that the company address legacy issues, by for instance admitting non-delivery on former promises and attempting to reshape the eco-system. The company can and must play a central role in shaping the eco-system (Kramer and Pfitzer, 2016). This role has to be shared by government.

Theoretical implications

The current study contributes to theory as follows: this study addresses the theoretical gap of a normative ethical approach in the existing literature on SV. We contributed and illustrated (see Figure 1) that SV has a teleological normative ethical orientation similar to instrumental stakeholder theory and strategic CSR. This utilitarian approach revealed a negative impression on the side of stakeholders, which caused a lack of trust. The current study therefore contributes the importance of the relationship with stakeholders as the foundation of SV and CSR, such as the community around the mine. Figure 1 also illustrates this foundation. This study also highlights that a pure SV approach is unlikely in an environment where a mine has to assist in developing infrastructure, which usually is expected from local government. Therefore, a hybrid model of a combination of SV and CSR might be better suited in these emerging market environments. This is an area for future studies, where the concept of a hybrid model of CV/CSR combination could be developed and operationalized. The next section pays attention to more recommendations for future research.

Limitations and future research directions

The research was conducted at a platinum mine and the stakeholder groups were specific to the mine in question, its surrounding communities and the local and provincial government in the area. The findings can therefore not be generalised. The study was a cross sectional exploration of multi-party collaboration towards SV, whereas a longitudinal study could have been more effective to track changes in these relationships over time. Some insights into the relational barriers were uncovered, such as the lack of transparency and engagement. Future research could expand on this and try to understand the root cause. It could also examine ways to overcome these barriers and then embark on a longitudinal study to check the effectiveness of the proposed solutions. A quantitative survey based study could establish the hierarchy of relationship aspects, which would assist in a better fundamental understanding.

Despite elaborate CSR legislation, South Africa is still plagued by deep social issues. Future research could explore ways of addressing the inequality as a root cause. Future research could investigate the impact of different normative ethical approaches to CSR and CV on the perception of stakeholders about the company's trustworthiness, benevolence and fairness.

Practical implications for business, government and communities

SV could significantly impact social upliftment in a meaningful way. However, it cannot be implemented by applying the same framework used in the examples and the literature of Porter and Kramer (2011). The SV concept in South Africa, in the context of this mine, can exist as a hybrid with CSR. Reasons for this pertain to the institutionalization of CSR and the expectation from all the stakeholders that companies will assist with functions traditionally forming part of government's responsibilities. This study revealed that mines have to invest in their relationships with their stakeholders to elicit pro-organisational behaviour, and for those stakeholders to reciprocate and contribute to value creation.

The multinational company which was operating the mine where the study was undertaken, declared in their Sustainability Report (2019) that they are serious in gaining the trust of local communities and even report on CSR projects which seem impressive. However, the findings

in the current study revealed a lack of trust between the local community and the mine's management. This finding indicates that intentions on a global head office level, might not trickle down to the local mine management level. A practical implication of this study is that multinational mining companies could benefit from regular audits on the relationship between mining sites' management and their local surrounding host communities. Independent audits from companies such as the International Organisation for Standardisation (ISO), might assist multinational mining companies in assuring that the local mines are meeting the international standards on sustainability, such as represented by the ISO 26000:2010 (ISO, 2010).

Mining companies should be aware and conscious of the historical legacy of mining as well as the impact and contribution of this on the larger context or eco-system. This directly impacts perceptions and attitudes, and if these perceptions remain uncovered and unaddressed they could destroy the relationship to the extent that it becomes non-existent. It appeared that an intervention was required, where the discussion and tensions among the stakeholder groups could be facilitated towards an increased understanding and resolution. Many of the barriers are relational in nature and will not disappear with time. It will require a targeted, concerted design to create the relational aspects identified in this study as important to all stakeholders.

Government must consider the negative effects of the institutionalization of CSR and must realise the negative perception of communities for the non-delivery of infrastructure and basic services. Government should consider collaborating with companies to align Social Labour Plans and the IDP so as to allow the community to gain basic needs and infrastructure - catalysts and pre-requisites for economic activity. Government, with the authority it holds, is well positioned to use its stature for the benefit of the eco-system and create a tri-partite alliance with the company and community to align agendas and work towards common goals.

Communities should consider campaigning, through their political leaders and tribal representatives, for the alignment of government and company agendas, specifically related to their basic services and infrastructure needs. With adequate knowledge of the mining process, communities would be able to provide procurement and services to the company, which in turn could provide sustainable relief from poor socio-economic conditions.

The study contributes a theoretical differentiation between CSR and stakeholder theory and SV, as well as describing their normative ethical approaches. The qualitative study illustrates and confirms the importance of engagement with stakeholders and contributes further questions around how the different normative ethics approaches to CSR and SV could lead to more mutual value creation.

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