

**Social Impact Assessment as a tool for social development
in South Africa: An exploratory study**

by

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Abstract

Social Impact Assessment as a tool for social development in South Africa: An exploratory study

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South Africa faces many development challenges, of which poverty and inequality are the most significant. Social development is one of the mechanisms used in an attempt to address some of the developmental challenges. The South African government adopted a developmental approach to social welfare. However, a history of institutional human rights abuse in the form of Apartheid has left a legacy. An area in which social development is failing to gain traction is in the corporate sphere. Industrial projects often require a Social Impact Assessment (SIA) in compliance with environmental laws, but this is demonstrated to be a grudge expenditure that is only supported to obtain authorisation for the development rather than a genuine commitment to social change. However, SIA and social development have common traits. The goal of this study was to explore whether SIA can be used as a tool for social development in the South African context.

The theoretical framework of the study is embedded in social development which underpins the context of poverty, human rights, developmental social work and a social protection floor. An exploratory sequential mixed methods design was used for the study. The first qualitative phase of the study used an instrumental case study design and the second quantitative phase used a structured non-participant observation design. For the qualitative study data was collected through 24 semi-structured interviews with SIA practitioners who was selected through purposive and snowball sampling methods, and three World Cafés. For the quantitative study, data was collected through a cross-sectional survey analysing fifteen SIA reports that were produced between 2008 and 2014 to determine the extent that it reflects social development goals.

The research findings indicate that social development is a desired outcome of the SIA process, but that SIA practitioners have insufficient knowledge about it. This lack of knowledge amongst SIA practitioners is an obstacle in achieving the preferred result of utilising SIA as a tool for social development. The findings show that SIA provides opportunities to strengthen the government's means to implement its social development strategies, but SIA's potential is diluted if it is only used for regulatory purposes.

The study recommends changes in the practice of SIA to ensure that it is used as a tool for social development. The proposed strategy devolves SIA decision-making to the local government level, with input from civil society and the private sector. It proposes structures that ensures that technical support is available to support the government. It also proposes mechanisms for representation of communities in the decision-making forum. The proposed strategy elevates SIA to a tool for social development that is able to serve the developmental agenda of government while facilitating partnerships and ensuring community development benefits. A critical requirement for the successful adoption of the model is capacity development in local government, among SIA practitioners, communities and the private sector. A strong social development component in the capacity development and best practice is required. The contribution of such a structure will enhance the social protection floor in South Africa.

Key concepts/terms:

Social development

Social Impact Assessment

Social development tool

Sustainable development

Social work

South Africa

Environmental management

Social development outcomes

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13 April 2015

SIGNATURE

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Acronyms

ACSPSP	Africa Civil Society Platform for Social Protection
ADB	African Development Bank
AUC	African Union Commission
BEE	Black Economic Empowerment
CA	Consent Agreements
CBA	Community Benefits Agreements
CDA	Community Development Agreements
CoGTA	Cooperative Governance and Traditional Affairs
CRM	Community Relations Manager
CSI	Corporate Social Investment
CSR	Corporate Social Responsibility
DBSA	Development Bank of South Africa
DEA	Department of Environmental Affairs
DEA&DP	Department of Environmental Affairs & Development Planning
DFA	Development Facilitation Act 67 of 1995
DFA	Development Forum Agreements
DMR	Department of Mineral Resources
DPLG	Department Provincial and Local Government
DWA	Department of Water Affairs
EAPSA	Certification Board for Environmental Practitioners in South Africa
ECA	Economic Commission for Africa
ECO	Environmental Control Officer

EIA	Environmental Impact Assessment
EMP	Environmental Management Plan
EPWP	Expanded Public Works Programme
FAO	Food and Agriculture Organization
FPIC	Free, Prior, Informed Consent
GCAPSA	Global Call to Action Against Poverty – South Africa
GESS	Global Extension of Social Security
GRI	Global Reporting Initiative
HIV	Human immunodeficiency virus
IAIA	International Association for Impact Assessment
IBA	Impact and Benefit Agreement
ICGP	Interorganizational Committee for Guidelines and Principles for Social Impact Assessment
ICMM	International Council on Mining and Metals
IDP	Integrated Development Plan
IDS	Institute for Development Studies
IFC	International Finance Corporation
ILO	International Labour Organisation
ILUA	Indigenous Land Use Agreements
IMF	International Monetary Fund
ISO	International Organisation for Standardisation
IWGIA	International Work Group for Indigenous Affairs
LA21	Local Agenda 21

LDO	Land Development Objectives
LFTAS	Local Government Turnaround Strategy
MDG	Millennium Development Goals
MDGR	Millennium Development Goal Country Report
MPRDA	Mineral and Petroleum Resource Development Act 28 of 2002
NA	Negotiated Agreements
NCOP	National Council of Provinces
NDP	National Development Plan
NEMA	National Environmental Management Act 107 of 1998
NEM:AQA	National Environmental Management: Air Quality Act 39 of 2004
NEM:WA	National Environmental Management: Waste Act 59 of 2008
NGO	Non-Government Organisation
NHRA	National Heritage Resources Act 25 of 1999
NPC	National Planning Commission
NPO	Non-Profit Organisation
NWA	National Water Act 36 of 1998
NSC	National Senior Certificate
NSSD1	National Strategy for Sustainable Development and Action Plan
NTA	Native Title Agreements
OECD	Organisation for Economic Co-operation and Development
PAJA	Promotion of Administrative Justice Act 3 of 2000
PGDS	Provincial Growth and Development Strategies
PICC	Presidential Infrastructure Coordinating Commission

RSA	Republic of South Africa
SABS	South African Bureau of Standards
SADC	South African Development Community
SAIRR	South African Institute of Race Relations
SANS	South African National Standard
SLAPP	Strategic litigation against public participation
SMMP	Social Management and Monitoring Plan
SPF	Social Protection Floor
SIA	Social Impact Assessment
SIMP	Social Impact Management Plan
SLP	Social and Labour Plan
SSIAPF	Strategic Social Impact Assessment Forum
StatsSA	Statistics South Africa
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
WCSDG	World Commission on the Social Dimension of Globalisation
WEF	World Economic Forum

Table of Contents

Chapter 1. General orientation and introduction	1
1.1 Introduction	1
1.2 Problem statement and rationale	8
1.3 Research goal and objectives	10
1.4 Research methodology	11
1.5 Structuring of the thesis.....	12
Chapter 2. Theoretical framework for the study	14
2.1 Introduction	14
2.2 Schematic representation of theoretical framework.....	14
2.3 Developmental social work.....	16
2.3.1 Social development	18
2.3.2 Social security and the social protection floor.....	23
2.3.3 Social work and the bio-physical environment.....	30
2.4 Poverty	32
2.4.1 Defining poverty	32
2.4.2 Poverty and inequality	38
2.5 Human rights.....	46
2.6 Summary	53
Chapter 3. SIA in the South African context	54
3.1 Introduction	54
3.2 Social Impact Assessment	54
3.3 The South African context for SIA	56
3.3.1 Geography, demographics, migration and xenophobia	56
3.3.2 Culture, race and reconciliation.....	60
3.4 Government and administration.....	65
3.5 Social Impact Assessment international best practice.....	69
3.5.1 Free, Prior, Informed Consent	71
3.5.2 Impact and Benefit Agreements	77
3.5.3 Social Impact Management Plans.....	81
3.6 Summary	83

Chapter 4. Legal and institutional framework for social development in the environmental field	85
4.1 Introduction	85
4.2 The Constitution of the Republic of South Africa 1996	86
4.3 South African Environmental and Social Development Legislation	87
4.3.1 The National Environmental Management Act 107 of 1998	88
4.3.2 The National Water Act 36 of 1998	90
4.3.3 The Mineral and Petroleum Resources Development Act 28 of 2002	91
4.3.4 The National Heritage Resources Act 25 of 1999	94
4.3.5 Promotion of Administrative Justice Act 3 of 2000	95
4.3.6 Development Facilitation Act 67 of 1995	96
4.3.7 The White Paper for Social Welfare (RSA, 1997)	98
4.3.8 The White Paper on Population Policy (RSA, 1998a)	101
4.4 Additional governance tools	103
4.4.1 Local Agenda 21	103
4.4.2 Integrated Development Plans	105
4.4.3 Provincial Growth and Development Strategies	107
4.4.4 National Development Plan	108
4.4.5 Millennium Development Goals	111
4.5 National and international standards	114
4.5.1 ISO 26000:2010/SANS 26000:2010	115
4.5.2 International Social Performance Standards/Initiatives	116
4.6 Summary	118
Chapter 5. Research methodology	122
5.1 Introduction	122
5.2 Research paradigm and approach	122
5.3 Type of research	127
5.4 Research design	128
5.4.1 Qualitative study	128
5.4.2 Quantitative study	129
5.5 Research methods	130

5.5.1	Study population and sampling	130
5.5.2	Data collection	134
5.5.3	Pilot study	140
5.5.4	Data analysis	141
5.6	Reliability, validity and trustworthiness of the data	143
5.6.1	Qualitative study.....	143
5.6.2	Quantitative study	145
5.7	Reflexivity.....	147
5.8	Ethical aspects.....	148
5.8.1	Voluntary participation.....	149
5.8.2	Informed consent	149
5.8.3	Anonymity and confidentiality	149
5.8.4	Cooperation with contributors	150
5.8.5	Publication of the findings	150
5.9	Limitations of the study	150
5.10	Summary	152
Chapter 6.	Presentation of empirical findings	153
6.1	Introduction	153
6.2	Qualitative study: Insights in current SIA practice	153
6.2.1	Theme 1: Motivation for SIA from the perspective of different role players ...	156
6.2.2	Theme 2: Current challenges to SIA practice from different perspectives.....	158
6.2.3	Theme 3: Important aspects to consider when conducting SIA	165
6.2.4	Theme 4: Ensuring more effective SIA in a number of ways	170
6.2.5	Theme 5: Improving the practice of SIA	174
6.2.6	Summary of qualitative findings	178
6.3	Quantitative study: Inclusion of social development aspects in SIA reports	180
6.3.1	Description of the quantitative sample	180
6.3.2	Presentation of findings.....	184
6.3.3	Guttman analysis of the findings	193
6.3.4	Summary of quantitative findings	200
6.4	Summary	201

Chapter 7. Discussion of empirical findings	202
7.1 Introduction	202
7.2 Discussion of themes	202
7.2.1 Theme 1: The potential of SIA to contribute to social development outcomes	202
7.2.2 Theme 2: Relationship between the practice of SIA and the government	208
7.2.3 Theme 3: Relationship between SIA practice and community involvement....	213
7.2.4 Theme 4: SIA practice and its relationship with the private sector.....	221
7.2.5 Theme 5: Professional development in the SIA field required to strengthen and improve SIA practice	231
7.3 Summary.....	237
Chapter 8. Conclusions and recommendations	239
8.1 Introduction	239
8.2 Goal and objectives of the study	239
8.3 Key findings and conclusions	242
8.4 Recommendations.....	246
8.4.1 Strategy to implement SIA as a tool for social development	247
8.4.2 Recommendations regarding the processes followed by different stakeholders to implement the strategy	252
8.4.3 Recommendations regarding operational issues	255
8.4.4 Recommendations for the implementation of the strategy and future research	259
References.....	261
Appendix A	297
Appendix B	300
Appendix C	303
Appendix D	306

List of Tables

Table 5.1: Results of Cohen’s Kappa	145
Table 6.1 Themes and sub-themes that emerged from the qualitative study	155
Table 6.2: Effectiveness of SIA as a development tool in South African context	194

List of Figures

Figure 2.1 Theoretical framework for the study	15
Figure 3.1: Map of South Africa indicating the nine provinces	57
Figure 6.1: Authors’ qualifications of the reviewed SIA studies.....	181
Figure 6.2: Sectors in which the reviewed SIA studies were located	182
Figure 6.3: Geographic location of the reviewed SIA studies.....	183
Figure 6.4: Analysis of legal and institutional mandate coverage in SIA reports	187
Figure 6.5: SIA reports potential to be used as a tool for social development	189
Figure 6.6: Scope of mitigation in SIA reports.....	192
Figure 8.1: Flow diagram illustrating the implementation of the proposed SSIAF strategy	252

Chapter 1. General orientation and introduction

1.1 Introduction

South Africa faces a number of challenges such as poverty, inequality, unemployment, an education system that yields below global average results, migration, inadequate healthcare, insufficient energy, water quality and quantity issues, food security, crime and corruption. These challenges can be classified under the social, economic and biophysical environment, which form the three pillars of sustainable development (Mauerhofer, 2013:63). At the 1992 United Nations Conference on Environment and Development (or Earth Summit) in Rio de Janeiro, and a decade later at the 2002 World Summit on Sustainable Development (Earth Summit +10) in Johannesburg, the world embraced the concept of sustainable development to redress impending problems of poverty and environmental degradation (Aucamp, Woodborne, Perold, Bron & Aucamp, 2011:38). The need for sustainable development was reaffirmed at the Rio+20 conference that was held in 2012, 20 years after the original meeting (UNGA, 2012). It was affirmed that the eradication of poverty is the greatest challenge facing the world and a crucial requirement for sustainability (UNGA, 2012). The outcomes of the Rio+20 conference are summarised in a document titled: *The future we want* (United Nations (UN), 2012).

The balance between a sustainable future and present needs rests on three pillars: social development, economic development and environmental protection (Aucamp et al., 2011:40). These are echoed in *The Future we want* when it states that: “*We recognise that people are at the centre of sustainable development and in this regard we strive for a world that is just, equitable and inclusive, and we commit to work together to promote sustained and inclusive economic growth, social development and environmental protection and thereby benefit all*” (UN, 2012).

The Millennium Development Goals (MDGs) comprise a set of eight sectorial targets defined at the Rio+10 conference as points of action supporting sustainable development that were supposed to be implemented by signatory nations by 2015 (UN, 2014a). The MDGs aim to address issues such as poverty, education, inequality, child mortality, maternal healthcare, diseases, environmental sustainability and economic partnerships (UN, 2000). The 2013 Millennium Development Goal Country Report (MDGR) (Republic of

South Africa [RSA], 2013a) published by the South African government critically reviews South Africa's progress against the MDGs, and indicates that South Africa obtained mixed results. Paradoxically, achieving these goals is embedded in the country's future development agenda via various policies (RSA, 2013a:13). The MDGs and future sustainable development goals therefore continue to form part of the development agenda in South Africa.

At the Rio+20 conference a mandate was given to establish an open working group to identify a set of sustainable development goals post-2015 (UN, 2014a). The United Nations Open Working Group of the General Assembly identified seventeen sustainable development goals, built on the foundation of the MDGs, which will be considered at the special summit on sustainable development in September 2015 (UN, 2014b:13). It is important to consider that the existing MDGs will not fall away, but will be supplemented by the seventeen new goals, which were designed to fill key sustainable development gaps (UN, 2014b:14). The new development agenda is people-centred and planet-sensitive, therefore it reaffirms the interwoven relationship between people and the environment (UN, 2014b:14).

Although social and economic aspects have for a long time been part of the sustainable development framework, the debate on sustainable development has focused primarily on ecological issues such as climate change, CO₂ emissions, waste and soil, water and air pollution (Bijl, 2011:157), especially in the field of environmental management. In the last few decades, concepts related to environmental sustainability – including social, environmental and economic aspects - have advanced significantly in policies across the globe (Corrigan, Crotti, Hanouz & Serin, 2014:53). The environmental movement concerns itself with the protection of the environment, in particular with the impacts of environmental damage on the health and wellbeing of both humans and ecosystems (Corrigan et al., 2014:53). The Environmental Impact Assessment (EIA) process is a policy and legislative framework that is used to integrate environmental concerns and sustainability issues in development planning (Saidi, 2010:2). The application and institutionalisation of EIA is part of the international sustainable development agenda

enshrined by the Earth Summit, World Summit on Sustainable Development and Rio+20 (De Lange, 2013:1).

South African environmental law is reported to be amongst the most advanced in the world (Mentis, 2010:14; Kotzé & Paterson, 2009:2). Although the South African definition of the environment does not explicitly refer to humans, humans are given a prominent role in terms of their interrelationship with the environment, meaning that the South African environmental legislation has a definite anthropocentric approach (Du Pisani & Sandham, 2006:712). Social Impact Assessment (SIA) is conducted as part of the EIA process in South Africa. Although SIA in itself is not legislated, it forms an integral part of the South African EIA milieu, and is largely responsible for ensuring that the social aspects of sustainability are considered as an outcome of the EIA process (Hildebrandt & Sandham, 2014:21).

The practice of SIA is guided by a set of *International Principles* that defines the core values, fundamental principles for development and principles specific to SIA practice (Vanclay, 2003:9). When the *International Principles* are considered, it is clear that SIA aspires to more than just assessing the impact of development on people, and includes sustainable outcomes. The following specific principles refer to these sustainable outcomes (Vanclay, 2003:9):

- Development projects should be broadly acceptable to the members of those communities likely to benefit from, or be affected by, the planned intervention.
- The primary focus of all development should be positive outcomes, such as capacity building, empowerment, and the realisation of human and social capital.
- The term “environment” should be defined broadly to include social and human dimensions, and in such inclusion, care must be taken to ensure that adequate attention is given to the realm of the social.
- Equity considerations should be a fundamental element of impact assessment and of development planning.
- There should be a focus on socially sustainable development, with the SIA contributing to the determination of best development alternative(s) – SIA (and

EIA) has more to offer than just being an arbiter between economic benefit and social cost.

- In all planned interventions and their assessments, avenues should be developed to build the social and human capital of local communities and to strengthen democratic processes.
- Local knowledge, experience and acknowledgement of different cultural values should be incorporated in any assessment.
- Development processes that infringe the human rights of any section of society should not be accepted.

SIA deals with development-induced social change. Although social change is a natural process that takes place continuously, there are projects and policies that trigger social change (Vanclay, 2002:192). This development-induced social change triggered by projects that require SIA is not voluntary, and is therefore often perceived in a negative light (Harvey & Bice, 2014:331). Social development also deals with a planned process of social change as it is defined as “...a process of planned social change designed to promote the wellbeing of the population as a whole within the context of a dynamic multifaceted development process” (Midgley, 2014:13). In contrast to development-induced social change triggered by SIA done in response to commercial undertakings, the outcome of social development is altruistic in that it promotes the general wellbeing of the population. Social development aims to synchronise social policies with procedures to advance economic development (Midgley, 1995:1). Midgley (2014:13-15) identifies key aspects of social development as a dynamic process, progressive in nature, forming part of a multifaceted process consisting of the integration of social, political, economic, cultural, environmental, gender and other dimensions. Furthermore, it is an interventionist process and requires input in different forms to achieve social development goals. Other key aspects of social development according to Midgley (2014:17) are that it is productivist, contributes positively to economic development and is committed to promoting people’s wellbeing. To complete the key aspects, Midgley (2014:16) states that social development is universalistic and concerned with the population as a whole rather than just with vulnerable and poor people.

Although development is approached from different angles, there seems to be a number of collective factors that link SIA with social development. South Africa has officially adopted a developmental approach to social welfare (Patel, 2005:1), therefore both SIA and social development form part of the policy and legislative framework in the country. Despite this, there seems to be little interaction between the two fields. Poverty and inequality remain some of the biggest challenges in South African society (National Planning Commission (NPC), 2012:3) and both SIA and social development have the potential to address these challenges. If existing theory, practice and resources can be shared and coordinated between the two fields, it will enhance the outcomes of both.

Environmental scientists dominate the environmental field in South Africa (Du Pisani & Sandham, 2006:713), and to ensure that the social aspects of environmental management receive adequate attention, it is necessary to identify an approach that will integrate social science more in the environmental management field. This study intended to determine whether SIA can be used as a tool for social development in South Africa and to what extent there are existing synergies with social development. It was an attempt to determine how the social aspect of sustainable development can be strengthened in the environmental management field through SIA. This could not be achieved without an understanding of the field of social development and how it links with SIA practice. The outcomes of this study were envisaged to enable all the role players in the field of SIA to identify links between SIA and social development, and to use these links to advance sustainable outcomes and contribute to sustainable communities.

The key concepts of the study are defined as follows:

Social Impact Assessment

The study adopted the official definition of SIA by the International Association for Impact Assessments as “...the process of analysing, monitoring and managing the intended and unintended social consequences, both positive and negative, of planned interventions (policies, programs, plans, projects) and any social change processes invoked by these interventions. Its primary purpose is to bring about a more sustainable and equitable biophysical and human environment” (Vanclay, 2003:6). This definition does not conflict with that of the Interorganizational Committee on Principles and Guidelines for Social

Impact Assessment (2003:231) that defines Social Impact Assessment as “... efforts to assess, appraise or estimate, in advance, the social consequences that are likely to follow from proposed actions”. SIA is viewed as a process dealing with all the human aspects of environmental management. It goes beyond the identification and assessment of impacts, and includes the management and monitoring of social impacts on the long term.

Social Development

Social development is context-specific and the international community has not adopted a single definition or conceptual framework. Embedded in the key aspects of social development (Midgley, 2014; 1995) as indicated above, in the broadest sense social development is “a process of planned social change designed to promote the wellbeing of the population as a whole within the context of a dynamic multifaceted development process” (Midgley 2014:13). Any definition of social development should discourage dependency; promote the active involvement of people in their own development; employ a multi-faceted and multi-sector approach; and encourage partnership between the state, provincial government and all other stakeholders in welfare (Gray, 1996:9).

The definition of social development adopted in this study places people in the centre of development efforts while encouraging partnerships between different role players as these elements are essential for sustainable and effective poverty reduction (World Bank, 2004:1). Social development contributes to poverty alleviation in different ways, including economic development, infrastructure development, skills development and social entrepreneurship.

Social development tool

The *Oxford English Dictionary* (2002) defines tool as “...a thing (concrete or abstract) with which some operation is preformed; a means of effecting something; an instrument”. The use of an instrument result in a certain outcome. An outcome is defined as the way things turn out or a consequence (*Oxford English Dictionary*, 2002). In this study, social development outcomes represent a process where the end result is social development which is achieved through a social development tool. In the context of this study a social development tool can be defined as the mechanism that is employed to ensure people are placed in the centre of development efforts. The mechanism integrates social and environmental development, whilst encouraging partnerships between different role players (in particular SIA and social development practitioners, including social workers). Furthermore social development integrates economic development and a social development tool is therefore an instrument that may be used to ensure that any process that is followed results in sustainable outcomes.

The World Commission on Environment and Development (1987:24) defines sustainable development as “*development that meets the needs of the present without compromising the ability of future generations to meet their own needs*”. Sustainability should therefore be the outcome of a social development tool.

Environmental Management

Environmental management is a complex concept, and a generic and concise definition does not exist (Nel & Kotzè, 2009:33). Environmental management is not concerned with the management of the environment per se, but rather concerned with the behaviour of humans and performance of organisations in keeping with environmental legislation, principles, criteria and standards (Nel & Kotzè, 2009:32). It is a process that includes the management of positive and negative impacts that can be associated with products, activities, services and facilities and includes the social, ecological and economic aspects of the environment (Nel & Kotzè, 2009:32). In the context of this study environmental management can be seen as the process of managing the potential impact that humans and their actions have on the environment, with environment being defined in the broad sense to include social, economic and ecological aspects.

1.2 Problem statement and rationale

The biggest challenges that South Africa as a nation faces are poverty and inequality (NPC, 2012:3). Millions of South Africans are still excluded socially and economically, and the NDP aims to address this (NPC, 2012:3). Building sustainable human communities is one of the key focus areas of the National Strategy for Sustainable Development and Action Plan (NSSD1) published by the Department of Environmental Affairs (Department of Environmental Affairs (DEA), 2011:28). The NSSD1 defines a sustainable human settlement as “meeting the different needs of its residents, including housing, basic services, community facilities, transport and livelihood/job opportunities, while at the same time, being sensitive to the surrounding ecosystems and natural resources” (DEA, 2011:28). There is a clear link between the NDP and the NSSD1. The DEA regulates the EIA industry in South Africa, and in terms of environmental legislation and regulations, SIA in South Africa is fully integrated in EIA (Du Pisani & Sandham, 2006:711) and is therefore part of this process. The National Environmental Management Act (NEMA) 107 of 1998 gives the social component of environmental management equal status to environmental and economic components and emphasises that people and their needs must be the first priority of environmental management (Du Pisani & Sandham, 2006:712). There is therefore a clear directive for an integrated environmental and social science approach to environmental management, even if SIA is treated as a “lesser sibling” (Hildebrand & Sandham, 2014:21).

In 2013 the Portfolio Committee on Water and Environmental Affairs in the Parliament of the Republic of South Africa held public hearings on the *Efficacy of South Africa’s EIA Regime* (De Lange, 2013:2). One of the motivations for the hearings was that although EIA is recognised as a key support tool for sustainable development, aspects of its implementation continue to be a challenge in a developing context, especially when one attempts to balance local socio-economic, political and ecological priorities (De Lange, 2013:1). A particular challenge that was identified is addressing social, economic and environmental aspects in an integrated manner (De Lange, 2013:1).

Although sustainable communities fall into the mandate of the DEA, and EIA (which also forms part of their mandate) is used as a decision-making instrument, the question of

how EIA can contribute to sustainable communities remains. The majority of EIA consultants in South Africa have a natural rather than a social science background (Sandham, Siphugu & Tshivhandekano, 2005:55), and are therefore not trained to deal with the community aspects of development. There is also a shortage of skills amongst authorities to review SIA reports (Hildebrandt & Sandham, 2014:24). SIA is the tool within the EIA process that deals with communities, and therefore the focus shifted to the contribution of SIA to sustainable communities, but it is a matter of concern that the necessary skills to deal with social aspects do not appear to be found in the DEA or amongst consultants. The lack of a specific policy framework and guidance about SIA exacerbates this situation (Du Pisani & Sandham, 2006:720).

Many communities in South Africa are exposed to development-induced social change, which causes social impacts. Numerous SIA studies are conducted in these areas, all recommending social mitigation and management measures, often in areas within close geographical proximity or which share social services. The research study questioned the effectiveness of this silo approach and intended to investigate whether SIA in its current format contributes to social development. The researcher's background as a social worker influenced her decision to investigate the practice of SIA through the lens of social development in order to determine whether there are synergies between SIA outcomes and social development outcomes. The fact that social development is the officially adopted approach to social welfare in South Africa supported this choice (Patel, 2005:1).

Bruce Harvey, the Global Practice Leader for Communities and Social Performance at Rio Tinto, claims that "...SIA, as it currently prevails at most resource development sites is out-dated and the refresh button needs to be pushed" (Harvey, 2011:xxxii). The quote was taken from the foreword of an edited book called *New Directions in Social Impact Assessment: Conceptual and Methodological Advances* (Vanclay & Esteves, 2011). This book challenges the traditional view of SIA as a study that predicts impacts in a regulatory context and introduces SIA as a process of managing the social aspects of developments (Vanclay & Esteves, 2011:4). It underlines the need for fresh approaches to SIA, something that this study intended to provide, specifically in the South African context where the biophysical environment tend to dominate the environmental management

field. Hence the study focused on SIA within a social development framework to determine its effectiveness as a tool for sustainable development. Aligning SIA outcomes with social development outcomes will assist with addressing some of the socio-economic challenges faced by South Africa. In addition, the position of social sciences in the environmental management field needs to be supported and strengthened.

The following research question guided the research:

- Could SIA effectively be used as a tool for social development in the South African context?

The sub-research questions that guided the researcher to answer the research question were the following:

- To what extent does the SIA methodology currently practiced in South Africa reflect social development?
- Could guidelines for SIA assist practitioners with achieving social development outcomes?

1.3 Research goal and objectives

The goal of the study was to explore SIA as a tool for social development in South Africa.

The objectives of the study were:

- To contextualise SIA as a development tool within a social development theoretical framework.
- To explore the extent of the policy mandate to integrate social development issues in the environmental management field.
- To explore whether the SIA methodology currently practiced in South Africa reflects social development.
- To determine whether SIA as currently practiced is effective as a tool for social development in the South African context.
- To propose a strategy to guide SIA practitioners to implement SIA as a tool for social development.

1.4 Research methodology

This study made use of *pragmatism* as a research approach in an attempt to ensure that practitioners can use the outcomes. In line with the pragmatic approach, an exploratory, mixed methods design was used for the study, as the relationship between SIA and social development was studied in depth and the prevalence of social development indicators in SIA were measured (Delpont & Fouché, 2011:441). Using a mixed methods designs allows for easier collaboration between academics and practitioners (Giacobbi, Pocswardowski & Hager, 2005:28), which is seen as an important potential outcome of this study, as most SIA practitioners in South Africa are not academics.

The study aims to solve a practical problem, and therefore it is classified as applied research. The study was conducted in two phases: a qualitative component explored the perceptions of the SIA community about the practice of SIA, and a quantitative component was used to analyse a sample of SIA reports that are available in the public domain to determine whether social development aspects are reflected in these reports. The first phase of the mixed method design, the qualitative study, used an instrumental case study as design (Delpont, Fouché & Schurink, 2011:320). Interviews and World Cafés were used as data collection methods. The second phase of the mixed method design, the quantitative study, used a structured non-participant observation design (Babbie, 2010:300 Bryman & Bell, 2003:178; Kelly, 2011:309). Fifteen SIA reports were analysed by means of univariate analysis and a Guttman scale. A detailed discussion on the research methodology and ethical considerations are presented in Chapter 5.

1.5 Structuring of the thesis

The thesis has been divided into the following chapters:

Chapter 1 presents a general introduction and overview, introducing the study and outlining the problem statement. The goal, objectives and research questions are indicated, the research methodology is briefly mentioned and the relevant key concepts to the study are defined.

Chapter 2 introduces the theoretical framework of the study that is embedded in social development, which underpins the context of poverty, inequality, human rights, developmental social work and the social protection floor. Within the focus of this study, the theoretical framework outlines the link between social work and the environment. The social development theoretical framework acted as a lens to examine social impact assessment practice.

Chapter 3 presents an overview of social impact assessment in the South African context. It gives an introduction to the South African context based on geography, demographics, migration and xenophobia. It provides an overview of the importance of race and culture. The chapter includes a brief orientation into the government and administration system where SIA is positioned. It concludes with a discussion on current international SIA best practice and its relevance to the local situation.

Chapter 4 consists of a literature review that describes the legal and institutional framework promoting social sustainability and social development. It commences with a discussion on the Constitution of the Republic of South Africa 1996, followed by an overview of South African environmental and social legislation. Additional governance tools related to sustainable development are discussed. The chapter concludes with a brief synopsis of national and international standards relevant to the social environment. The legal review was limited to the South African context, but the institutional instruments include international requirements.

Chapter 5 explains the research methodology utilised for the study. It includes the approach, type of research, research design, research methods and ethical aspects.

Chapter 6 includes the presentation and analysis of the empirical findings.

Chapter 7 consists of a discussion of the empirical findings.

Chapter 8 concludes the study. It discusses the achievement of the goal and objectives of the study in relation to the key findings of the study; presents the conclusions drawn from the study and make recommendations based on the study.

Chapter 2. Theoretical framework for the study

2.1 Introduction

The theoretical framework of the study is embedded in social development which underpins the context of poverty, human rights, developmental social work and a social protection floor. Within the focus of this study, the theoretical framework outlines the link between social work and the environment. The presentation of the theoretical framework is divided into three sections: The first commences with a discourse on developmental social work. Social development as an outcome of developmental social work is discussed next, followed by a dialogue on the social protection floor as means of social security. The section ends with a brief discussion on the relationship between social work and the environment, given the current ecological crises faced by humans. The second section embarks on a conversation around the theory of poverty. It discusses poverty and inequality with examples from the South African context, distinguishing between income inequality and inequality of opportunity. The third section discusses human rights, with specific reference to first, second and third generation rights. It includes a discussion on social, environmental and restorative justice.

2.2 Schematic representation of theoretical framework

The social development theoretical framework for this study borrowed from theory underpinning poverty, human rights, the social protection floor and developmental social work, as will be discussed in Sections 2.3 to 2.5. The following diagram presents the key aspects of the social developmental theoretical framework which guided the study:

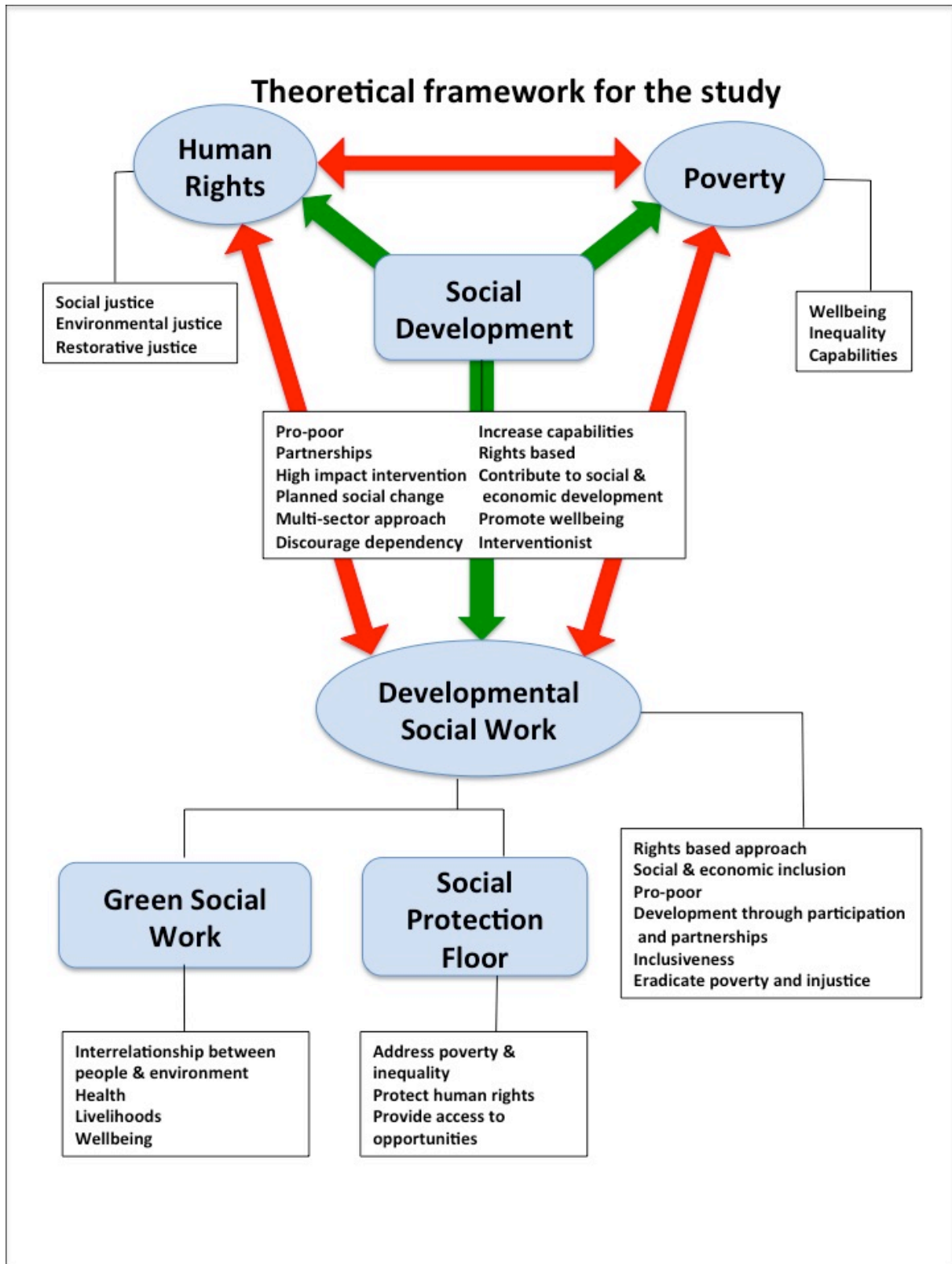


Figure 2.1 Theoretical framework for the study

Figure 2.1 reflects the direct relationship between social development, human rights, poverty and developmental social work. Social development is a strategic process and an outcome (Estes, 1998:2; Lombard, 2008:159). Furthermore, social development is central to ensure the protection of human rights, and it is used as a strategy by developmental social work to reduce poverty. In this way, the outcome of developmental social work also protects human rights. Developmental social work employs green social work and the social protection floor to assist with the process and outcome of social development. Social development cannot be separated from developmental social work, human rights or alleviating and reducing poverty, as it is fundamental to these concepts, and in turn, these concepts are mutually reinforcing. Within the context of this study, both social work and SIA are entrenched in human rights and deal with social change and social impacts. Social development is central to ensure equitable and sustainable development outcomes and hence was an appropriate theoretical framework for the study. In the next sections the theoretical concepts used in this framework will be discussed in depth.

2.3 Developmental social work

Social work practice has always focussed on meeting human needs and developing human potential and resources (UN, 1994:4). Development comes at social costs such as environmental damage; poverty, marginalisation and exploitation of vulnerable groups, and the issues associated with a migrant labour force (George, 1999:17). Social work cannot be separated from the wider dynamics of development (Patel & Hochfeld, 2013:691). The relationship between social work and the environment and where it intersects is clear in the definition of social work (International Federation of Social Workers, 2014):

Social work is a practice-based profession and an academic discipline that promotes social change and development, social cohesion, and the empowerment and liberation of people. Principles of social justice, human rights, collective responsibility and respect for diversities are central to social work. Underpinned by theories of social work, social sciences, humanities and indigenous knowledge, social work engages people and structures to address life challenges and enhance wellbeing.

The White Paper for Social Welfare (RSA, 1997) has been adopted as the official policy to restructure South Africa's welfare system towards a social development perspective (Patel, 2003:1). The policy includes a focus on social rights and equity, partnerships between the public sector and civil society and an integration of welfare services with economic development (Patel, 2003:1). It is therefore pro-poor and rights-orientated (Patel & Hochfeld, 2013:691) and encourages development through participation and partnerships (Gray, 2006:S56). The White Paper for Social Welfare committed the social work profession to a developmental approach to social welfare, and technically also to social development (Lombard, 2011:237). Patel (2005:206) defines developmental social work as "the practical and appropriate application of knowledge, skills and values to enhance the wellbeing of individuals, families, groups, organisations and communities in their social context." Developmental social work promotes social change through a binary approach to the person and the environment and the interface between the two (Patel, 2005:207). A developmental approach to social work focuses on the commitment of social work to eradicate poverty and social injustice (Lombard, 2011:237). It is unambiguously redistributive and inclusive (Patel & Hochfeld, 2013:691). Social justice, equality, non-discrimination and reconciliation are embedded in the values of developmental social work (Patel, 2008:74). Developmental social work aims to (Patel, 2005:207; Patel, Hochfeld, Graham & Selipsky, 2008:5):

- Enhance problem solving in human relations.
- Balance needs with resources and promotes optimal use of opportunities.
- Promote, protect and meet the needs of most vulnerable section of society.
- Facilitate participation of client groups in managing and solving social problems.
- Promote social and economic inclusion.
- Work collaboratively with all role-players.
- Deliver integrated services informed by a generalist approach.
- Deliver services from a rights-based perspective.

Developmental social work resonates with the capabilities approach to poverty (Lombard,

2011:237) as discussed in Section 2.2.1 above, and uses several forms of intervention, promoting active citizenship, participation in development and collective and individual empowerment (Lombard & Twikirize, 2014:318; Patel & Hochfeld, 2013:692). Developmental social work does not only provide traditional protection and therapeutic services, but also encourage social workers to investigate ways to support and grow enterprises that communities embark on through activities such as community development, small enterprises, local economic development and income generation projects to grow the capabilities of the poor in order to secure livelihoods (Patel & Hochfeld, 2013:693). Social development is a goal of developmental social work and an approach to service delivery (Estes, 1998:2; Lombard, 2008:159). The following section will explore the concept of social development in the South African context from the perspective of developmental social work.

2.3.1 Social development

As stated in Section 2.3 above, the White Paper for Social Welfare (RSA, 1997) aims to restructure South Africa's welfare system and through the White Paper, South Africa has officially adopted a developmental approach to social welfare (Patel, 2003:1). The White Paper identifies poverty as the main focus of social welfare and views development through participation and partnerships as a fundamental way to alleviate poverty (Gray, 2006: S56).

Social development is an approach to promoting human wellbeing by trying to synchronise social policies with procedures to advance economic development (Midgley, 1995:1). Social development aims to ensure that economic development results in real positive improvements in the quality of life of the poor through establishing empowering social programmes and administrative arrangements (Gray, 2006:S56). It re-emerged in the latter part of the twentieth century as a response to unequal and distorted development (Patel, 2005:1). According to Patel (2008:73) social development in the South African context is understood in four ways. Firstly, it is a pro-poor strategy promoting participation for those who are socially excluded in development activities to ensure social and economic justice, human rights, social solidarity and active citizenship. Secondly, it foresees a collaborative partnership approach between the government, civil

society and the private sector, with the government playing an active leadership role. Thirdly, the White Paper for Social Welfare (RSA, 1997) proposes high impact intervention strategies, a community-based and development approach to service delivery and a better balance between remedial, protective and developmental strategies. Last, the policy calls for a better balance between generic and structured services (Patel, 2008:73).

Midgley (1995:25) defines social development as “a process of planned social change designed to promote the wellbeing of the population as a whole in conjunction with a dynamic process of economic development.” Midgley’s definition of social development seems to be commonly accepted in the field of social work, as it is the definition used by most authors on the topic (compare Gray & Crofts, 2008; Hawkins & Roa, 2008; Lombard, 1996; Lombard & Twikirize, 2014; Potgieter, 1998). The social development approach discourages dependency; promotes the active involvement of people in their own development; employs a multi-faceted and multi-sector approach; and encourages partnership between the state, provincial government and all other stakeholders in welfare (Gray, 1996:9; Patel, Schmid & Hochfeld, 2012:215). Social development refers to both a strategic process and an ultimate product and it is focussed between interaction and change among sectors (McBride, Benitez & Danso, 2003:1). It is therefore not only about the benefits to individuals, but also about change in society and the creation of institutions that reduce fragmentation in society. Social development encompasses five interrelated areas namely, increasing the capacity and productivity of people; enhancing family stability; promoting strong communities; increasing effective and responsive human service organisations, and designing and testing new approaches to public policy (Hawkins & Roa, 2008:33). Sherraden (2009:6) states that social development looks beyond problems and deficiencies; beyond justice and even beyond rights and focuses on increasing capabilities of people, and referring to Sen’s capability framework as “*people should be able to reach their potential to be and to do*”. The World Bank (2004:1) claims that social development in the broadest sense is about putting people in the centre of development efforts and that it is essential in sustainable and effective poverty reduction strategies. The World Bank (2004:1) elaborates that social development is context-specific and therefore the international community has not adopted a single universal definition or conceptual framework.

Economic development alone is not enough to help people escape poverty, and significant investment in human development such as poverty reduction, local economic development, employment creation, urban and rural development, providing healthcare, housing, education, social protection and developmental welfare services must be employed together to ensure the poor are advantaged to the full (Patel et al., 2012:215). There are three concrete components of social development that are required for economic development: human capital, social capital and economic capital (Hawkins & Roa, 2008:34). These authors describe human capital as programmes that involve health care, education, nutrition, day care and family planning (Hawkins & Roa, 2008:34). They describe social capital as strategies related to economic activities through the creation of physical infrastructure, cooperative social networks, asset accumulation and community organising activities (Hawkins & Roa, 2008:34). Economic capital can be achieved through vocational programmes, job placement, micro-enterprises, small-scale individual or family-owned business ventures and neighbourhood based cooperative enterprises (Hawkins & Roa, 2008:34; Gray, 2010:466).

According to Midgley (2014:13-17) the key aspects associated with social development are that:

- It is a dynamic process that focusses on permanent changing of circumstances. This is in contrast with static processes where there is an immediate transfer of resources, but no long-term commitment to change the conditions.
- It is progressive in nature. Social development involves steady improvements in social conditions. Change may be incremental, but in the end it is transformative.
- It forms part of a multifaceted process consisting the integration of social, political, economic, cultural, environmental, gender and other dimensions. This means that organisational and institutional arrangements should be harmonised with economic activities, economic policies and programmes should be sustainable and specifically directed towards improving social wellbeing, and social policies and programmes should contribute to economic development. In order to achieve all this, people need to participate fully in the development process.

- It is an interventionist process and requires input in different forms to achieve social development goals. Social improvements are not an inevitable result of economic growth, therefore deliberate efforts are needed to improve the wellbeing of people. Social development interventions can be implemented on different levels including household, community and regional level. Interventions can include projects, programmes, plans and policies.
- It is productivist and practice interventions contribute positively to economic development. Social development interventions are based on social investments and generate rates of return to individuals, households, communities and society in general.
- It is universalistic and concerned with the population as a whole rather than just with vulnerable and poor people. However, the focus may be on groups that historically have not benefitted from economic growth such as women, indigenous groups, people living with disabilities, landless labourers and ethnic minorities. Social development seeks to promote people's involvement in their development and is directed at individuals and households within a community setting. Stakeholder involvement, social rights and social inclusion are key principles of social development.
- It is committed to promoting people's social wellbeing. Social wellbeing means that people's social needs are met, problems are managed and opportunities are maximised for families, communities and societies. Social wellbeing can be achieved best through a multidimensional development process that uses social investments and use the power of economic growth for social ends.

Patel (2005:227) identified five modes of intervention for developmental welfare and social work appropriate to the South African context. These modes are poverty-reduction and sustainable livelihood strategies; family-centred and community-based strategies; community information, education and communication strategies; social policy and planning strategies and advocacy. Patel's (2005:227) modes of intervention links well with Weyers' (2011:89) description of the four levels on which practitioners focus namely the intra-personal and personal level; the organisational level; the inter- or cross-

organisational/agency level; and the community/society level. Poverty-reduction and sustainable livelihood strategies are conducted on a personal level; family-centered and community-based strategies are conducted on community/society level; education and communication on the organisational level; and social policy, planning strategies and advocacy are conducted on an inter- or cross-organisational/agency level.

Gray (2010:466) identified eight possible approaches to social development. It must be considered that these approaches reflect different opinions about the social development intervention which will be most likely to achieve the goal of promoting social wellbeing (Midgley, 2014:53). Some of the approaches mentioned by Gray are supported by Midgley (2014:53). The first approach Gray (2010:466) mentions is the social investment approach, an approach that provides people with tangible social investments that develop their potential and assist their participation in the productive economy by generating goods and services as money-making commodities. The second approach is assets-based development, an approach that conceptualises assets as infrastructural or financial resources and consists of programmes to encourage the poor to generate an income and save. The third approach is the community-development approach in which the responsibility for their wellbeing is shifted to the community. It also advocates for policies and processes that promote and build upon an asset base in the community. The local community therefore becomes the centre for social, political and economic engagement (Gray, 2010:466). Midgley (2014:56) calls this approach the community participatory perspective. The fourth approach is closely related to the third and is referred to by Gray (2010:467) as the “anti-professional stance”. In this approach the practitioner is not the expert, but the community determines the process and participates actively. The fifth approach is the strengths and empowerment perspective that focuses on the strengths and assets in the community instead of only on the problems and shortcomings. This approach resonates with Midgley’s (2014:54) livelihood perspective. The sixth approach is called the social enterprise model, an approach that seeks an alternative to the social welfare model. Midgley (2014:57) refers to this approach as the enterprise perspective. This approach focuses on self-help, promoting entrepreneurship and encouraging the accumulation of assets without the help from governments. A social enterprise is a business with a social cause that does not rely on

government funding (Gray, 2010:466). The seventh approach identified by Gray (2010:467) is the centralised economic planning model that represents integrated planning within government that entails highly efficient institutional structures as well as horizontal and vertical integration between different processes and stakeholders. This is also called the statist perspective (Midgley, 2014:60). The last approach is called the development model, an approach that aims to address questions of sustainability, justice, self-determination, freedom and quality of life in the face of oppression, injustice and poverty; it uses broad economic policies and frameworks to link national systems to global or international systems (Gray, 2010:468). Midgley (2014:59) refers to this aspect as the environmental or sustainable development perspective.

Themes of community involvement, social justice, equity, self-actualisation and self-determination feature strongly in the social development literature. It also links social development to the economy. It is not easy to escape the poverty trap, and people need certain resources to enable them to use their capabilities to the fullest potential. Some people need assistance to enable them to use their capabilities. South Africa has a social security system and social assistance programme that aim to ensure a basic minimum standard of living (Patel, 2005:122), and in this way form a safety net or social protection floor. A social protection floor is a mechanism that can assist people with resources that will put them in a position to enhance their capabilities. In the next section the concept of a social protection floor, its ability to assist people in moving out of a downwards spiral of poverty and its application in the South African context will be explored.

2.3.2 Social security and the social protection floor

Peter Townsend said that “no country has to wait until economic growth “trickles down” to the poor and disenfranchised to lift them out of misery ...social security is an economic and social prerequisite for development” (Townsend, 2009: xxi). Social protection and social security were not always seen as an integral part of social development, but that has changed in recent years with social development practitioners showing an increased interest in the topic. Social security and social protection were seen as the domain of social policy practitioners, and have not been associated with developmental activities (Midgley, 2013:6).

Social security is defined as all legal requirements that control transfers of income, cash or in kind, to households (ILO, 1989:29). According to the International Labour Organisation (ILO) social security can be defined as:

The protection which society provides for its members through a series of public measures, against the economic and social distress that otherwise would be caused by the stoppage or substantial reduction of earnings resulting from sickness, maternity, employment injury, unemployment, invalidity, old age and death; the provision of medical care; and the provision of subsidies for families with children. (ILO, 1989:29)

The government and the private sector make provision for social security to protect individuals who cannot take care of themselves due to circumstances outside their control (Patel, 2005:123). Social security schemes protect people socially, and the objective of social protection is social security (Cichon, 2013:21; Patel, 2005:123). Midgley (2013:11) declares, "...social security is mainly concerned with statutory social security schemes in Western "welfare states", while the social development perspective has given more priority to household and community based interventions in the developing world." The Institute for Development Studies (IDS) (2013:1) declares that social protection is the combination of formal and informal plans that provide income or in-kind allocations combined with other forms of support to poor and vulnerable households to act as a safety net for extremely poor people, protect them against risks and livelihood shocks, help them out of poverty and support social justice for more equitable justice for all.

Poverty has a distinct political dimension and structural inequality and injustice should be addressed while providing the available resources (Lundy & van Wormer, 2007:735). One way to address structural inequality is by means of a social protection floor. The concept of a Social Protection Floor (SPF) was introduced in the 2004 report of the World Commission on the Social Dimension of Globalisation, *A Fair Globalisation: Creating opportunities for all*. The report stated that "...a certain minimum level of social protection needs to be accepted and undisputed as part of the socio-economic floor of the global economy" (World Commission on the Social Dimension of Globalisation [WCSDG], 2004:110). The United Nations Chief Executives Board accepted the idea of a

social protection floor as one of nine core crisis response policies in 2009 to cope with the economic crisis (Van Ginneken, 2013:71). The latest international development on the Social Protection Floor was in 2012 when the International Labour Organisation (ILO) published Recommendation No. 202 concerning National Floors of Social Protection (Cichon, 2013:31). Recommendation No. 202 aspires to support members to build social security systems based on a two dimensional approach. The horizontal approach aims to establish floors of basic social security to provide protection to all in need as soon as possible. The vertical approach extends the scope and levels of social security to as many people as possible as soon as possible (Van Ginneken, 2013:71). According to Recommendation No. 202 social protection floors should at least include four basic social security assurances, namely: access to essential health care, including maternity care; income security for children; income security for people of working age who cannot earn adequate income; and income security for older people. In addition, law must protect these assurances and people should have access to complaint procedures (Van Ginneken, 2013:72).

The SPF presumes that everyone should enjoy basic income security that is adequate to live on, assured by cash or in kind transfers such as old age or disability pensions, child benefits, income support benefits and employment guarantees and services for the working poor and unemployed. This should ensure that everyone has access to essential goods and services such as healthcare, basic education, sufficient nutrition, housing, water and sanitation. The SPF should protect and empower individuals throughout their lifetime and have strong links to employment policies in order to allow people to access decent employment and exit from poverty (ILO, 2011:4).

The SPF aims to structurally improve income distribution and life conditions through decent work and comprehensive social protection policies, along with democracy and freedom. Inequality and insecurity is a threat and leads to social instability. Social protection and income distribution shield people against crises and contributes to social justice and peace (ILO, 2011:2). It can be seen as a building block for a peaceful society and successful economic and social development. Social protection programmes and the SPF can help nations to fulfil their human right obligations (Van Ginneken, 2011:112).

Social assistance reduces income poverty and inequality, promotes social and economic development and enhances human capabilities (Patel, 2008:75).

Social protection has also been embraced by Africa. Article 10 of the Charter of Fundamental Social Rights in the South African Development Community [SADC] (2003:8) deals with social protection where it states that every worker in the region has the right to social protection. This charter is a legally binding instrument that must be implemented by all SADC members (Nyenti & Mpedi, 2012: 249). The Africa Civil Society Platform for Social Protection (Africa Civil Society Platform for Social Protection [ACSPSP], 2008:1) states that social protection should aim to provide a minimum package that provides a basic floor of social protection where under no-one falls and that promotes sustainable livelihoods.

The South African government sees social security as its priority anti-poverty strategy (Lombard, 2008:161). South Africa implemented a three-pillar social protection framework after 1994. The South African Government views a social protection floor as essential to securing basic human rights like access to health care and basic education, decent living conditions in old age, protection against injuries at work and illness, and provisions in case of unemployment and other risks (Global Extension of Social Security [GESS], 2006). The first pillar is based on targeted cash transfers, subsidies and basic services. The second pillar is based on mandatory social insurance schemes and the last pillar on voluntary savings (Madonsela, 2010). The social protection floor is the first pillar of the framework. The following social security programmes are currently implemented in South Africa (GESS, 2006; Patel, 2005:134):

- Old age grant, payable to people of 60 years and older.
- War veteran grant, payable to veterans from World War II and the Korean War.
- Disability grant, subject to a medical assessment report confirming disability.
- Care dependency grant, payable to parents or caregivers of children with disabilities between one and eighteen years old.
- Foster child grant, payable to a person accorded foster parent status by a court of law.

- Child support grant, payable to poor households with children.
- Grant in Aid, payable to any person receiving an Old Age Grant.
- Social Relief of Distress, payable for a maximum of three months to any person that is not benefitting from another social grant and who is living in dire economic circumstances.

South Africa uses a number of mechanisms other than cash transfers as part of its poverty reduction strategy. An example of a government initiative that contributes to the social protection floor is the Expanded Public Works Programme (EPWP), a key government initiative that was launched in 2004. The aim of the programme is to create work opportunities for the unemployed. It is implemented across government sectors and state-owned enterprises (Department of Public Works, 2004). Other redistributive mechanisms used for poverty reduction in South Africa include a public education system, access to health and welfare services, a progressive tax system, subsidised housing, public works employment, small enterprise development and supply of basic services such as water, sanitation and electricity (Patel, 2008:75).

According to Patel and Hochfeld (2013:692) South Africa's investment in cash transfers has a positive social and economic impact in reducing chronic poverty and food insecurity, particular on household level. Other publicly funded services and social programmes such as EPWP (employment), primary health care, primary education, housing and basic services complement the cash transfers and contribute to redistribution (Patel & Hochfeld, 2013:692). However, it must be acknowledged that the public provision of basic and social services is hampered by administrative incompetence, poor quality of services due to institutional and capacity problems, including corruption, and this caused service delivery protests (Patel & Hochfeld, 2013:693), as discussed in Section 2.2.2.2 above.

There are some other challenges associated with the SPF and social security. Patel (2008:76) states that spending on extension of social security measures leads to the under-funding of welfare services. This means that although protection measures are put in place, the expertise to guide people on the development route is not being developed

to its full potential. Gentilini and Omamo (2011:333) also warn that too much emphasis on the demand or access dimension may lead to an under-supply in the supply side of interventions, like social work or education services. The South African Institute of Race Relations (SAIRR) warns that South Africa should look at alternatives for its social grant system, as it is not sustainable (Goko, 2013). Only 5 million South Africans pay tax, and the SAIRR estimates that 10% of the taxpayers account for more than 50% of the total tax revenue (Goko, 2013). There are more people in South Africa on social grants than people who work (Goko, 2013). The SAIRR argues that South Africa is the largest welfare state in the developing world, and that job creation is the alternative to a welfare system (Goko, 2013). Hölscher (2008:122) states that the South African government does not have the political will to address structural poverty and inequality. Although the government expanded the social security measures, it fails to address the root causes of poverty and inequality and the associated social problems (Hölscher, 2008:120). Gray (2006:S61) queries South Africa's substantial confidence in social security as a poverty reduction strategy as it diverts money away from sustainable development via job creation, health and education. Although the social spending is high, it seems as if the money invested in free schooling is not improving the quality of the education, therefore it does not contribute to the skills base, which in turn disqualifies people from being active participants in the economy (Jones, 2013). If the country's tax base becomes dysfunctional under the strain of supporting the system, the vulnerable people relying on grants will be worse off, underlining the importance of focussing on job creation rather than just social spending (Jones, 2013).

However, international literature indicates that social protection should be viewed as an investment rather than a cost, and that national priorities should be reviewed to ensure it is sustainable and affordable (Gentilini & Omamo, 2011:332). In this sense social security is a step towards social development and an effort to improve people's quality of life and to eradicate poverty (Hölscher, 2008:120). At the end of the 2012/13 financial years 16,1 million South Africans received social assistance through grants (Jones, 2013). At least one South African study regarding concerns that social protection initiatives leads to a dependency culture amongst households that receive social grants indicates that this is unfounded (Noble, Ntshongwana & Surender, 2008:18). In their study on attitudes to

work and social security Noble et al. (2008:18) found that both employed and unemployed people place a high value on paid work and feel that it promotes dignity. Respondents felt that it was the normal thing to do, that it made them feel part of the community and prevented social isolation. Despite this, social protection is still seen as one of the most effective ways of addressing the multiple dimensions of poverty.

Social protection has been embraced nationally and internationally in the last decade. It is seen as a way in which a number of developmental goals such as the Millennium Development Goals, social justice and macro-economic stabilisation can be reached in different contexts (Cichon, 2013:32; IDS, 2013:2). The post 2015 development agenda discussing the next step after the Millennium Development Goals is already receiving international attention. At the Rio+20 conference a mandate was given to establish an open working group to identify a set of sustainable development goals for the post-2015 development agenda (United Nations, 2014a). The United Nations Open Working Group of the General Assembly identified seventeen sustainable development goals, built on the foundation of the MDGs, which will be considered at the special summit on sustainable development in September 2015 (UN, 2014b:13). Social protection plays an important part in the post 2015 development agenda, as it has demonstrated its effectiveness in confronting multiple dimensions of poverty. The sustainable development goals include aspects such as ending poverty, addressing food security, promoting health, wellbeing and education, gender equality, water and sanitation, economic growth and employment creation, sustainable infrastructure, reducing inequality, creating sustainable cities and human settlements, and addressing challenges in the physical environment such as climate change and environmental resources (UN, 2014a). The principles that are already emerging for the post 2015 development agenda therefore include rights, equity and sustainability, all of which can be aligned with the principles and discussions in the social protection field (IDS, 2013:2; Van Ginneken, 2011:114; Cichon, 2013:39).

There are concerns that expectations about social protection may be too high (IDS, 2013:1). Social protection is more effective when it is delivered as a part of a support package for poor and vulnerable people. It should not be a stand-alone programme, but rather form part of an integrated system of anti-poverty interventions (IDS, 2013: 3,

Gentilini & Omamo, 2011:330).

Anti-poverty inventions do not need to come from the government alone. There may be alternative ways that can be explored which may assist in addressing structural poverty, address inequity and contribute to social development in general. Social workers are key role players in poverty alleviation initiatives, and being a hands-on profession they are required to adapt to an ever-changing social and biophysical environment. The next section explores the relationship between social work and the biophysical environment.

2.3.3 Social work and the bio-physical environment

Given the role that social workers can potentially play in environmental justice (see Section 2.3), and in the context of this study, linking social development and SIA, it is necessary to briefly investigate the relationship between social work and the natural environment (McKinnon, 2008:257). From an environmental perspective it is undisputed that aspects such as climate change, biodiversity, limited sources of energy and clean water, food security and the availability of arable land have a distinct social dimension (Peeters, 2012:287; Shaw, 2013:4; UN, 2011b:4). There is a clear link between social and ecological problems (Peeters, 2012:287). The social and political dimensions of sustainability cannot be denied (McKinnon, 2008:265; Dominelli, 2012:26). The Global Agenda for Social Work (2012:4) commits social workers to promote sustainable communities and environmentally sensitive development. Dominelli (2012:3) uses the term “green social work” and reasons that as a response to the environmental crises, social work should challenge and address poverty, structural inequalities, socio-economic differences, development processes, consumption patterns, international linkages and inadequate natural resources.

Social work is context-based and concerned with the way in which humans are supported by their environment, but traditionally the focus was only on the social environment (Marlow & Van Rooyen, 2001:241; Peeters, 2012:287). Green social work respects and values the biophysical environment as a rightful entity, although it is socially constructed, and at the same time acknowledges that humans use resources to meet their needs (Dominelli, 2012:25). Human wellbeing is directly linked to the environment, as humans rely on the environment for ecosystem services such as clean air, water and healthy soil

required for food production, and therefore a healthy environment should be a key concern for social workers (McKinnon, 2008:261). There is an interdependent relationship between human beings and the biophysical environment (Dominelli, 2012:25). Environmental degradation is linked to loss of livelihoods and displacement and associated with negative health effects such as infectious diseases, malnutrition, physical risks and mental health (McKinnon, 2008:263), all aspects associated with social work intervention. Environmental change affects human development options, especially for poor people (McKinnon, 2008:263). Sustainable development relies on interactions between the social, economic and biophysical environment (Mauerhofer, 2013:63). Social work already engages with the social and economic environment, but in order to become role players in the sustainability field, they need to engage more with the biophysical environment (McKinnon, 2008:264). Peeters (2012:292) argues that social work and sustainable development concur on aspects such as equality, human rights, participation and wellbeing, and therefore these concepts can reinforce each other. In addition, sustainable development and ecology are based on the systems theory, which is well known to and often used in social work (Marlow & Van Rooyen, 2001:242). Social work can strengthen participative practices in sustainable development (Peeters, 2012:292). In order to contribute to sustainable development social work as a profession must not only prepare people for change, but also participate in change in order to encourage and learn different perspectives (Peeters, 2012:292). This would require social workers to acquire new skills and knowledge related to the biophysical domain (Dominelli, 2012:26). It is clear that social work as a profession is aware of new challenges brought about by the ecological crises that the world faces, and is engaging in strategies to address these challenges. This practical orientation of social work has allowed the profession to adapt and change with time, and engaging with environmental professionals to address ecological issues seems appropriate at this juncture. Social workers have traditionally been at the forefront in the battle against poverty and delivering services to vulnerable people. The next section explores poverty, vulnerability and inequality in depth.

2.4 Poverty

As previously indicated, poverty and inequality remain among the biggest challenges in South African society (NPC, 2012:3), whilst the eradication of poverty and inequality are central to social development. This section commences with a discussion on poverty. It includes a presentation on wellbeing and the capabilities approach, which are related to poverty alleviation. It is followed by a discourse on income inequality and non-income dimensions of inequality in the South African context, in order to get a better understanding of why social development is a priority and is used as an instrument for development. The section concludes with a discussion on vulnerability.

2.4.1 Defining poverty

The one-dimensional model of looking at poverty only from an economic perspective has been challenged in the last few decades (Finn, Leibbrandt & Woolard, 2013:2). Poverty can be experienced in different ways and intensities depending on the context and the causes. In order to understand the wide scope of poverty it is necessary to explore the current definitions of wellbeing, and how this defines poverty. Since 1990, the United Nations Development Programme has published annual reports on human development with the aim of putting people at the centre of development and going beyond income to assess people's long-term wellbeing (Sen, 1999:73). Wellbeing can be defined as a state of being with others that arises where human needs are met, where one can act meaningfully to pursue one's goals and where one can enjoy a satisfactory quality of life (McGregor, 2008:1; Ruggeri Laderchi, Saith & Stewart, 2003:253). This definition acknowledges that wellbeing is a state that humans experience, but also implies that people's needs must be met, their valued freedoms must be achieved and they must experience a good quality of life in order to attain wellbeing. Needs, freedoms and quality of life will differ according to geographical, societal and cultural context (Coulthard, Johnson & McGregor, 2011:457; Ruggeri Laderchi et al., 2003:253). However, wellbeing does not only refer to basic human needs, but also to social and psychological needs, therefore it has an objective and a subjective dimension (Coulthard et al., 2011: 457, UNDP, 2013:7). Wellbeing is an outcome that is constantly generated through conscious and subconscious participation in social, political, economic and cultural processes.

People are therefore not only concerned with the material aspects of their lives. Coulthard et al. (2011:457) allude that there are different strategies and visions about wellbeing held by different groups, which are often incompatible.

Wellbeing has three inter-related dimensions: material – what a person has; relational – what a person does through social relationships; and subjective – how people think and feel about their lives (Coulthard et al., 2011:457; UNDP, 2013:7). The “voices of the poor” research established that people’s ideas about a good quality of life is multidimensional and clustered around five themes (Narayan, Chambers, Shah & Petesch, 2000:25-28), namely:

- The necessary material for a good life (including secure and adequate livelihoods, income and assets, enough food at all times, shelter, furniture, clothing and access to goods);
- Health (including being strong, feeling well and having a healthy physical environment);
- Good social relations (including social cohesion, mutual respect, good gender and family relations, the ability to help others and to provide for children);
- Security (including secure access to natural and other resources, safety of person and possessions, and living in a predictable and controllable environment with security from natural and human-made disasters), and
- Freedom of choice and action (including having control about what happens and being able to achieve what a person values doing or being).

Ill-being or bad quality of life are the opposite of wellbeing, and from the discussion about wellbeing, it can be deducted that ill-being is much more than material poverty (Narayan et al., 2000:2). Poverty is also a multidimensional concept. The 1997 Human Development Report, (United Nations Development Programme [UNDP], 1997) focuses specifically on poverty. Its theme “Human Development to eradicate poverty” suggests three perspectives on poverty. The income perspective defines a person as poor only if his/her income is below the defined poverty line of their country (UNDP, 1997:15). The basic need perspective states that poverty is a deprivation of material requirements for minimally acceptable fulfilment of human needs, including food. It goes beyond the lack

of private income and includes needs for basic health and education and essential services that the community must provide to prevent people being poor. It also recognises the need for participation and employment (UNDP, 1997:15). The capability perspective describes poverty as the absence of some basic capabilities to function (Sen, 1999:87). A poor person lacks the opportunity to achieve minimally acceptable levels of this functioning. The functioning can vary from physical aspects like being well nourished, adequately clothed and sheltered, to complex social functions such as participating in community life (UNDP, 1997:15).

Amartya Sen, Nobel laureate in Economic Science in 1998, introduced the capability perspective. Martha Nussbaum, a feminist philosopher, has engaged in scholarly dialogue with Sen, and made significant contributions to the capability perspective (Clark, 2005:6; Crocker, 1992:584). Although there are certain theoretical differences between the work of Nussbaum and Sen, in practice their work has converged in what is referred to as the capabilities approach (compare Anand, Hunter & Smith, 2005:13; Clark, 2005:6; Crocker, 1992:585 and Frediani, 2010:175). The capabilities approach focuses more on people than on goods (Anand et al., 2005:10) and has a close relationship to human rights (Nussbaum, 1997:287; Nussbaum, 2011:23; Sen, 2005:152). Sen declares that poverty must be seen as the deprivation of basic capabilities rather than just as a low income (Sen, 1999:87). It is easier to understand poverty of human lives and freedoms if a shift is made away from an exclusive concentration on income poverty towards a more inclusive idea of capability deprivation. Although income and wealth is important, other influences are as important, and its role has to be integrated into a broader picture of success and deprivation (Sen, 1999:20). Sen's viewpoint is that people have different views, skills and attributes and live in different situations; therefore they need different levels and types of resources to achieve a given level of capability. Individuals need resources to develop their capabilities, and those who lack resources are deprived (Gatenio Gabel, 2012:540). Nussbaum (1997:287; 2003:41) developed a list of capabilities that she views as central to live a dignified life, namely:

1. Life – living a normal length of life and not die prematurely.
2. Bodily health – good health, adequate nutrition and shelter.
3. Bodily integrity – freedom of movement, security against sexual assault and domestic violence, opportunities for sexual satisfaction and reproductive health.
4. Senses, imagination and thought – education, freedom of expression, thought and religion, ability to experience pleasure and avoid pain.
5. Emotions – ability to attach to things and people, express emotions free from fear and anxiety.
6. Practical reason – have a concept of what ‘good’ is, reflect critically and plan one’s own life.
7. Affiliation – a) live with and towards others, show concern, engage in social interaction, empathy, and b) self-respect, non-humiliation, treated as a dignified being with equal worth to others.
8. Other species – live with concern for and in relation with plants, animals and nature.
9. Play – laugh, play, enjoy recreational activities.
10. Control over one’s own environment – a) political: participate in choices, right to participation and freedom of speech and association, and b) material: hold on to property, property rights, employment equity, freedom from unwarranted search and seizure.

The capabilities approach forms part of the South African government’s approach to development and is reflected in the National Development Plan where it declares focusing on key capabilities of people and government as one of six interlinked priorities and recognises that a developmental state should build the capabilities of people to improve their own lives (NPC, 2012:27). In his 2011 speech “The Role of Legislatures in Achieving the MDGs – Overview of South Africa’s progress” Trevor Manuel, then Minister in the Presidency Planning Commission, quoted Sen’s definition of the multidimensional understanding of poverty which is also reflected in the Bill of Rights in Chapter 2 of the

Constitution of the Republic of South Africa, 1996 (Manuel, 2011):

The classic view that poverty is just a shortage of income may be well established in our minds, but ultimately we have to see poverty as unfreedoms of various sorts: the lack of freedom to achieve even minimally satisfactory living conditions. Low income can certainly contribute to that, but so can a number of other influences such as the lack of schools, absence of health facilities, unavailability of medicines, the subjugation of women, hazardous environmental features, and lack of jobs (something that affects more than the earning of incomes). (Sen in introduction to Green, 2008:ix)

The definition of poverty by Chambers (1997:xv) resonates with the capabilities approach. Chambers (1997:xv) defines poverty as a condition of lack of physical necessities, assets and income, and states that it includes, but is not only, income-poverty. He describes deprivation as lacking what is necessary for wellbeing. He further states that deprivation has physical, economic, social, psychological, spiritual and political dimensions. Deprivation includes forms of disadvantage such as social inferiority, physical weakness, isolation, poverty, vulnerability, powerlessness and humiliation (Chambers, 1997:xv). Chambers' definition of wellbeing is simply "the experience of a good quality of life" (Chambers, 1997:xvi).

Sachs (2005:21) distinguishes between three degrees of poverty namely extreme or absolute poverty, moderate poverty and relative poverty. Extreme poverty means that a household cannot meet its basic needs for survival. It includes chronic hunger, no or limited access to health care, sanitation, potable water, education and shelter (Sachs, 2005:21). Moderate poverty refers to conditions of life where the basic needs are barely met, and relative poverty is a household income level below a given proportion of average national income (Sachs, 2005:21). Relative poverty is therefore also context-dependent, and is generally found in countries where it is assumed that all have access to enough means to ensure survival (Ruggeri Laderchi et al., 2003:246).

Many of the poor people in South Africa can be described as "chronically poor". Chronic poverty can be described as poverty that is transmitted from one generation to the next, which means that children from poor households will grow up to be poor adults, whose

children in turn would be poor themselves (Aliber, 2003:476). The Apartheid policies contributed to chronic poverty by limiting opportunities for the black population on an individual and community basis by depriving them of education, infrastructure and amenities, among other, and situating them in areas that are remote with marginal economic prospects. The legacy of these policies is reflected in the statistics that confirm that the Black population and rural populations are most affected by poverty in South Africa (StatsSA, 2014b:36). Another result of these policies was migratory labour and the consequent female-headed households (Aliber, 2003:476; Hoogenveen & Özler, 2005:2; Woolard, 2002:6), both aspects that increase vulnerability. Extreme poverty is a global problem, and many developing nations face the challenge of dealing with the social consequences of poverty such as hunger, lack of access to health care, sanitation, shelter and education.

Whilst poverty is a static concept, vulnerability is more dynamic (Moser, 1998:3) and relevant to any area where social change is taking place. Vulnerability is not a synonym for poverty (Moser, 1998:3). Although poor people are usually amongst the most vulnerable, not all vulnerable people are poor. Vulnerability means exposure and defencelessness. It includes the external component of exposure to shocks, stress and risk; and the internal component of defencelessness, which implies a lack of means to cope without damaging loss (Chambers, 1997:xvi). Moser (1998:3) phrases this differently and states that vulnerability has two dimensions, namely sensitivity and resilience. Sensitivity refers to the extent of a system's response to an external event, and resilience refers to the ease and speed of a system's recovery from stress. Vulnerability therefore deals with sensitive groups, which have low defences, and are therefore susceptible to harm, and who are not able to recover from stresses easily or without external help. Vulnerability can also be context-dependent, for example after a natural disaster such as a flood, tsunami or earthquake, or an industrial accident such as a chemical spill or explosion, all the affected people will be vulnerable, despite their economic status. Vulnerability is often a result of inequality, as a lack of equal opportunities can put people in vulnerable positions. The next section examines the relationship between poverty and inequality in more depth.

2.4.2 Poverty and inequality

Poverty and inequality go hand-in-hand. Inequality threatens economic growth and undermines social cohesion, increases social and political tension and can cause instability and conflict (UNDP, 2013:xi). It would therefore be difficult to reduce poverty levels unless inequality is addressed (UNDP, 2014:6). Inequality has several dimensions and is caused by several factors (UNDP, 2013:2). South Africa's history of colonialism and Apartheid resulted in systemic social and economic inequalities (Patel, 2005:300). Income inequality and inequality of opportunities is discussed next with specific reference to the South African situation.

2.4.2.1 Income inequality

Income inequality is concerned with the degree to which income is distributed in an unequal manner amongst a population. Income gaps between the rich and the poor have expanded in the last 20 years (UNDP, 2013:1). Inequality threatens economic growth and poverty reduction (UNDP, 2013:1). South Africa has the strongest economy in Africa and the World Bank ranks it as an "upper middle income country" (RSA, 2013b:134), but despite this many South Africans are still caught in a downwards spiral of poverty. Like many other developing countries South Africa has a dual economy, meaning that there is a well-developed "first economy" with a mature financial and industrial base where people are paid well and have access to collective bargaining, and a "second economy" which is underdeveloped, informal, payment is low and conditions are poor (RSA, 2013b:134; OECD, 2013:8).

The guiding objectives of the National Development Plan are the elimination of poverty and inequality since millions of South Africans are still excluded socially and economically (NPC, 2012:24). The report on Poverty Trends in South Africa (StatsSA, 2014b) indicate that roughly 23 million persons live below the upper-bound poverty line of R620 per month (StatsSA, 2014b:12). This represents almost half the citizens of the country. The gap between rich and poor is significant, and the majority of the poorest people are black Africans (RSA, 2012:29; Woolard, 2002:2). The South African Gini-coefficient of 0,69 (an indicator of the income gap between the rich and the poor within a country) is in the top five per cent globally (International Monetary Fund [IMF]; 2013:4). From a gender

perspective, females (47.1%) are more impoverished than males (43.8%), and from a racial perspective the Black population group are the most affected by poverty with 54% living in poverty (StatsSA, 2014b:36). From an age perspective, children (55.7%) and youth aged 18 to 24 (50.7%) are the most affected by poverty (StatsSA, 2014b:36). The majority of poor people (58.3%) live in rural areas (StatsSA, 2014b:36). One of the root causes of poverty in South Africa is the inability of the labour market to create opportunities for low-skilled workers (Chibba & Luiz, 2011:311). Income inequality can be addressed through employment creation.

Poverty, inequality and unemployment are interconnected (Altman, Mokomane & Wright, 2014:348; Chibba & Luiz, 2011:307). Employment is the most effective form of social protection (NPC, 2012:354), but the South African situation is rather bleak. South Africa had an official unemployment figure of 25.4% in 2014 (StatsSA, 2014c:v). This means that almost a quarter of economically active people in South Africa are unemployed. Two in five working-age adults in South Africa are employed and the high rate of unemployment is one of the most pressing socio-economic challenges that the government faces (RSA, 2011:9). This is underlined in the National Development Plan published by the National Planning Commission which lists *“too few South Africans are employed”* as one of two critical challenges that South Africa has to confront in order to move forward (NPC, 2012:1). It must be acknowledged that loss of income is not the only downside to unemployment, as it can cause deprivation of other kinds as well (Sen, 1999:94). Unemployment also causes psychological harm, loss of work motivation, skill and self-confidence, increase in illness, disruption of family life and social life, social exclusion, increase in racial tension and gender inequalities (Sen, 1999:94).

South Africa has one of the highest unemployment figures in the world, and of particular concern is the high level of unemployed youth (Nattrass, 2014:87,89). This is exacerbated because half the population is younger than 25 and two-thirds of the population is under 35 (Bernstein, 2014:25). While this could be an opportunity for economic growth, it is more likely to be a threat that could cause social disruption, as seen in the role that the youth play in many of the service delivery protests in which unemployment is one of the triggers (Bernstein, 2014:25; Kraak, 2013:94).

According to Van Aardt, (2012:56) the high youth unemployment rate in South Africa can be attributed to structural unemployment, which means that due to structural imbalances the economy is not able to provide employment opportunities even at the height of a business cycle. Structural unemployment can be linked to a mismatch of skills (availability, experience and training) or geographical location (location of job vacancies and job seekers) (Van Aardt, 2012:56). In a discussion paper about policy options to confront youth unemployment in South Africa the National Treasury offers the following explanations for youth unemployment (RSA, 2011:5):

- It is risky to employ unskilled and inexperienced people.
- The weak education system leaves employers with little trust in the skills level of employees, even if they do have qualifications. Qualifications do not mean that people have skills.
- Entry-level wages are seen as too high relative to the risk of employing workers without any experience.

The reasons for high youth unemployment rates listed by the National Treasury are all examples of structural employment (Van Aardt, 2012:56). Another important consideration is that many younger people are exposed to multi-generational unemployment. They have little support and no idea how to find employment, access opportunities or how to behave once they enter the labour market (Bernstein, 2014:26). Lack of opportunities contributes to unemployment. This lack of opportunity includes access to education, health care and basic services, aspects required to ensure a dignified life (UNDP, 1997:15). The next section will explore what inequality of opportunity means in the South African context.

2.4.2.2 Inequality of opportunity

The eroding impact that inequality can have on a society relates not only to income inequality, but also to the inequality of opportunities. Inequality of opportunities occurs when people, either because of circumstances or discrimination, are denied access to basic necessities such as water, sanitation, shelter, energy, healthcare or education (UNDP, 2014:42). Inequality of opportunities often results in inequality of income later in life (UNDP, 2013:46), which again in turn, has a direct impact on the available

opportunities to an individual.

Education is one of the areas where the inequality of opportunities has the most eroding impact, especially given the link between income inequality and poor education. The second critical challenge listed in the National Development Plan for South Africa is the poor quality of the education available to the majority of people (NPC, 2012:24). Education is critical for the improvement of social and economic conditions. The poor schooling is one of the legacies of Apartheid that persists 21 years after democracy started in 1994. The Bantu Education Act 47 of 1953 specified a certain curriculum for black learners that was inferior to the curriculum taught at white schools. The facilities, textbooks and training of teachers at the black schools were also inferior to those of white schools, and this prohibited equal opportunities (Ndimande, 2009:124; UNDP, 2014:42). After 1994 the government aimed to address the disparities through the South African Schools Act 84 of 1996 in which the principal goal was to eradicate race-based inequalities in education (Ndimande, 2009:125). Since 1994 there has been a considerable effort to try and reverse the Apartheid deficit, including the National Student Financial Aid Scheme, free schooling and feeding schemes in schools (Akoojee & Nkomo, 2011:120). Notwithstanding the efforts of government, many schools, especially in poorer areas, remain dysfunctional and are typified by acute underperformance, high levels of teacher absenteeism, high rates of grade-repetition, high drop-out rates, ill-discipline, bad management and low cognitive demand (Spaull, 2012:3).

It is compulsory for South African children between 7 (Grade 1) and 15 years (Grade 9) to attend school, and the enrolment rates are high (OECD, 2013:57). Relatively high enrolment rates do not equal quality schooling. The quality of education in South Africa remains poor and distributed unevenly across population groups and regions (OECD, 2013:57). South Africa's performance on local and international studies of educational achievement is dismal (Spaull, 2013:4; Van der Berg, 2008:145). In a literacy and numeracy test it emerges that 27% of South African Grade Six pupils were illiterate and could not read a simple, short text and extract meaning, and in a test on mathematics and science it was found that the average Grade Nine South African pupil performed between two and three grades below the average Grade Eight pupil from other middle-income

countries (Spaull, 2013:4).

The World Economic Forum ranks the quality of South Africa's education system very low, positioned at 140 out of 144 economies (World Economic Forum [WEF], 2014:341). In terms of the quality of mathematics and science education, South Africa ranks 144 out of 144 (WEF, 2014:341). Restrictive labour regulations, an inadequately educated workforce, inefficient government bureaucracy and corruption are stated as the most problematic factors for doing business with South Africa (WEF, 2014:340).

The National Senior Certificate (NSC) pass rate was 78.2% in 2013, the highest since 1994 (Department of Basic Education, 2014:14). Although it appears to be improving, this number is misleading as for every 100 pupils that start school, only 50 will make it to Grade 12; 40 of those who made it will pass, but only 12 of them will have marks good enough to qualify to go to university (Spaull, 2013:3). The NSC pass rate dropped to 75.8% in 2014 (Nkosi, 2015). There are valid claims that the South African NSC is sub-standard and encourages mediocrity, but Spaull (2013:31) indicates that the pre-grade 12 drop-out and subject choices are more serious problems. There is a correlation between the quality and duration of schooling and job prospects, and a substandard education disadvantages a person in the labour market and entrenches poverty (Spaull, 2012:3).

Poverty and its consequences are an impediment to many who want to obtain an education and cannot afford school fees, school uniforms, stationary or transport (Spreen & Vally, 2006:354). Issues such as lack of electricity, desks, adequate water and sanitation at schools affect the quality of education and learning opportunities (Spreen & Vally, 2006:354). The inequality of opportunity is therefore not limited to the educational system, but also includes inadequate basic services, which impact on a person's ability to use opportunities optimally. The rich can afford private education, and by virtue of their income have access to tertiary education, but due to lack of opportunity the poor have no other choice than utilising the public education system and leaving school early.

Another area where inequality of opportunities is rife is the provision of health care services. Public health systems are under severe pressure, and the burden of disease is high (NPC, 2011:19). The South African population represents 0,6% of the world population, but 17% of the world's HIV infections and 11% of tuberculosis cases (NPC,

2011:19). The statistics captured in the Global Competitiveness Report ranks South Africa 143 out of 144 regarding tuberculosis prevalence, 140 out of 144 regarding HIV prevalence and 105 out of 144 regarding infant mortality (WEF, 2014:341). South Africa has the highest rate of foetal alcohol syndrome in the world (NPC, 2011:19). Trauma causes resulting from violence and road accidents are almost double the global average (NPC, 2011:19). South Africa's public health system is collapsing under this pressure, and in combination with institutional issues and implementation failures it is clear that a health care crisis is looming (NPC, 2011:19).

Public policy and institutions play an important part in the extent of inequality (UNDP, 2014:16). Although policy and budgets in South Africa aim to create greater equality, the communities on the ground do not experience the desired results (UNDP, 2014:45). Inequality of opportunity in South Africa stretches much further than education and health care, and the legacy of Apartheid also includes aspects such as housing and access to land. As a result of inequality of opportunity on many levels, service delivery protests have become part of daily life in South Africa, becoming more frequent, violent and spreading throughout the country (de Visser, Powell, Staples & Gilliland, 2012:6). Service delivery protests can be defined as political protests that are organised on local level to place demands on those who hold or benefit from political power. The concept does not only refer to politicians, but also to powerful persons within communities (Alexander, 2010:26). Alexander (2010:37) refers to the protests as *"a rebellion of the poor"*. It indicates people's disappointment with a democracy that left them poor after 21 years, inequality and corruption that remains high and circumstances that are not materially improved (Alexander, 2010:37).

South Africa has been affected by service delivery protests since 2004 where 13 protests were recorded (Alexander, Runciman & Ngwane, 2013; Karamoko, 2011:2). There has been a steady increase in the number of protests since 2007, with the exemption of 2010, when the FIFA World Cup for soccer was presented in South Africa (Karamoko, 2011:6). Since 2009 more of the protests turned violent (Alexander et al., 2013). The highest number of protests, 470, were recorded in 2012 (Alexander et al., 2013). Of the 470 protests recorded in 2012, 173 were seen as major service delivery protests (Municipal

IQ, 2014). The total number dropped to 287 in 2013 (Alexander et al., 2013), with 155 major protests recorded for the year (Municipal IQ, 2014). In 2014, the number of major service delivery protests recorded until November amounted to 176 protests (Municipal IQ, 2014). Approximately 43 people were killed in service delivery protests since 2004, with 11 people killed in 2013 (Alexander et al., 2013). In the beginning of 2014 there was an upsurge in violent service delivery protests, with approximately ten protesters killed by the police in January 2014 (Lancaster, 2014). Statistics for the remainder of 2014 were not available at the time of writing. Research by Alexander et al. (2013) indicates that peaceful protests and formal processes to express grievances often precede disruptive and violent protests. Many of the protests involved the unemployed. Employed people can express grievances through strikes or labour actions, but the unemployed often have no other mechanism than protesting (Alexander et al., 2013).

The main reasons for the service delivery protests are land and housing issues; poor service delivery; broken promises and lack of acknowledgement of issues; lack of electricity, sanitation, water or bad road infrastructure; corruption, unemployment and party political issues (de Visser et al., 2012:5; Karamako, 2011:31). The bulk of the causes for service delivery protests are therefore related to the inequality of opportunity and public institutions that seem to favour the interest of the elite, and thereby propagate inequality in wealth, status and power (UNDP, 2014:16).

The highest number of protests was in communities whose unemployment rates were higher than the municipal and national rates, and with worse access to services less than the municipal average. This statistic suggests that these areas have a high incidence of migration into the area to look for employment, but the expectations of the migrants are not met (Municipal IQ, 2014). There is a high correlation between unemployment, poverty and service delivery protests, especially in informal settlements (Managa, 2012:3). Service delivery protests can therefore be linked with both income and opportunity inequality. The protests did not necessarily occur in the poorest municipalities in South Africa, and population density and urbanisation were identified as the key links with protests (CoGTA, 2009a:12, Karamako, 2011:24). Managa (2012:2-5), in a study about local government and poor service delivery and Mpehle (2012:222-224), in

a study about whether service delivery protests are justifiable in a democratic South Africa, identified the following explanations for inadequate municipal service delivery:

- **Lack of institutional capacity.** There is a perception that many municipal officials in key positions are not appointed based on their qualifications, competence or experience, but rather based on nepotism and political affiliation (Mpehle, 2012:222). The government's official policy of cadre deployment exacerbate this situation, as it means that government officials on local, provincial and national levels are appointed based on their loyalty to the ANC (African National Congress) rather than necessarily having the appropriate skills or qualifications for the role (Irwin, 2011:8) This results in a lack of technical, managerial and leadership skills (Managa, 2012:3).
- **Financial mismanagement.** Officials in charge of financial management often do not have the skills and abilities to manage even the limited resources available to them. Municipalities receive income from services paid for by residents and funds from central government. In many municipalities, residents refuse to pay their rates to the municipality for various reasons, including low efficiency levels and unaffordability (Managa, 2012:3). Municipalities have limited autonomy to raise funds, and poorer municipalities struggle to meet the service delivery demands (Managa, 2012:3; Mpehle, 2012:223). Poor project planning, management and lack of capacity to execute plans leads to under- or over-spending of budgets. The result of this is that the funds allocated to service delivery and infrastructure are not spent astutely according to demand (Managa, 2012:3).
- **Political infighting.** In Mpehle's study (2012:223) 85% of the respondents expressed concern about political and power struggles within municipalities and the impact of this on service delivery. He claims that the focus of incumbents moved from service delivery to job positions and self-enriching.
- **Corruption.** Corruption, nepotism, abuse of the procurement system and tender fraud are significant problems. Class-conscious public officials who see the state as a medium to uplift their status are undermining the credibility of municipal officials (Managa, 2012:4; Mpehle, 2012:223).

- **Lack of community engagement in the decision-making process.** This refers specifically to the gap between the elected and the electorate. Politicians may think they know what communities want, and because they are misguided they bring in irrelevant programmes (Mpehle, 2012:224). Although there are participatory forums such as ward committees, budget meetings and Integrated Development Forums, as determined by the Municipal Systems Act 32 of 2000, these are often not optimally used (Managa, 2012:4).

The service delivery protests indicate the lack of confidence that many South Africans have in the efficiency, effectiveness and responsiveness of the local government (Managa, 2012:6). Inequality in wealth-distribution and poor service delivery can potentially cause more violent service delivery protests, and unless government embraces and acts on the principle of working in a collaborative manner towards developmental governance, instability will prevail (Managa, 2012:6). It can be deduced that violent service delivery protests slow down social development, since protests often result in damage to infrastructure that is needed to advance the development agenda.

Service delivery protests typically take place in poor communities where there is structural inequality. They have yet to benefit from post-democracy development in South Africa and are faced with a number of legacy challenges that have their roots in the Apartheid history of the country. The protests are a way in which the affected communities vocalise their frustrations and have their issues heard. Many of the structural and social challenges that South Africa faces are complex and needs long-term intervention on a strategic level hence the social development approach is adopted by the government. Inequality is an obstruction to the fulfilment of human rights (Noyoo, 2004:362). In addition, inequality often leads to human rights infringements. The next section explores the concept of human rights in more depth.

2.5 Human rights

There is a close relationship between the capabilities approach to poverty and human rights (Nussbaum, 1997:287; Nussbaum, 2011:23; Sen, 2005:152). Social work is a human rights profession and works towards the universal implementation of human rights (Global Agenda for Social Work, 2012:837; Hare, 2004:216; Healy, 2008:735; Ife,

2001:12). The rights-based approach is frequently adopted by social development organisations and the language of rights is increasingly used in social development practice (Midgley, 2014:201). A rights-based approach suggests to vulnerable people that they have rights to security, dignity and economic opportunity as opposed to some vague claim to assistance from an altruistic government or aid agency (Skegg, 2005:669). It could be argued that all processes required for development work should fulfil and respect human rights. In this way, any change process advanced by development should be transparent, participatory, accountable, respect the dignity and autonomy of those subjected to change and equitable in decision-making and outcomes (Uvin, 2007:603). Although human rights are entrenched in policy and law, there is a strong socio-political association linking it with grassroots development practice (George, 1999:17; Noyoo, 2004:360; Uvin, 2007:604).

The United Nations General Assembly adopted the Universal Declaration of Human Rights on 10 December 1948 in a response to human rights infringements of the Second World War (United Nations, 1948). The aim of the Declaration is to ensure that human rights are recognised globally and that all people are treated with dignity and equity. South Africa was one of the founding members of the United Nations in 1945, and as such supported the Declaration, despite the country's segregation policies at the time. The United Nations played a key role in the fight against Apartheid and the first resolution – Resolution 395(V) - against the policy based on racial segregation was as early as 1950 (The United Nations: Partner in the Struggle against Apartheid [sa]). Since the end of the Apartheid era, South Africa has given the human rights agenda new prominence, and the Southern African office for the High Commission on Human Rights has been based in South Africa since 1998 (United Nations in South Africa [sa]). South Africa has also signed and ratified the African/Banjul Charter on Human and Peoples' Rights in 1996 (African Commission on Human and Peoples' Rights [sa]). Two other significant covenants were proclaimed in 1966, namely the International Covenant on Civil and Political Rights and the International Covenant on Economic, Social and Cultural Rights and together with the Universal Declaration of Human Rights it forms the International Bill of Human Rights (Reichert, 2011:210), both of which had been signed and ratified by South Africa (Claiming Human Rights in South Africa [sa]).

Human rights is a complex concept, but the United Nations (1987:4) provides a general definition:

...those rights, which are inherent in our nature and without which we cannot live as human beings. Human rights and fundamental freedoms allow us to fully develop and use our human qualities, our intelligence, our talents and our conscience and to satisfy our spiritual and other needs. Human rights are based on mankind's increasing demand for a life in which the inherent dignity and worth of each human being will receive respect and protection.

All human beings are entitled to human rights by the virtue of being human (George, 1999:17; Ife & Fiske, 2006:302; Noyoo, 2004:361; Reichert, 2011:208). Human rights can be divided into three groups, namely: 1) civil and political rights (first generation human rights), 2) social, economic and cultural rights (second-generation human rights), and 3) the right to development, the right to peace, the right to a healthy environment and the right to inter-generational equity (third generation human rights) (Ife & Fiske, 2006:304; Lombard & Twikirize, 2014:317; Reichert, 2011:208; Ruppel, 2008:102,103). It is important to consider that all rights are equal and not one of the three sets is more important than the others (Reichert, 2011:210).

Civil and political rights can be described as the group of rights that afford people the right to participate in the political and social life. These are referred to as first generation rights (Reichert, 2011:208; Ruppel, 2008:102) and are seen as constituting the core of human rights. Civil and political rights are individual rights, and states are obliged not to infringe those (Stohl & Stohl, 2010:56). From the point of view of the state, first generation rights are described as negative rights because they protect individuals against the state (Reichert, 2011:209; Smith, 2008:1819). In order to comply with them, states must abstain from interference with the life of an individual. Honey (2009:232) defines civil rights as "rights to participate in the civil life of a society without restriction by race, religion or other contestable categories". Political rights are defined as "the right to participate in the political system including such rights as freedom of speech, freedom of the press and the right to assemble" (Honey, 2009:232).

Social, economic and cultural rights can be seen as the group of rights which give people access to certain basic resources, opportunities and services. These rights include aspects such as the right to an education, work, social security, food, an adequate standard of living and self-determination (Ruppel, 2008:102). These rights, referred to as second generation human rights, can be seen as group rights or collective rights, and pertain to the wellbeing of societies (Reichert, 2011:209; Ruppel, 2008:102). From a statutory point of view, second generation human rights offer positive rights for individual members of groups where the state protects individuals (Reichert, 2011:209; Smith, 2008:1819). Honey (2009:234) states that the second generation of rights involves more than just freedom. He defines social rights as “the right to participate in the daily life of society, such as the right to marry and form a family” (Honey, 2009:232). Economic rights are defined as “the right to participate in an economy, as well as to have basic needs met” (Honey, 2009:232). Cultural rights are defined as “the right to express ones’ culture, including language, religion and patterns of social engagement” (Honey, 2009:232).

Third generation human rights differ from first and second generation human rights in that the realisation of these rights are not only determined by the positive and negative duties of the state, but also by the behaviour of each individual (Ruppel, 2008:103). Third generation human rights focus on the rights of humankind or the collective humanity (Reichert, 2011:209; Stohl & Stohl, 2010:58). They include the right to development, the right to peace, the right to a healthy environment and the right to inter-generational equity (Ruppel, 2008:103). The promotion of third generation rights often requires intergovernmental cooperation on global issues (Reichert, 2011:209).

A discussion about human and environmental rights in the context of promoting social development will not be complete if the concepts of environmental, social and restorative justice are not included. King (2012:464) defines justice as “the state of affairs where each individual has exactly those benefits and burdens which are due to them by virtue of their personal characteristics and circumstances”. Environmental justice is closely related to third order human rights, while social justice relates to second order human rights.

There are many definitions for environmental justice, and the term is used across a number of disciplines. Bass (1998:84) defines environmental justice as the fair treatment and meaningful involvement of all people regardless of race, colour, income, or nationality with respect to the development, implementation and enforcement of environmental law. Fair treatment means that low income and minority groups do not bear a disproportionate share of negative environmental impacts of government action (Bass, 1998:84). Walker (2010:312) distinguishes between procedural justice (the fairness of decision-making) and distributional justice (social patterning of costs and benefits). Larsen, Gunnarson-Ösling and Westholm (2011:415) add substantive justice that concentrates on minimum standards such as a universal right to a clean and healthy environment. Hornberg and Pauli (2007:573) define environmental justice as an uneven distribution of environmental quality between different social groups and relate decreasing socio-economic status to an increasing burden of environmental hazards. Environmental justice acknowledges that some groups within the population face a larger risk from exposure to environmental hazards than others (Ikeme, 2003:197). Environmental justice is based on four major principles (Dominelli, 2012:98), namely:

1. A fair and equitable distribution of environmental risks and benefits.
2. Full participation of local residents in decisions about the environment.
3. Acknowledgement of local culture, traditions, knowledge and way of life of local community.
4. Recognition that local communities and individuals have the ability to make effective and successful choices.

Dominelli (2012:98) points out that although the principles listed above consider interpersonal aspects, it is important to also consider structural inequalities when dealing with environmental justice.

Social justice is one of the primary values of social development practice, and includes economic and environmental justice (Hare, 2004:416; Lombard & Twikirize, 2014:316). Social work challenges the sources of injustice and promotes social and economic inclusion and integration (Lombard & Twikirize, 2014:318). Social workers such as Shirley

Gunn and Ellen Khuzwayo fought against the Apartheid regime in South Africa in a quest for social justice (Healy, 2008:739).

South Africa has a developmental approach to social welfare as set out in the White Paper for Social Welfare (Republic of South Africa [RSA], 1997), which is rooted in a rights-based approach, as is the South African Constitution (Patel, 2005:98). Social justice can be described as an ideal condition in which all members of a society have the same basic rights, protection, opportunities, obligations and social benefits (Hare, 2004:416; Patel, 2005:224). Social justice is about ensuring resources are equitably distributed (Patel, 2005:224). King (2012:464) describes social justice as the distribution of benefits and burdens through a society, as it results from major social institutions. He further explains that social justice deals with the manner in which resources such as education, housing, health care and wages are distributed and the nature of the distribution (King, 2012:465). Balaceanu, Apostol and Penu (2012:678) view social justice as a moral and political concept aimed at equal rights and shared unity, advocating for a more fair society, guaranteed by the redistribution of wealth, and understanding its continuous state of injustice. They explain further that social justice is based on equal rights of any person and the possibility of all human beings, without discrimination, to benefit from economic and social progress, irrespective of the political or social-economic policy (Balaceanu et al., 2012:678).

An important concept relevant to environmental and social justice is *restorative justice*. It is included in the framework for developmental social welfare programmes for offenders outlined in the White Paper for Social Welfare (RSA, 1997). The concept can be defined as a process where all the parties with a stake in a particular offence come together and decide collectively how to deal with the repercussions of the offence and its implications for the future (Gerkin, 2012:278). Roland, Rideout, Salinitri and Frey (2012:435) describe restorative justice as an approach that focuses on repairing the harm caused by offending behaviour while holding the offender accountable for his actions. Golub, Mahoney and Harlow (2013:271) adopt a much broader definition of restorative justice where they look at justice as a resolution of past wrongs that can be committed against an individual (e.g. murder, assault) or against a community either as stolen property (e.g. land) or

systematic oppression (e.g. slavery, Apartheid, genocide). In South Africa, the Truth and Reconciliation Commission was used to promote dialogue and reconciliation, and this can be seen as a form of restorative justice (Patel, 2005:300).

When considering the definition of restorative justice as discussed above, it can be argued that restorative justice can be applied to environmental crimes. Environmental crimes can be seen as acts or oversights that infringe environmental laws or standards and as a result endanger human health and the environment (Holcomb, 2008:204). Practical examples include air and water pollution. Environmental crimes therefore have a human and biophysical dimension and can cause environmental or social injustice. Environmental and social injustice is not necessarily always the result of an environmental crime. Careless development and unintended consequences of development projects can also result in such injustice, and they often remain unmitigated. This is where there is an important role for restorative justice, especially in areas where there is a legacy of social and environmental problems because of industrial development. Globally the “Polluter Pays Principle” which states that the polluter should bear the full cost of its activity forms the basis of the environmental policy of many countries (Faure, 2011:11). If this principle is applied successfully restorative justice will result. It can therefore be argued that social workers, with their history of being involved in social justice, are ideally suited to become involved in restorative justice associated with environmental injustice in the communities where they work. Social workers are known to take action, and this action-orientation of the profession has resulted in social workers securing human rights for individuals and communities (Healy, 2008:746), which should be expanded to securing third-order rights such as environmental rights.

When considering human rights in the context of development it is necessary to reflect on the international debate about business versus human rights that has taken place over the last decade. In July 2005 the United Nations appointed John Ruggie as Special Representative of the Secretary-General on the issue of human rights and transnational corporations and other business enterprises (Ruggie, 2008:3). He created a conceptual and policy framework to guide all relevant role-players. His “Protect, Respect and Remedy” framework consist of three core principles namely the State duty to protect

against human rights abuses by third parties, including business; the corporate responsibility to respect human rights; and the need for more effective access to remedies (Ruggie, 2008:1). In 2011 a document entitled *“Guiding Principles on Business and Human Rights: Implementing the United Nations ‘Protect, Respect and Remedy’ Framework”* was published to assist with implementing the framework (United Nations, 2011a:1). Human rights are no longer only something that activists campaign about, but it has become part of the business agenda striving toward sustainable development. The mandate of communities to campaign against human rights abuses by the private sector has been strengthened significantly by the “Protect, Respect and Remedy” framework. It is imperative that communities should be educated about their rights, especially environmental rights, which possibly have not received as much prominence on grassroots levels as other groups of rights in the past. Social workers work in communities, and have historically been involved in assisting communities with realising their rights. As discussed in this section, there is a definite link between human rights and social work, which is strengthened by adopting developmental social work in South Africa within the context of the social welfare policy framework of the White Paper (RSA, 1997).

2.6 Summary

The social development theoretical framework discussed in this chapter outlines an interrelationship between poverty, human rights, the social protection floor and developmental social work, all of which desire human wellbeing as the ultimate outcome. A rights-based approach, participation, partnerships, social and environmental justice and the increase of capabilities and opportunities are innate to social development. This chapter outlined the social development theoretical framework that was used in study. The next chapter will present a theoretical overview of SIA in the South African context.

Chapter 3. SIA in the South African context

3.1 Introduction

The aim of this chapter is to contextualise SIA in the South African situation. SIA is context-specific (Slootweg, Vanclay & Van Schooten, 2003:56) and its execution must accommodate social, environmental and cultural conditions, regulatory procedures and education levels of the population (Barrow, 2002:193). The chapter commences with an introduction to the concept of SIA, followed by a section on the geography, demographics and culture of South Africa in order to provide a background on the local context in which SIA is conducted.

In South Africa, SIA is predominately commissioned by the government as part of the EIA legislation (Du Pisani & Sandham, 2006:712), and therefore the second section of the chapter explains the government and administration system. The government is responsible for reviewing SIA studies and implementing the recommended mitigation and management measures, and an understanding of the government and administration system is required to fully comprehend some of the challenges associated with SIA.

The last section of the chapter discusses current best practice in SIA from a South African and international perspective. Aspects such as Free, Prior, Informed Consent, Impact Benefit Agreements and Social Impact Management Plans relevant to the SIA context are discussed in this section.

3.2 Social Impact Assessment

Social Impact Assessment (SIA) originated in the 1970's with the establishment of the National Environmental Policy Act of 1969 in the United States (Burdge, 2004:4). Since then the field has grown and developed. Two significant documents were published in the field of SIA. The first is the *Guidelines and Principles for Social Impact Assessment* published by the Interorganizational Committee on Guidelines and Principles for Social Impact Assessment in the United States in 1994 (Interorganizational Committee for Guidelines and Principles for Social Impact Assessment (ICGP), 2003). This was the first document that represented an agreement on core procedures and interpretations of SIA at the time (Burdge, 2004:8; Esteves et al., 2012:35). The second document is the *International Principles for Social Impact Assessment*, published by the IAIA in 2003

(Vanclay, 2003:6) and developed under the leadership of Frank Vanclay (Burdge, 2004:8). This document comprises core values, fundamental principles and key principles that underlie the practice of SIA. It is a discussion document that promulgates a new understanding of SIA with an aim to go beyond only assessing impacts (Vanclay, 2003:6). In the last decade the practice of SIA has evolved rapidly, and the social impacts of resources industries and communities affected by these industries became one of the key areas of research.

SIA is a philosophy about development and democracy that considers the pathologies of development (e.g. harmful impacts), goals of development (e.g. poverty alleviation) and processes of development (e.g. participation, capacity building). One of the objectives of SIA is to ensure that development that occurs maximises the benefits and minimises the cost of that development, especially the costs carried by the community (Vanclay, 2003:3). SIA deals with the process of managing social change and the impacts of social change arising from specific projects. Human rights are a key consideration in SIA (Esteves et al., 2012:35). In the South African context the definition mostly remains an aspiration, as many proponents still use SIA as a point-in-time assessment as part of the EIA process, and social impact management is tenuous. There are promising exceptions to this status. Resource companies and other big corporates are striving to meet international social performance standards, funder requirements or international company policy, and as a result are starting to invest in long term social monitoring and management. In addition, the Mineral and Petroleum Resource Development Act 28 of 2002 was promulgated in South Africa and it requires direct social outcomes in the form of a Social and Labour Plan for each operational mine.

As discussed above, SIA is a tool used in the development field and in South Africa it is closely associated with the development of mines and infrastructure. SIA is currently not used as a tool for social development, but rather as a mechanism to obtain permission for development, as it is predominately commissioned by the government as part of the EIA legislation (Du Pisani & Sandham, 2006:712). There are some challenges associated with the practice of SIA in South Africa. Although Section 24 of the South African Constitution of 1996 and the National Environmental Management Act 107 of 1998 unambiguously

provide an opportunity for sustainability thinking by highlighting the connection between poverty, environmental degradation and quality of life issues (Bond, Pope, Morrison-Saunders, Retief & Gunn, 2014:50), this is not happening in practice.

The potential of EIA (of which SIA is an integral part) to integrate development and environmental issues to ensure sustainable outcomes has been eroded through over-complicated legislative amendments and weak capacity and knowledge amongst authorities in South Africa (Bond et al., 2014:50). In a study that reviews the quality of SIA aspects included in EIA reports in South Africa, Hildebrandt and Sandham (2014:24) confirm the shortage of skills amongst authorities to review SIA reports – environmental scientists usually evaluate the SIA reports. There have been limited academic publications on SIA in South Africa, with only four formal publications in the last decade (Aucamp et al., 2011; Du Pisani & Sandham, 2006; Hildebrand & Sandham, 2014; Malan & Rossouw, 2007). It is therefore important that the body of knowledge about SIA in South Africa should be expanded. Given the context-specific nature of SIA (Slootweg et al., 2003:56), an understanding of the South African setting where SIA is conducted is imperative, and this is presented next.

3.3 The South African context for SIA

South Africa is a multi-cultural, complex society with a history of human rights abuse, and social and economic inequality (NPC, 2012:24; Patel, 2005:300). The complexity and challenges of the South African society for SIA are encapsulated in the cultural, geo- and demographic data available for the country.

3.3.1 Geography, demographics, migration and xenophobia

According to the midyear report on population estimates for 2014, South Africa had a population of approximately 54 million people (StatsSA, 2014a:3). Of this, 43.3 million (80.2%) are classified as black African, 4.5 million (8.4%) are White, 4.7 million (8.8%) are Coloured and 1.3 million are Indian/Asian (2.5%). It is estimated that slightly more than half (51%) of the population is female, approximately 30% of the population is under 15 years old, while 8.4% is older than sixty years (StatsSA, 2014a:2). From an age perspective, the statistics mean that 38.4% of the population can be seen as vulnerable, which emphasise the relevance of social development as priority in South Africa.

With regard to the nine provinces in South Africa, most of the population lives in Gauteng (23.9%), followed by KwaZulu-Natal (19.8%), the Eastern Cape (12.6%), the Western Cape (11.3%) and Limpopo (10.4%) (StatsSA, 2014a:3). Northern Cape is the least populated province (2.2%), followed by the Free State (5.2%), North West (6.8%) and Mpumalanga (7.8%) (StatsSA, 2014a:3). Gauteng and the Western Cape are the economic hubs of South Africa and Limpopo, Eastern Cape and Northern Cape the poorest provinces (StatsSA, 2014b:36). Figure 3.1 below indicates geographic positioning of the provinces.

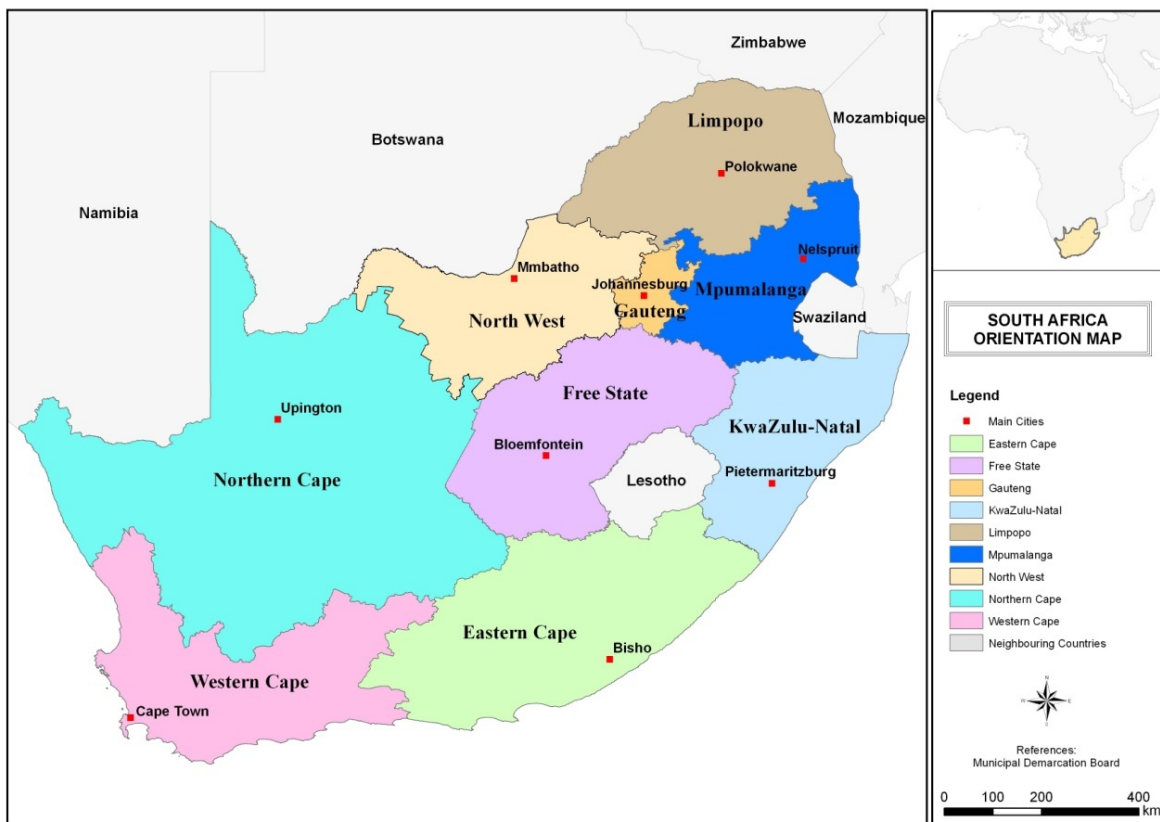


Figure 3.1: Map of South Africa indicating the nine provinces

Population statistics cannot be considered without exploring the concept of migration and the intricacies around migration practices in South Africa and the African region. Migration within the country has been part of South Africa’s history. In the colonial and Apartheid years the government regulated the movement and settlement of all non-white population groups (Bennett et al., 2014:2). People migrated to urban areas for economic reasons, but were not allowed to settle there with their families. A pattern of circular migration between urban and rural dwellings, still evident today, was established (Bennett et al., 2014:2). After 1994 migration patterns did not change as expected, and

with more younger people and females migrating to cities, the urban numbers are increasing whilst extended families remains in rural areas (Collinson, 2009:1).

Migration for economic reasons thus continues to take place in South Africa. The largest number of people that migrate within the country go to Gauteng and the Western Cape, which are the economic hubs of South Africa (StatsSA, 2014a:13). A significant number of people also migrate to Mpumalanga and North West, provinces where there are considerable mining and industrial activities (StatsSA, 2014a:13). The Eastern Cape and Limpopo, South Africa's poorest provinces experience the largest outflow (StatsSA, 2014a:13). Apart from rural-to-urban migration, there is substantial movement within rural areas leading to the growth and densification of informal settlements in these areas, and a concentration of rural settlements next to transport corridors (NPC, 2011:20; Gelderblom, 2007:249).

Migrants are vulnerable members of society (Deumert, Inder & Maitra, 2005:304), and their living conditions in their destination communities are often poor (Bennett et al., 2014:3). They have fewer social networks and informal ways of social protection, and often end up in informal settlements, working in the informal economy, with limited access to housing and services and are more exposed to crime (Cornwell & Inder, 2004:19; Deumert et al., 2005:304). Migrants are therefore at a high risk to end in a downwards spiral of poverty and dependence on social protection measures.

People from the South African Development Community (SADC) have been migrating to South Africa for economic reasons since the colonial era when labour for mining was sourced in neighbouring countries. This trend continues (Truen & Chisadza, 2012:i). It is estimated that approximately 161 280 SADC immigrants work in South African mines (Truen & Chisadza, 2012:8) and between 18 000 and 20 000 work in the agricultural sector (Truen & Chisadza, 2012:10). No statistics of the professional sector is available at the time of writing.

Truen and Chisadza (2012:23) estimate that there are approximately 3.3 million migrants from SADC in South Africa – this includes the illegal immigrants. Most migrants are from Zimbabwe, Mozambique, Lesotho and Swaziland, followed by the Democratic Republic of the Congo, Malawi, Zambia and Botswana. Namibia, Angola and Tanzania (Truen &

Chisadza, 2012:23). Xenophobic violence against black African migrants became part of the post-Apartheid South African landscape (Steenkamp, 2009:441). What is notable about this violence is that black South Africans mainly commit it against black Africans. The nationality of the Africans is also important and South Africans are much more tolerant of migrants from Lesotho, Swaziland and Botswana than of those from Zimbabwe, Mozambique and African nations further away (Steenkamp, 2009:442).

The first reported mass action against foreigners was in Alexandra in late 1994 and early 1995. It emerged again in 2005 and reached its height in May 2008 (Sichone, 2008:255). During the May 2008 xenophobic violence, directed mostly against foreign-born Africans, 62 people were killed, almost 700 injured and thousands of people were displaced (Everatt, 2011:8). African foreign nationals are much more likely to be victims of physical violence in xenophobia attacks in South Africa than any other nationalities (Matsinhe, 2011:296; Everatt, 2011:8). The xenophobia experienced in South Africa can be described as

...racist or nationalist sentiment that sometimes grips entire countries and is expressed more as hatred of, or contempt for, rather than fear of foreigners and foreign things. More often than not, it results in violence against foreigners or war against neighbours. (Sichone, 2008:255)

Struggles for space, jobs and resources as well as crime were cited as main motivation for the xenophobic violence (Abdi, 2011:69; Everatt, 2011:16; Steenkamp, 2009:439). Everett (2011:27) states that xenophobia is a symptom of something much deeper: the legacy of violence, intolerance, dispossession and the use of force to settle disputes. Abdi (2011:695) echoes this sentiment and states that violence was normalised as a tool of social relations and conflict resolution under Apartheid, and for the poor the physical and material issues they face have not really changed.

Migration and xenophobia are very relevant in the SIA field, especially in the mining industry and where large infrastructure is constructed. This type of project often sets off project-induced migration that has significant impacts on local communities and migrants alike. The management and mitigation of this type of impact falls outside the budget and capability of most developers, as it can only be addressed in conjunction with

government and civil society. It needs long-term commitment and involvement and is an ideal place to integrate social development outcomes with social impact assessment. Migration is one of the major social change processes considered in SIA. The IFC recognised the magnitude of this impact, and produced guidelines to manage project-induced in-migration (IFC, 2009). The compilation of an influx management plan and a community safety plan are common inclusions in SIA processes in the extractives industry, especially in a developing context. Such a plan can present SIA with the opportunity to introduce social development outcomes.

Many of the challenges that South Africa faces are interrelated, structural and need to be addressed on a strategic level. The growth in the 21 years since Apartheid ended in 1994 was not sufficient to accommodate the local population or the in-migration and hence many people remain marginalised and excluded. The next section reflects on South African culture, the role that race plays and has played historically in society, the legacy of Apartheid, and the attempts at reconciliation. These aspects form an important part of the South African identity, and influence SIA practice.

3.3.2 Culture, race and reconciliation

South Africa is a culturally diverse and multi-lingual society. The Constitution of the Republic of South Africa 1996 identifies eleven official languages: Sepedi, Sesotho, Setswana, siSwati, Tshivenda, Xitsonga, Afrikaans, English, isiNdebele, isiXhosa and isiZulu. Apart from these languages the Khoi, Nama and San languages, sign language, Arabic, German, Greek, Gujarati, Hebrew, Hindi, Portuguese, Sanskrit, Tamil, Telugu and Urdu are also mentioned in the Constitution as languages that need to be respected as they are spoken by sectors of the South African society. It must be acknowledged that the multi-lingual nature of the South African society contributes to the complexity levels when conducting an SIA, as participation in the process often hinges on appropriate communication (Parsons & Moffat, 2014:275), of which communication in the language of choice is significant. Participation in development, active citizenship and individual and collective empowerment are essential to ensure social development outcomes (Patel & Hochfeld, 2013:692), and this can only take place if affected communities are truly enabled to participate in a language of their choice. From experience the researcher

knows that interpreters are often used when conducting SIA fieldwork in South Africa to include the voice of the people in SIAs.

South Africa is colloquially referred to as the rainbow nation due to the diversity of languages, culture and race. The concept of “culture” in South Africa is complex. Culture can be described as a filter through which the environment is seen and a shared perception that defines “who we are and who we are not” (Smith & Stones, 2001:161). The expression of one’s culture is also seen as a human right (see Chapter 2, Section 2.3) under the International Covenant on Economic, Social and Cultural Rights that came into place in 1966 (Reichert, 2011:210), and was signed and ratified by South Africa (Claiming Human Rights in South Africa, [sa]).

In colonial societies racial and cultural differences were used as the basis for social and political oppression and discrimination (Garuba & Raditlhalo, 2008:35). This practice laid the foundations for Apartheid, where race was used as the overarching basis for discrimination and culture was employed as the rationale for dividing the country into various “homelands” or Bantustans (Garuba & Raditlhalo, 2008:41). Concepts such as “race” and “tribe” had social and political, rather than purely physical, meaning and reference in South Africa (Boonzaier, 1988:58). The political, social and economic status of every individual in South Africa was conditioned or predetermined by his/her race during the Apartheid era (Boonzaier, 1988:58). Apartheid was an unambiguous human rights infringement, since cultural rights form part of the second order human rights group and everyone has the right to express their culture, language, religion and patterns of social engagement without any discrimination (Honey, 2009:232). Race was used to divide the population of the country, and tribe was used to indicate sub-divisions within the African race specifically (Skalník, 1988:69).

Dominated groups saw culture and language as instruments of resistance and a way of reclaiming and reaffirming an African identity. Not only black groups used culture as an instrument of resistance in South Africa. The growth of Afrikaner nationalism amongst white South Africans can be seen as a response to suppression by the British, and in post-Apartheid South Africa the Afrikaners almost instinctively turned to culture and language as instruments of identity (Garuba & Raditlhalo, 2008:41). In this way the white race

group also developed subdivisions with associated prejudices. Recent trends are to use culture as a tool to construct new identities (Garuba & Raditlhalo, 2008:41). Where in the past the Western way of doing things were seen as civilised, modern and progressive, as opposed to primitive, backward and conservative, it is now increasingly acknowledged that to a large extent Western modernity poses a significant threat to the natural environment and that some wisdom is to be found in doing things in traditional ways (Boonzaier & Spiegel, 2008:197).

Culture is not only important from a human rights perspective, but is also an important consideration in SIA and is included in the Values and Principles of SIA (Vanclay, 2003). Any participatory process should be conducted in a culturally sensitive manner, even more so in the South African context where it forms such an important part of reclaiming an identity lost by political processes.

Many South Africans are materially no better off 21 years after Apartheid than they were during the Apartheid years (NPC, 2012:24). South Africa is still a divided society and race remains a key factor shaping inequality and vulnerability with black Africans being the worst-off (Erasmus, 2008:172; Leibbrandt, Woolard, Finn & Argent, 2010:12; NPC, 2012:24; Smith & Stones, 2001:158). There are also substantial within-race inequalities amongst black and white South Africans, and it is increasing (Organisation for Economic Co-operation and Development (OECD), 2013:25). South Africa's Gini coefficient (an indicator of the income gap between the rich and the poor within a country) of around 0.69 is amongst the highest in the world (NPC, 2012:34). This is a matter of concern, as inequality negatively affects economic growth, poverty reduction, social and economic stability and social development (UN, 2013b:21). From an SIA perspective, it must be considered that SIA practitioners in South Africa form part of an unequal society, and just by virtue of their education, position and opportunities, will assume a position of power if they work in a poor community where there are high unemployment and low educational levels.

In the twenty-one years since South Africa became a democracy in 1994 there was significant progress in many areas such as improved access to health care, education, water, electricity, housing and social security for all South Africans (NPC, 2012:24). The

most important item on the agenda of the government was the social, political and economic integration of all South Africans, especially those who suffered most from Apartheid (Spaull, 2012:2). Reconciliation was high on the agenda, and the focus on the psychological and interpersonal aspects were so strong that material aspects lagged behind and structural poverty persisted (Wale, 2013:8) (See Chapter 2, section 2.2.2 for a detailed discussion on poverty and inequality). Structural inequality is one of the legacies of Apartheid that is the most challenging to overcome (Phillips, 2010:4), and citizens see economic inequality and material injustice as the biggest obstacle to reconciliation (Wale, 2013:8). However, tension based on race persists in current South African society and political activity remains racially based (Bradshaw & Haines, 2014:5), so the attempted social and political reconciliation is questionable. Without the political will to change racial tension in South Africa, this situation will continue. Professor Charles Villa-Vicencio, a researcher at the Institute of Justice and Reconciliation in Cape Town, claims that political reconciliation has failed and offers the following solution (Villa-Vicencio, 2013):

Perhaps we should declare a moratorium on the word 'reconciliation', focusing instead on the hindrances to simple co-existence. These include poverty, joblessness, gangsterism, sexual violence, landlessness, terrible education and disease. If we manage to redress these, maybe, but only maybe, reconciliation will look after itself. We know what the obstacles to co-existence and reconciliation are. It is not knowledge we lack, but the courage to do something about these things.

Inclusive development and economic transformation is vital to South Africa's future (Wale, 2013:8), but it is not enough. South Africa will remain a divided society and struggle to achieve the social and economic objectives set out in the Constitution of the Republic of South Africa 1996, if poverty and inequality are not addressed (NPC, 2012:35), but it must be acknowledged that addressing systemic racism and building a cohesive society also plays an important role in uniting the people of South Africa (NPC, 2012:471-472).

Another legacy of Apartheid, and symptom associated with a society in transition, is high crime levels. Crime and corruption are part of the South African landscape. The South

African crime rates are amongst the highest in the world (Demombynes & Özler, 2005:265). South Africa ranks 67 out of 175 countries on the Corruption Perception Index of Transparency International with 1 being the least corrupt and 175 being most corrupt (Transparency International, 2014). On a scale of 0 (highly corrupt) to 100 (very clean) South Africa scores 44 points (Transparency International, 2014). The Global Competitiveness Report ranks South Africa 133 out of 144 regarding the business cost of crime, 99 out of 144 regarding organised crime and 102 out of 144 regarding the reliability of the police services (WEF, 2014:340). South Africa's murder rate is approximately five times higher than the global average in 2013 (AfricaCheck, 2014). The South African Police Services ascribe murders to: aggravated robberies, domestic violence, alcohol-related arguments, drug and substance abuse, faction-fighting, violent unrest (particularly labour unrest in the mining sector), illicit-mining related killings, gang-related killings, great number of knives and firearms available, sexual-related offences, cross-border crimes related to car-hijacking, taxi violence, stock theft, economic refugees targeted as cash bases, densely populated informal settlements and drug-wars (SAPS, 2013:13). In 2012 one in every five (22.2%) learners had been a victim of school violence in South Africa (Burton & Leoschut, 2012:11). There is a correlation between some of these aspects and poverty, inequality, unemployment and migration. It is not uncommon for desperate people to turn to crime as a livelihood strategy in order to survive.

Apartheid had a severe effect on South African society, and from the discussion above it can be reasoned that this negative impact persists more than two decades later. Spatial patterns were disturbed, economic and social development stunted and the humaneness of a nation has been damaged. According to the White Paper on Local Government (RSA, 1998b) one of the ways in which the new government attempted to rebuild communities and to address some of the issues was via the actions of local government.

The next section will discuss the South African government and administration system in order to provide insight in the role of local government in a developmental society. It is important to understand how government works from an SIA perspective, considering the recommendations of SIAs and in alignment with adopting social development as a

priority to address poverty and inequality, government is well positioned being the designated authority in ensuring social development outcomes.

3.4 Government and administration

South Africa is a constitutional democracy, which means that the governing structures are designed to support the will of the majority whilst simultaneously protecting the rights of minorities (RSA, 2013b:286). The structures, powers and limits of government are described in the Constitution (RSA, 2013b:286). There is a three-tier government system consisting of national, provincial and local government. All three levels of government have legislative and executive powers in their own domain (RSA, 2013b:286). Each level of government is responsible for a different aspect of service delivery: national government must deliver protection services, bulk services and part of the transport network; provincial government must deliver housing, schools and clinics and local municipalities are responsible for planning, water delivery, electricity, sanitation and refuse removal (NPC, 2012:45).

The national government has its legislative authority in Parliament. Parliament comprises the National Assembly and the National Council of Provinces (NCOP) (RSA, 2013b:287). The National Assembly is elected for five years, represents the people through a system of proportional representation and elects the president of the country (RSA, 2013b:287). The NCOP represents provincial interests and needs a mandate from the provinces before it can make decisions (RSA, 2013b:288). Each province in South Africa has its own legislature whose members are elected via a system of proportional representation. The head of the province is the Premier who is appointed by the President (RSA, 2013b:297).

The Constitution of the Republic of South Africa 1996 allows for three types of municipalities namely metropolitan, district and local municipalities. There are 8 metropolitan, 44 district and 226 local municipalities in South Africa (RSA, 2013b:299). One of the aims of the system, which is embedded in South African legislation in the Municipal Systems Act 32 of 2000, is to ensure that local government truly represents its constituency. There is a distinction between political and administrative positions. This presents a challenge to local government because the South African election system is not based on constituencies, but members of parliament are elected from a party list. The

result is that constituencies often feel that their interest is not represented in parliament, but that politicians rather serve their own interest (Mpehle, 2012:224). Local government is the closest form of government to communities on the ground, and it is important that there is a direct interface between communities and this sphere of government. From an SIA perspective, local and provincial government are usually engaged in the SIA process via consultation, but the EIA authorisation process (of which SIA forms part) sits with either the National Department of Environmental Affairs, or with a provincial department responsible for the environment with is mandated by Section 24C of the National Environmental Management Act 107 of 1998. The local municipalities are consulted, but do not have the authority to make decisions about whether a project continues or not.

The White Paper on Local Government (RSA, 1998b) introduced the concept of *developmental local government* to South Africa, which committed local government to work with citizens and groups in the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives (Cooperative Governance and Traditional Affairs [CoGTA], 2009a:12). This resonates with the principles supported by the White Paper for Social Welfare (RSA, 1997) which focuses on social rights and equity, partnerships between the public sector and civil society and an integration of welfare services with economic development (Patel, 2005:1)

Developmental local government gives communities the right to participate in decisions that support development in their area, but it also gives local government the responsibility to encourage community participation in local government matters (CoGTA, 2009a:13). All South African municipalities are demarcated into wards. A ward councillor and a ward committee of ten elected members lead each ward. Ward councillors and committees are important stakeholders in the SIA process, and in practice they are often the first people that an SIA practitioner engages with. The wards form the basis of participatory and democratic local government. Although this system theoretically seems sound, there are challenges on a practical level and from a recent report on service delivery it transpires that these committees do not function optimally (CoGTA, 2009a:14).

The South African governance system also recognises the role and authority of traditional leaders in the Traditional Leadership and Framework Act 41 of 2003. The areas under

traditional control cover about 20% of the country's land area and 21% of its population (CoGTA, 2009a:17). These areas only contribute 3% to the economy of the country and this has consequences for the socio-economic, demographic and governance conditions in these areas (CoGTA, 2009a:17), and for social development, as these areas are often poor and in dire need of development. Many municipalities have indicated that there is a poor working relationship between themselves and the traditional authorities (CoGTA, 2009a:17). Both traditional and local authorities must be consulted in any SIA process to avoid conflict and power struggles. In practice, consulting with traditional authorities can be time-consuming due to the protocols required and the fact that decision-making processes in traditional communities are protracted (O'Faircheallaigh, 1999:64). This does not always fit in with the timeframes allowed for SIA studies.

The White Paper on Local Government (RSA, 1998b) envisaged a new vision for post-Apartheid society with idealistic outcomes (Powell, 2012:12). Twenty-one years after democracy it is clear that many of the outcomes have not been attained. Powell (2012:12) describes current local government as follows:

Formal electoral competition coexists with increasingly violent public protests between elections. Pockets of performance endure amidst systemic corruption and mismanagement. And the expectations of policy-makers continually exceed local delivery capacity and the skills base of the economy. Local government is a reflection of South African society, and it is the deeper fault lines in our society which have consistently shaped the design and impact of policy.

In a review conducted by the Department of Cooperative Governance and Traditional Affairs it transpired that local government is in distress and that it faces a number of challenges (CoGTA, 2009a:4). Politics and corruption have contributed to the demise in municipal functioning (CoGTA, 2009a:10). Acknowledging that local government is a key part of reconstructing and developing the country, and that there are significant development risks if local development fails, the Department of Cooperative Governance and Traditional Affairs created a Local Government Turnaround Strategy (LFTAS) in 2009, which entailed a five year plan (CoGTA, 2009b:3). There were two major driving forces

behind the LFTAS, first the increase in community discontent about service delivery which started to manifest in service delivery protests that caused significant financial damage to private and state property, and second the fact that 279 out of the then 283 municipalities received poor audit opinions in the 2007/2008 audit cycle (Kroukamp, 2011:37).

The LFTAS had three key priority areas, namely improving access to basic services; deepening participatory democracy; and improving financial administration and managerial capacity (Powell, 2012:21). Almost five years later it does not look as if the strategy was successful, as the number of service delivery protests in South Africa has increased significantly in the last five years (see Chapter 2, Section 2.2.2.2 for a discussion on service delivery protests) and in the 2013-14 financial year only 58 (17%) of South Africa's 278 municipalities received clean audits, with only two of the eight metropolitan municipalities amongst those (RSA, 2015). The bad performance of local government has dire implications for SIA and social development. Participation, which is a key characteristic of both SIA and social development, is threatened by the inability of the local government to meet the need of the affected communities. SIA is conducted at grassroots levels, and requires SIA practitioners to work in communities. There have been incidences where SIA practitioners could not enter communities due to protests, or otherwise needed police protection to do so (Muller, 2014). On more than one occasion the researcher was prevented from entering communities to conduct SIA fieldwork due to unrest in the community, either by gatekeepers advising her not to enter, or being physically prevented by road blocks and burning tires. This clearly leads to a power imbalance where SIA practitioners submit reports without proper consultation, thus losing the voice of the community, or where powerful community members intimidate the less powerful and do not allow them to participate in the process. Furthermore, possible human rights infringements may take place, either through physical violence or through lack of participation and choice, but these scenarios are a reality for SIA practitioners in South Africa. The best international practice of SIA will be discussed in the next section.

3.5 Social Impact Assessment international best practice

Although SIA is practiced in South Africa, there is a gap in the literature about SIA in the South African context, and the SIA community of practitioners relies on the international SIA community for guidance on best practice and new trends. The aim of this section is to discuss the current international best practice in the SIA field, and to relate it back to the South African situation.

Outside of South Africa SIA is a field of research as well as a framework used to manage the social issues associated with development (Esteves, Franks & Vanclay, 2012:34). Originally SIA was only viewed as a technique for predicting impacts as part of an Environmental Impact Assessment (EIA) process. As the field of SIA developed, the understanding of the real extent of social impacts expanded, and the official definition adopted by the International Association for Impact Assessment (IAIA) reflects this. SIA is defined as:

The process of analysing (including predicting, evaluating and reflecting) and managing the intended and unintended consequences of planned interventions (policies, programs, plans, projects) on the human environment and any social change processes invoked by those interventions in order to bring about a more sustainable and equitable biophysical and human environment (Vanclay, 2003:6).

The SIA process is well established (compare Burdge, 2004; Taylor, Bryan & Goodrich, 1995; Finsterbusch, 1995; Interorganizational Committee, 2003; Vanclay, 1999). Based on the established process and taking new trends in the field into consideration Esteves et al. (2012:35) identify current international good practice in SIA as follows:

- Create a participatory process and space for community discussions about future outcomes, acceptability of likely impacts and benefits and community input into the SIA process. This will assist the community to negotiate an agreement with the developer based on Free, Prior, Informed Consent (FPIC).
- Get a good understanding of the communities likely to be affected by the proposed development. This includes a stakeholder analysis to assist with

understanding the different needs and interest of various sectors in the communities.

- Identify community needs and objectives.
- Scope the key social issues, including negative impacts and opportunities for creating benefits.
- Collect baseline data.
- Forecast the social changes that may result from the proposed project.
- Establish the significant changes that may result from the proposed changes and predict how the various affected parties may respond.
- Examine other options.
- Identify ways of mitigating negative impacts and maximising positive opportunities.
- Develop a monitoring plan to inform the management of change.
- Facilitate an agreement-making process between communities and the developer to ensure the FPIC principles are followed and human rights are respected, leading to the drafting of an Impact and Benefit Agreement (IBA).
- Draft a Social Impact Management Plan (SIMP) that activates all benefits, mitigation measures, monitoring and governing arrangements that were agreed to in the IBA. The SIMP must also include plans for dealing with unanticipated issues.
- Put processes in place to assist all parties involved to implement the IBA and SIMP and to internalise it in their organisations.

A number of concepts that emerged recently in the SIA field are included in the process. Concepts like FPIC, IBA and SIMP are not frequently used in the South African context, or different terminology is used to describe the concepts. These concepts require elaboration and a critical review particularly in respect of their relevance in the South African context.

3.5.1 Free, Prior, Informed Consent

Free, Prior, Informed Consent (FPIC) means that communities decide whether or not to allow projects that affect their land and resources to continue, and on what terms (Swiderska, Milligan, Kohli, Shrumm, Jonas, Hiemstra & Oliva, 2012:25). It is a concept used to protect the human rights of indigenous peoples, as it is recognised that many states have failed to protect the rights of marginalised people (Szablowski, 2010:112). From a legal perspective FPIC is currently provided exclusively for indigenous and other traditional people (Hanna & Vanclay, 2013:148). The International Labour Organisation (ILO) adopted the *Indigenous and Tribal Peoples Convention*, known as ILO 169 in 1989 (Baker, 2012:676; Esteves et al., 2012:37). ILO 169 advocates FPIC, and was followed by the United Nations Declaration on the Rights of Indigenous Peoples in 2007 (Baker, 2012:676; Esteves et al., 2012:37). FPIC is a human rights concept with legal standing in certain jurisdictions (Vanclay & Esteves, 2011:7). ILO 169 recognises and safeguards the special relationship between indigenous peoples and their land. Article 7 states that indigenous and tribal peoples have the right to “...decide their own priorities for the process of development as it affects their lives, beliefs, institutions and spiritual wellbeing and the lands they occupy or otherwise use, and to exercise control over their economic, social and cultural development” (ILO 169, 1989). The convention does not define whom traditional and tribal peoples are, but provides some guidance to assist self-identification. South Africa has not ratified ILO 169 (ILO [sa]), and this has negative implications for SIA and social development, especially when dealing with indigenous groups who may be marginalised and disadvantaged.

There is a discourse about the meaning of the term “indigenous”, as it is applied in different international contexts. The United Nations states that there is no universal definition for indigenous peoples, partially because indigenous peoples themselves have refused to be defined as they deem it discriminatory and unnecessary (United Nations Environment Programme [UNEP], 2012:3). The United Nations identified a set of criteria that assists with determining whether a group can be seen as indigenous or not. Self-identification as indigenous or tribal is a key criteria. Other criteria include having a historical connotation with a region before colonisation; strong links to territories, ecosystems and surrounding natural resources; maintaining distinct social, political and

economic systems; maintaining distinct language, culture, belief and knowledge systems; resolve to maintain and further develop their identity as distinct peoples and communities, and often forming non-dominant sectors of society (UNEP, 2012:4).

No criteria for identifying indigenous people exist in South Africa, as it views all black people as indigenous (Chennels & Du Toit, 2004:98; Mukundi, 2009:1; Sapignoli & Hitchcock, 2013:356). The term 'indigenous' is mostly used to refer to the language and legal customs of the majority black population (Chennels & Du Toit, 2004:98; Mukundi, 2009:1; Sapignoli & Hitchcock, 2013:356). According to the United Nations criteria, the various San groups, Nama and Griqua are the only indigenous groups in South Africa (Chennels & Du Toit, 2004:98; Mukundi, 2009:1). In South Africa these groups are included in the category of vulnerable, marginalised communities (Sapignoli & Hitchcock, 2013:356). Smith, Nindi and Beckhaus (2011:15) state that the distinction between indigenous and other local communities has little practical or legal relevance in Africa. Perhaps the term "vulnerable communities" is more appropriate in the South African context, as it transcends racial and cultural boundaries. It is important to consider that indigenous rights do not imply that these groups have additional or special rights, but that they are marginalised and need assistance to protect their basic human rights (International Work Group for Indigenous Affairs [IWGIA], 2006:12; Hays & Biesele, 2011:4). Vulnerable communities will have similar challenges, and therefore need similar protection from an SIA perspective. The right to self-determination is a basic human right (Dominelli, 2012:98), a right that is often compromised when dealing with vulnerable communities, and this right is one of the pillars of FPIC.

Each of the words constituting FPIC contributes meaning to the term (Vanclay & Esteves, 2011:6). *Free* means that there should be no coercion, intimidation or manipulation, and that there should be no retaliation if a community withhold consent. *Prior* implies that consent must be sought and received before any activity starts and adequate time for consultation and consensus processes must be allowed. *Informed* means that people should receive enough information about the proposed project and its potential consequences to really understand the implications. The information should be accessible and in a language that the affected community understands. *Consent* means that

communities have a real choice and can say yes or no to a project (compare Barelli, 2012:3; Hanna & Vanclay, 2013:150; Hill, Lilywhite & Simon, 2010:9; Vanclay & Esteves, 2011:6).

The concept that communities can “veto” developments and therefore have rights that impact on the control of the state over natural resources and national legislation is causing some controversy (compare Baker, 2012:686; Barelli, 2012:2; Hanna & Vanclay, 2013:151, 153). Apart from the practical challenges involved, such as dealing with community dynamics and identifying voices to speak on behalf of communities, it must be acknowledged that the project cycle has proceeded quite far at the stage where impact assessors get involved, and in reality the FPIC process should be initiated much earlier in the process. FPIC is now seen as an aspirational goal rather than a legal requirement (Baker, 2012:686; Hanna & Vanclay, 2013:151).

The International Finance Corporation (IFC), an important role-player in the field of structural development, does not support the “veto” right of communities (IFC, 2012:49). Performance Standard 7, which deals with Indigenous Peoples, states that FPIC does not necessarily requires agreement and may be achieved even if individuals and groups in the community explicitly disagree. The focus is on good-faith negotiation between the proponent and the affected communities (IFC, 2012:49). Baker (2012:688) explains that the IFC interprets FPIC as consultation plus something else, and that “consent” does not mean consent, but rather a robust consultation process that is recorded in writing. This means communities should be consulted properly about their fate in big development projects, but do not really have the last say. From this perspective, companies use FPIC as a way to obtain a social licence to operate, which can be described as an informal mechanism that relates to the way in which corporates and their activities meet the expectations of the communities in which they operate (Vanclay & Esteves, 2011:6), rather than an altruistic tool to ensure human rights. A social licence to operate mitigates social risks to a company’s operation (Baker, 2012:674). The International Council on Mining and Metals’ (ICMM) position statement on Indigenous Peoples and Mines (ICMM, 2013) also stresses good-faith negotiation, but acknowledges the right of indigenous peoples to give or withhold their consent for projects. The commitments in the position

statement must be implemented by May 2015. The South African Chamber of Mines is a member association of the ICMM, and leading mining houses with mines in South Africa such as African Rainbow Minerals, Anglo American, Xstrata, BHP Billiton, Anglo Gold Ashanti and Goldfields are member companies. This will bring the FPIC requirement into the centre of South African environmental practice, as mining is one of the pillars of the economy and subject to environmental legislation. It is clear that there are different interpretations of what FPIC means and how to implement it in practice.

SIA can contribute to the FPIC process by providing information, consultation processes and linking relevant parties. Vanclay and Esteves (2011:7) claim that the series of steps to obtain FPIC is remarkably close to the basic steps of SIA. SIA in the South African context is mostly used as part of an EIA process. If FPIC is seen as “consultation plus” it may form part of robust SIA and EIA processes, but at present it is certainly not the norm. The main reason for this is the way in which South African environmental legislation is interpreted by consultants and developers.

The environmental legislation in South Africa does not explicitly allow for FPIC, but it does provide for various levels of consultation. The Mineral and Petroleum Resources Development Act 28 of 2002 (MPRDA) has limited consultation requirements and allows proponents to apply for prospecting and mining rights without consulting the affected parties (Farrell, Hamann & Mackres, 2012:203). The parties need to be consulted only once an application has been lodged, and the consultation must occur within specified timeframes. According to the MPRDA the State owns all the mineral rights in South Africa, and should act as trustee and custodian on behalf of communities. The MPRDA has taken communities out of the equation and is not as progressive as it seems. Instead of protecting marginalised communities, it supports the interest of the state and multinationals (Murombo, 2013:48). The National Environmental Management Act 107 of 1998 (NEMA) prescribes environmental impact assessments and a more thorough public consultation process to ensure that the authorities can make informed decisions. It is however not a democratic process, and the authority can enforce decisions despite public resistance. This is in contrast with the Constitution of the Republic of South Africa 1996 that recognises customary law as a legitimate source of South African law, and therefore

any disposal of communal land should require community consent (Smith et al., 2011:2). It is not a straightforward process, as in South Africa communities often do not own the land on which they live, but they have the right to use the land. The ownership is therefore with the government, whilst local government and traditional leaders often share the management. The state has tremendous powers being the landowner and the decision maker (Murombo, 2013:40). The government bases its rights on the formal laws of the country, whilst traditional communities base their rights on traditional land rights and customary law – this in itself has the potential for significant conflict (Gqada, 2011:17). There are a number of examples in South Africa where FPIC has not been obtained from traditional communities and where developers have been advantaged to the detriment of the affected communities. Examples in the mining industry include the community at Sekuruwe who lost land to tailings dams and whose graves were relocated without the agreement of the community (Smith et al., 2011:6); the relocation of 10 000 people from Ga-Puka and Ga-Sekhaolel which triggered an investigation of the South African Human Rights Council (Farrell et al., 2012; Smith et al., 2011:8); Vele Colliery where mining rights were awarded despite being in a water-stressed area near a World Heritage site and significant community opposition (Murombo, 2013:36), and the AmaDiba community conflict over mining in the Eastern Cape (Gqada, 2011:5). Murombo and Valentine (2011:86) state that the process of democratic participation promoted by NEMA and the need for accelerated infrastructure development sits uncomfortably next to each other, and it is relevant to FPIC as well.

A recent trend in South Africa is the emergence of strategic litigation against public participation (SLAPP) suits. This poses a threat to public interest in environmental processes (Murumbo & Valentine, 2011:83). Murumbo and Valentine (2011:84) defines a SLAPP suit as “...a meritless case mounted to discourage a party from pursuing or vindicating their rights, often with the intention not necessarily to win the case, but simply to waste the resources and time of the other party until they bow out.” The public’s right to freedom of expression and public participation and the need to protect the environment is contrasted with the property rights, rights to execute their business and reputational risks of developers. There are a few examples of SLAPP suits resulting from NEMA processes in South Africa, for example a property developer, Wraypex sued

the members of the Rhenosterspruit Conservancy in their personal capacities; PetroProp, a fuel station developer sued the chairperson of the Libradene Wetland Association in her personal capacity; and Anglo Platinum filed suit against Richard Spoor, an environmental activist and lawyer (Centre for Environmental Rights [sa]; Murambo & Valentine, 2011:97-101). In all these cases community members or their representatives aimed to protect their communities from potential environmental and social impacts, and voiced their concerns. They used the procedures designed to ensure environmental processes are participatory, and it is clear that the communities did not give their consent for the proposed developments. Clearly, FPIC was not a consideration in any of these processes.

Although FPIC is gaining ground internationally, it is important to consider the potential challenges to such a process, especially in the South African context. Communities are not homogeneous groups and have different views and perspectives on matters (Smith et al., 2011:24). Unscrupulous developers or officials can use this to their advantage by dividing communities and causing internal conflict that may influence the outcomes of any consultation process (Murombo, 2013:45). The decision about who truly represents the affected community may cause conflict in communities (Smith et al., 2011:24). Another challenge to FPIC in South Africa is customary landownership, where the State owns the land (according to Western law) and communities have right of use (Murombo, 2013:40). The intention of FPIC is to protect these vulnerable communities, but should the State decide a project is in the national interest, the communities may have little space for self-determination and the State could exercise their property right. The ambiguity about who comprise indigenous people or vulnerable communities may create challenges for FPIC. In South Africa there are many examples of hijacked opportunities meant for vulnerable communities, often by abusing Black Economic Empowerment (BEE) laws (Murombo, 2013:44). The high levels of corruption, lack of trust in the government, service delivery backlog, poverty gap and unequal power relations are other factors that may impede FPIC. FPIC is not yet ingrained in SIA processes in South Africa, where budgets often determine the level of participation, legislative processes do not allow extended consultation and developers just aim to meet the legal requirements. This does not mean that there are not robust SIA processes, but it is certainly not the norm.

3.5.2 Impact and Benefit Agreements

Impact and Benefit Agreements (IBAs) are negotiated agreements between communities and companies. Traditionally these kinds of agreements will only be relevant when dealing with indigenous communities. It is done via a contract in which community representatives provide documented support for a project in exchange for specific benefits such as direct payments, employment opportunities, protection of specific land or resources and a greater role in monitoring of impacts (compare Fidler, 2010:234; Franks, Fidler, Brereton, Vanclay & Clark, 2009:44; Le Meur, Horowitz & Menneson, 2013:648 and O’Faircheallaigh, 2013:222). It is usually privately negotiated without government input (Caine & Krogman, 2010:79) and is a formal, binding agreement between the business and institution or formal organisation that best represent the interest of the community (Rio Tinto, 2012:3). Caine and Krogman (2010:80) provide a wider definition when they describe IBAs as agreements that establish formal relationships between signatories, mitigate negative development impacts and enhance positive outcomes. With this definition they place IBA in the context of social impact management. There are different terms used for IBAs depending on the context and country where it is done. These terms include Negotiated Agreements (NA), Community Benefits Agreements (CBA), Native Title Agreements (NTA), Indigenous Land Use Agreements (ILUA), Consent Agreements (CA), Development Forum Agreements (DFA) and Community Development Agreements (CDA) (O’Faircheallaigh, 2013:222). For the purpose of this discussion the term IBA will be used.

IBAs originated in Australia and Canada as a way to formalise the negotiations between indigenous people and extractive companies, and is now the standard way of approaching such negotiations in these countries. Before IBAs emerged, the only way of addressing social and environmental impacts of development was via the social and environmental impact assessment process (Hanna & Vanclay, 2013:153). IBAs are also common in New Zealand and the United States and they are gaining popularity in a number of developing countries such as Papua New Guinea, Brazil and Peru (Hanna & Vanclay, 2013:153; O’Faircheallaigh & Gibson, 2012:10). IBAs typically include financial payments and expenditure arrangements; employment and contracting requirements; environmental, social and cultural impact management; capacity building; governance

agreements; and any agreements related to the way in which the local community use certain pieces of land (Caine & Krogman, 2010:81; ICMM, 2010: 61; O’Faircheallaigh, 2013:228).

The World Bank (2012:7) states that the process of negotiating an IBA¹ is as important as the outcome, as it helps building capacity for negotiation, builds relationships and establishes trust and respect. There are many advantages associated with IBAs. From a company perspective, an IBA is a risk management tool that can manage a number of potential risks emanating from government and civil society which could end up in reputational damage, time delays and expensive law suits (Fidler, 2010:237; Le Meur et al., 2013:649; O’Faircheallaigh, 2013:226). Rio Tinto (2012:4) declares that it is one of the most stable ways to ensure that community support for a project or operation can be obtained and verified. It also advantages communities by offering them opportunities to influence or participate in developments and help them to reduce the risks brought on by rapid development (Franks et al., 2009:44; Le Meur et al., 2013:649). Some other benefits associated with IBAs include clarifying roles and enhancing transparency; enhancing participation, engagement and consultation; identifying needs, building capacity and maximising benefits; encouraging business best practice standards; and contributing to sustainability (World Bank, 2012:8).

IBAs are not a panacea for ensuring that benefits are directed to communities. There are some risks associated with IBAs. Community conflict can result if there is a lack of commitment or clarity on either side, if no clear mandate is given to community representatives or if the representatives are not seen as legitimate (O’Faircheallaigh, 2013:233). Division in the community can benefit one group at the expense of others, or lead to exclusion of communities or groups within communities (Baker, 2012:701; O’Faircheallaigh, 2013:233). This can cause mistrust and uncertainty that will further erode relationships. IBAs can place companies in the role of a surrogate government and

¹ The World Bank uses the term Community Development Agreement (CDA) but for the sake of consistency the term IBA will be used.

foster dependency, and governments can abdicate the responsibilities that they have to these communities to the corporates. Formal agreements and legal requirements can lead to a tick box approach which will result in companies doing the minimum and remove creativity from the process (World Bank, 2012:9). The fact that affected communities often represent the most ostracised section of the population with limited access to education, legal representation or business skills underlines the power imbalance between the parties when IBAs are negotiated (Baker, 2012:700; O’Faircheallaigh, 2013:231). IBAs are often confidential and not publically available, and this lack of transparency may disadvantage vulnerable communities who negotiate with corporate players that in all likelihood have been exposed to similar processes and have institutional knowledge and capacity (Baker, 2012:701). A key concern is the disparity between Western consultation and decision-making processes and indigenous processes and the ability of the parties involved to accommodate the incongruity (Baker, 2012:700; Campbell & Hunt, 2012:201). The equity of the distribution of benefits must be ensured as unequal distribution, misappropriation or waste of benefits can lead to serious social conflicts and erosion of social capital (O’Faircheallaigh, 2013:233). Factors within communities such as corruption, skewed power relations, benefit-sharing and leadership issues can also impact on the success of IBAs (O’Faircheallaigh, 2013:233).

IBAs are not common in South Africa. The most comparable practice is Social and Labour Plans (SLPs), as required under the Mineral and Petroleum Resources Development Act 28 of 2002 (MPRDA). A SLP must include Human Resource Development Programmes, a Mine Community Development Plan, a Housing and Living Conditions Plan, an Employment Equity Plan and Processes to save jobs and manage downscaling or closure (DMR, 2010:4). Apart from transformation, the aim of SLPs is to promote employment and advance the social and economic welfare of all South Africans and to ensure economic growth and social development. The management of downscaling or closure aims to minimise the impact of mine closure, irregularity of commodity prices and economic volatility (DMR, 2010:4). All mines in South Africa must have an SLP in order to receive mining or production rights, which are held by the government. SLPs are only applicable to mining activities, and are not a requirement in environmental processes in other industries.

There are a few fundamental differences between IBAs and SLPs. Where IBAs are agreements between communities and developers (mostly mines), SLPs are legislated agreements between the mines and the government, and communities have limited input in the SLP and its outcomes. The SLP guidelines state that communities should be consulted when drafting an SLP, but it does not specify the level of consultation and merely states that the mine should “through consultation with communities and relevant authorities provide a plan” (DMR, 2010:17). The expectation is that SLPs should align with municipal Integrated Development Plans (IDPs) (DMR, 2010:18). There is a consultation procedure associated with the IDP process where grassroots communities can participate in planning meetings (Coetzee, 2002:11). In reality government officials play a major role in the negotiation about SLP projects, it frequently is politicised and community consultation is very often superficial due to time constraints. The priorities of government officials and those of communities regularly differ, but communities are frequently excluded from SLP negotiations for various reasons. Mining houses are sometimes reluctant to engage with local communities, as they are concerned about creating expectations, and the legislation is written as such that the SLP must be submitted and approved before a mining right can be approved and the EIA process is initiated. In this context SIA is still viewed as part of the approval process in South Africa and a once-off occurrence, although some mines, notably the large corporates, are starting to engage SIA practitioners earlier in the process.

SLPs are confidential documents, and it is only the annual reports of the mines that provide any indication of their impact in the public domain (Franks et al., 2009:41). This means that communities often do not know the contents of the SLP, and what benefits they will receive. Communities do not have access to mining royalties, as these accrue to the central government in line with the provision in the MPRDA that all minerals belong to the state, and the state must redirect these royalties to affected communities (Curtis, 2009:11; Sorensen, 2011:186). Although SLPs have lofty aspirations, their contribution to making the lives of communities affected by mining better are questionable (Andersson, 2010:32; Rogerson, 2012:131; Sorenson, 2011:183). The SLP guidelines are vague and there is a lot of confusion about the detailed content of an SLP, also amongst authorities (Andersson, 2010:31,32). For example, any SLP must contain at least one infrastructure

and one income generation project, depending on the size of the mine. This requirement is not explicit in the SLP guideline. It seems as if the interpretation of the MPRDA differs on local and national level. It is common practice for an SLP to be resubmitted several times before being approved (Andersson, 2010:31,32). Mines are also not allowed to address project related social impacts via their SLP. An SLP is therefore not really a social impact management instrument, and it falls short of the requirements of an IBA. The SLP legislation is a work in progress, and still needs significant input from social development practitioners to ensure that it can truly contribute to poverty alleviation, empowerment and equity.

3.5.3 Social Impact Management Plans

Social Impact Management Plans (SIMPs) are a management tool for addressing social impacts during planned interventions such as projects, plans, programmes and policies (Franks & Vanclay, 2013:41). It establishes the roles and responsibility of proponents, government, stakeholders and communities to mitigate and manage social impacts and opportunities throughout the project lifecycle (Queensland Government, 2010:2). SIMPs provide a good opportunity to link project activities with local and regional planning (Franks & Vanclay, 2013:41). SIMPs are also referred to as Social Management and Monitoring Plans (SMMPs), social action plans or social management plans. Where environmental management plans (EMPs) are standard requirements with each EIA process, SIMPs are a relatively recent phenomena, and not much literature about the topic is available. In South Africa the common practice is still to include social aspects in the EMP, which is compiled by the environmental assessment practitioner from the SIA report, and SIA practitioners have little influence over the final product. This practice is changing as funding organisations like the IFC, large mining houses and corporates are increasingly requesting social action plans as part of the outcomes of the assessment process (Franks et al., 2009:41; Franks & Vanclay, 2013:41; Rowan & Streather, 2011:225).

There are ways to ensure some SIMP requirements are achieved by developers, such as including it in bid documents, making it a condition for the loan or including it in construction contracts (Rowan & Streather, 2011:225). Requirements which are the

easiest to include are labour requirements; working conditions; worker accommodation and standards; recruitment procedures; code of conduct for workers; social staff requirements and skills sets; staff training; and public liaison and grievance mechanisms (Rowan & Streather, 2011:225). Although these are social aspects, they are not representative of general social mitigation measures and contribute minimally to social development. Developers and environmental scientists are often reluctant to include non-tangible issues in project documentation, due to the challenges with measuring and monitoring of these issues. They also view it as unnecessary expenses that will reduce their profit, and even if it is included in the project bid and specifications developers often do not allocate sufficient financial and human resources to social aspects. There is also a shortage of experienced social practitioners in the environmental field in South Africa, which exacerbates this problem.

Franks and Vanclay (2013:41) state that management and monitoring have been underrated in SIA processes, and that SIA has historically been regulated as a once off, point in time assessment. Unfortunately this is still mostly the case in South Africa (Aucamp et al., 2011:44). Franks and Vanclay (2013:41) are of the opinion that SIA, through SIMPs, can act as a bridge to a company's community relations and corporate social responsibility (CSR) practices. The practical challenge in the South African context is that CSR and community relations are often in-house functions, and SIA is done by an independent outside consultant to meet regulatory requirements. Another challenge is that at the point where an SIA is conducted, especially with green fields developments (new developments), these posts are often not immediately filled.

To develop an SEMP that will be implementable, one requires input from a number of role-players such as communities, the proponent, government and other stakeholders. This can be time-consuming, and should probably be done outside the regulatory EIA process. SIMPs should be live documents that can be updated regularly (Franks & Vanclay, 2013:47). It is important to consider that social impact management is only one part of a company's social performance. Other aspects include community engagement, grievance mechanisms, benefit sharing and CSR initiatives, all which can be used to enhance the social environment (Holm, Ritchie, Snyman & Sunderland, 2013: 219).

The view of Holm et al. (2013:219) which questions whether SIA should be seen as the tool that can cure all social ills in the environmental field, is strongly resonant. Despite its lofty aspirations and theoretical advancement, the reality remains rather grim, and communities continue to pay the price with little benefit to the most affected. In many instances unrealistic burdens are placed on industry, and they end up being surrogate governments providing essential services instead of managing the social impacts that they caused. This does not bode well for sustainability. It must be acknowledged that managing social impacts is not something that can be done by an individual party, and shared responsibility is a key requirement (Aucamp et al., 2011:47).

SIA is only one of the tools in the social management toolbox, and bridges need to be built between it and other development tools to assist SIA to achieve its full potential (Aucamp et al., 2011:52). There are links between international best practice and South African practice in the field of SIA. However, there are cultural and legal obstacles preventing SIA practitioners of adopting international best practice, and therefore it should be adapted to suit the local context.

3.6 Summary

Each country has a unique social environment and South Africa is no exception. Given South Africa's geographic position in Africa, and its political transformation, it has become an attractive destination for migrants from across the African continent. Migration within South Africa for economic reasons is also common. This migration patterns cause social change, which in turn leads to social impacts. The legacy of Apartheid left South Africa with enduring problems based on historic divisions centred on race. The South African government aims to address these problems, and to bring government closer to the people. Its policy of developmental government echoes the developmental approach that the government has taken to welfare and the eradication of poverty and inequality. The government is haunted by phantoms of a deeply disturbed past and is struggling to meet the commitments it made to its people, despite attempting to erase discriminatory practices by means of new legislation and policies. It is in this context that SIA is practiced in South Africa.

From the literature perspective, it seems as if SIA is not reaching its full potential in South Africa. New concepts such as FPIC, IBAs and SIMPs are slow to find their way into the South African SIA practice, also due to legislative limitations. The available SIA literature is dominated by the Australian and Canadian perspective, with few examples of developing countries and even fewer from Sub-Saharan Africa. Concepts that may work well in developed countries will need to be adapted to fit the local context. This does not mean that the concepts are not relevant, merely that the legal and cultural context needs to be considered when trying to apply them in practice. There seems to be scope to educate practitioners, developers and communities about their rights and how to incorporate international best SIA practice.

Although South Africa is a democracy and most of the legislation advocates participatory processes and human rights quite strongly, it still does not allow for concepts such as FPIC. The state acts as the custodian for communities, but communities often have very little faith in the state to act in their interest. South Africa has a long way to go in terms of allowing communities to be the masters of their own fate. SIA provides a link between communities taking charge of their own destiny, and social development, which is government's priority. The legal and institutional framework promoting social sustainability and social development, which makes people the focus of development and could facilitate this link, are discussed in the next chapter.

Chapter 4. Legal and institutional framework for social development in the environmental field

4.1 Introduction

Global warming, climate change and other green agendas are prominent topics across the globe. Together with the green agenda, the relationship between the environment and human rights has emerged as a subject of concern. These topics have become pertinent on the global agenda with the United Nations taking the lead with many initiatives. Environmental management in South Africa has been institutionalised by means of a portfolio of acts, policies and other instruments of governance, some of these adapted from global initiatives. These instruments provide a legal and moral mandate for environmental management. In the South African context, the definition of the environment includes the social environment, and a number of the environmental acts have social development requirements. Human rights are ingrained in the Constitution of the Republic of South Africa 1996, which is the foundation for other national legislation.

This chapter will discuss the legal and institutional framework that is used to promote sustainability, with specific reference to social development. The South African environmental and social legislation will be reviewed to establish the official mandate for integrating social development issues in the environmental management field. The chapter includes a brief discussion on other governance instruments implemented by the South African government at local, provincial and national level and their relevance to the social development agenda. Some of the instruments such as the Millennium Development Goals (MDGs) are implemented internationally and adapted to individual country needs. Lastly there will be a brief review of national and international standards that are frequently used by SIA practitioners in the environmental management field to establish whether there is a link with social development. The chapter will conclude with a short discussion on the practical application of the instruments and their potential contribution to social development.

4.2 The Constitution of the Republic of South Africa 1996

The current Constitution of the Republic of South Africa 1996 can be regarded as one of the most progressive constitutions in the world. Human rights are enshrined in the South African Constitution, which forms the basis of all the country's legislation. Chapter 2 consists of a Bill of Rights, which explicitly spells out the rights of every South African citizen. Human rights and dignity are fundamental to SIA (see Chapter 3, Section 3.5) and social work (see Chapter 2, Section 2.3) as SIA recognises fundamental human rights and the prerogative to protect those rights as core values (Vanclay, 2003:6), while social justice is one of the core values of social work (National Association of Social Workers South Africa [sa]; South African Council for Social Service Professions, 2009). The fact that human rights are recognised in the Constitution strengthen the rights based approach favoured by social work and SIA. Human Rights played an important part in attempting to create equitable societies globally since the middle of the twentieth century, therefore its inclusion in the South African Constitution is significant. The human rights that are safeguarded by the Constitution of the Republic of South Africa 1996 in the Bill of Rights, includes:

- Right to a healthy environment;
- Rights of access to land and to security of tenure;
- Right to adequate housing and protection against evictions and demolitions;
- Rights of access to healthcare services, sufficient food and water, social security, including social assistance, as well as the right not to be refused emergency medical treatment;
- Children's rights to basic nutrition, shelter, basic health care services and social services;
- Right to education, and
- Prisoners' rights to adequate accommodation, nutrition, reading materials and medical treatment.

The right to a protected biophysical environment, the promotion of social development and trans-generational equity is explicitly included in the Constitution of the Republic of South Africa 1996, which states:

“Everyone has the right -

- a) To an environment that is not harmful to their health and wellbeing, and
- b) To have the environment protected, for the benefit of present and future generations, through reasonable legislative and other measures that:
 - i. Prevent pollution*
 - ii. Promote conservation, and*
 - iii. Secure ecologically sustainable development and use of natural resources while promoting justifiable economic and social development.”*

When considering an environment that is not harmful to peoples’ health and wellbeing, it is important to reflect on the interconnectedness of biophysical, economic and social aspects. The impact of development on people, and the true cost of development, as well as the consideration of “who pays the price?” versus “who reaps the benefits?” cannot be ignored in a discussion about human rights and the environment. It is here that aspects such as social, environmental and restorative justice (See Chapter 2, Section 2.3) become important factors to consider in environmental management and the need to interrogate SIA as a social development tool is highlighted.

Since the right to a generally satisfactory environment is increasingly seen as a human right in Africa (Du Plessis, 2011:36), it is important to consider the content of South Africa’s environmental legislation in the context of social development.

4.3 South African Environmental and Social Development Legislation

The Constitution of the Republic of South Africa 1996 states that reasonable legislative measures should be used to secure ecologically sustainable development and use of natural resources, while promoting justifiable economic and social development. It therefore recognises that in order to achieve sustainable development, the social and

economic environment should also be considered. In the following section there is a short summary of relevant South African environmental legislation that also addresses social dimensions of the environment from a rights based perspective.

The most important right entrenched in a number of the acts pertaining to the environment (compare the National Environmental Management Act [NEMA] 107 of 1998; the National Water Act [NWA] 36 of 1998; the National Heritage Resources Act [NHRA] 25 of 1999 and the Mineral and Petroleum Resources Development Act [MPRDA] 28 of 2002) refers to the right of the public to be consulted about environmental issues which may affect their daily lives in any manner. Other important principles embedded in the acts are the principles of sustainable development, as well as social, economic and environmental rights. The following paragraphs will investigate the social requirements of each of these acts in more detail. In addition, policy documents relevant to the social development field, as well as other governmental tools will be discussed in brief.

4.3.1 The National Environmental Management Act 107 of 1998

The National Environmental Management Act (NEMA) 107 of 1998 states that the State must respect, protect, promote and fulfil the social, economic and environmental rights of everyone and strive to meet the needs of previously disadvantaged communities. It states further that sustainable development requires the integration of social, economic and environmental factors in the planning, evaluation and implementation of decisions to ensure that development serves present and future generations.

Chapter 1 of NEMA contains a list of principles and states clearly that environmental management must place people and their needs at the forefront of its concern, and serve their physical, psychological, developmental, cultural and social interests (NEMA, 1998). It states further that negative impacts on the environment and on peoples' environmental rights must be anticipated and prevented, and if they cannot be prevented, they should be minimised and remedied. It elaborates further on the equity of impacts, and the fact that vulnerable communities should be protected from negative environmental impacts. It refers to the principle that everyone should have equal access to environmental resources, benefits and services to meet their basic human needs (NEMA, 1998). Therefore there is a clear mandate for environmental and restorative justice in the act.

Another important aspect of NEMA is the principle of public participation. It states that people should be empowered to participate in the environmental governance processes, and that their capacity to do so should be developed if it does not exist. All decisions regarding the environment should take the needs, interest and values of the public into account, including traditional and ordinary knowledge (NEMA, 1998). There are also specific environmental management acts that fall under NEMA, such as the National Environmental Management, Air Quality Act 39 of 2004 (NEM:AQA), and the National Environmental Management, Waste Act 59 of 2008 (NEM:WA). These acts require similar public participation processes to NEMA and the principles of NEMA also apply to them (Department of Environmental Affairs & Development Planning [DEA&DP], Provincial Government of the Western Cape, 2010:4).

Chapter 6 of NEMA elaborates on the public participation requirements. This was supplemented by the EIA regulations published in GN 543 of 18 June 2010, which contained requirements for public participation (GN 543 of 18 June 2010). It provides requirements for the public participation, the minimum legal requirements for public participation processes, the generic steps of a public participation process, requirements for planning a public participation process and a description of the roles and responsibilities of the various role players. These requirements are complemented by a compulsory Public Participation Guideline that was published in 2012 (GN 807 of 10 October 2012) in terms of section J of NEMA (NEMA, 1998). New EIA regulations have been published in December 2014 (GN 982 of 4 December 2014) with basically the same requirements. According to the guidelines, public participation can be seen as one of the most important aspects of the environmental authorisation process. Public participation is the only requirement of the environmental impact assessment process for which exemption cannot be given, unless no rights are affected by an application. This stems from the requirement in NEMA that people have a right to be informed about potential decisions that may affect them and that they must be given an opportunity to influence those decisions.

The principles of the National Environmental Management Act 107 of 1998 declare further that community wellbeing and empowerment must be promoted through

environmental education, the raising of environmental awareness, sharing of environmental knowledge and experience and any other appropriate means. It states that the social, environmental and economic impacts of activities, including disadvantages and benefits, must be considered, assessed and evaluated, and decisions taken must be appropriate given the assessment and evaluation. NEMA 107 of 1998 recognises that the environment is held in public trust for the people, and therefore the beneficial use of environmental resources must serve the peoples' interest and protect the environment as the peoples' common heritage.

It is clear from the paragraphs above that NEMA supports the rights of the South African people as entrenched in the Constitution of the Republic of South Africa 1996. It does not only refer to the right to a protected environment, but also to rights of people to participate in decision-making processes, and the fairness of those processes, which relates to environmental justice. NEMA takes a holistic view of the environment, and promotes the consideration of social, economic and biophysical factors to obtain sustainable development and achieve effective management of the biophysical environment. It can be concluded that the National Environmental Management Act 107 of 1998 protects the rights of people as well as the integrity of the biophysical environment.

4.3.2 The National Water Act 36 of 1998

Chapter 1 of the National Water Act (NWA) 36 of 1998 states that sustainability and equity are identified as central guiding principles in the protection, use, development, conservation, management and control of water resources. It affirms that the guiding principles recognise the basic human needs of present and future generations and the need to promote social and economic development using water. Chapter 2 of the NWA states amongst others that the purpose of the act is to ensure that everyone has equitable access to water, and that the results of past racial and gender discrimination are redressed. It aims to promote the efficient, sustainable, and beneficial use of water in the public interest, and to facilitate social and economic development.

The National Water Act 36 of 1998 promotes the establishment of suitable institutions to achieve its purpose and aims to ensure that these institutions have appropriate

representation with regards to race, community and gender. These institutions are called Water Users Associations and Catchment Management Agencies, where members of the public can participate in the management of water resources that affects them. The NWA recognises that the nations' water resources are held in public trust for the people, and therefore the sustainable, equitable and beneficial use of water resources must serve the peoples' interest.

The legislation and policies for which the Department of Water Affairs (DWA) is responsible indicate the commitment of the department to public participation, but does not prescribe the way in which it must be done or the extent of the public participation. In 2001 the Department of Water Affairs and Forestry (DWAF) (name changed to the Department of Water Affairs in 2009) published a generic public participation guideline to try to address the issue (DWAF, 2001). The aim of the document is to assist DWA with the implementation of public participation in its activities. It provides the theory of public participation as well as some techniques and best practice suggestions. It is still used by the Department of Water Affairs.

In summary, human involvement and the right of the public to participate in the management of water resources are protected in the National Water Act 36 of 1998. It promotes social and economic development and equitable use of water resources. By involving communities in the protection and management of water resources, opportunities for the sustainable use of the resource are identified, and local economic and social development opportunities can be developed with the buy-in of the communities. Human rights are thus protected in respect of this natural resource.

4.3.3 The Mineral and Petroleum Resources Development Act 28 of 2002

The Mineral and Petroleum Resources Development Act (MPRDA) 28 of 2002 is the only environmental act that explicitly requires a social development output, in addition to a public participation process, in the form of a Social and Labour Plan (SLP). In the preamble to the Act it recognises the need to promote local and rural development and the social upliftment of communities affected by mining. In Section 2 it states that some of the objectives of the Act are:

- To substantially and meaningfully expand opportunities for historically disadvantaged persons, including women, to enter the mineral and petroleum industries and to benefit from the exploitation of the nations' mineral and petroleum resources;
- To promote economic growth and mineral and petroleum resources development in the Republic;
- To promote employment and advance the social and economic welfare of all South Africans, and
- To ensure that holders of mining and production rights contribute towards the socio-economic development of the areas in which they are operating.

The MPRDA acknowledges that mineral and petroleum resources are the common heritage of all the people of South Africa and that the State is the custodian thereof for the benefit of all. It states that the Minister of Mineral Resources must ensure the sustainable development of South Africa's mineral and petroleum resources within a framework of national environmental policy, norms and standards while promoting economic and social development (MPRDA, 2002).

In Section 37 of the Mineral and Petroleum Resources Development Act 28 of 2002 it endorses the principles set out in Chapter 1 of the National Environmental Management Act 107 of 1998. In Section 39 of the MPRDA the act explicitly requires a social impact assessment as well as an environmental impact assessment when it states that applicants must:

“...investigate, assess and evaluate the impact of his or her proposed prospecting or mining operations on:

(i) The environment;

(ii) The socio-economic conditions of any person who might be directly affected by the prospecting or mining operation...”

Section 3, Chapter 2, Part I, of the regulations (Government Notice 527, 23 April 2004) published under the MPRDA refers to the public participation process, which must be

followed according to the Act. It includes advertising and an invitation to comment on the process.

Sections 40 to 46, Chapter 2, Part II, of the regulations published under the MPRDA deal with the Social and Labour Plan (SLP) requirements (Government Notice 527, 23 April 2004). The Department of Mineral Resources provided guidelines for the development of the SLP (Department of Mineral Resources, 2010). The guidelines specify the objectives of the SLP as:

- Promote economic growth and mineral and petroleum resources development in the Republic;
- Promoting employment and advancing the social and economic welfare of all South Africans;
- Ensuring that holders of mining or production rights contribute towards the socio-economic development of the areas in which they are operating as well as the areas from which the majority of the workforce is sourced, and
- To utilise and expand the existing skills base for the empowerment of Historically Disadvantaged South Africans and to serve the community (Department of Mineral Resources, 2010).

The crux of this section is that the SLP requires applicants for mining and production rights to develop and implement comprehensive Human Resources Development Programmes including Employment Equity Plans, Local Economic Development Programmes and processes to save jobs and manage downscaling and/or closure (MPRDA 28 of 2002). According to the regulations, the above programmes are aimed at promoting employment and advancement of the social and economic welfare of all South Africans whilst ensuring economic growth and socio-economic development. The management of downscaling and/or closure is aimed at minimising the impact of commodity cyclical volatility, economic turbulence and physical depletion of the mineral or production resources on individuals, regions or local economies. All mines in South Africa are required to compile an SLP, and they must report compliance on a yearly basis (MPRDA, 2002). Compiling an SLP must be done in a participatory manner, and local economic

development initiatives must be aligned with the municipal integrated development planning processes. An SLP is not a social impact management plan per se, although it does aim to manage some negative social impacts. The guideline is very clear about the fact that measures put in place for the mitigation of impacts cannot be seen as mine community development projects (Department of Mineral Resources, 2010).

The Mineral and Petroleum Resources Development Act 28 of 2002 forces mines to protect the rights of the communities affected by their activities. Social development initiatives are legally prescribed for the benefit of the employees, local communities, and communities from the sending areas (areas from where workers were recruited). In reality many mines see an SLP as a grudge-purchase, something that they do not really want but have to spend money on. The effectiveness of SLPs to address the realities of communities impacted on by mining remains a topic of discourse.

4.3.4 The National Heritage Resources Act 25 of 1999

Although the National Heritage Resources Act (NHRA) 25 of 1999 is not an environmental act per se, it is relevant in the field of environmental management. The NHRA affirms that every generation has a moral responsibility to act as trustee of the national heritage for later generations and that the State is obliged to manage heritage resources in the interest of all South Africans. The general principles for heritage management in Chapter 5 of the act state that in order to ensure that heritage resources are effectively managed, the skills and capacities of persons and communities involved in heritage resources management must be developed. The act further elaborates on the fact that heritage resources form an important part of the history and beliefs of communities and must be managed in a way that acknowledges the right of affected communities to be consulted and to participate in their management.

The general principles (Chapter 5) state that the identification, assessment and management of the heritage resources of South Africa must:

- Take account of all relevant cultural values and indigenous knowledge systems;
- Take account of material or cultural heritage value and involve the least possible alteration or loss of it;

- Promote the use and enjoyment of and access to heritage resources, in a way consistent with their cultural significance and conservation needs;
- Contribute to social and economic development, and
- Safeguard the options of present and future generations.

The National Heritage Resources Act 25 of 1999 therefore protects the cultural rights and heritage of the people of South Africa. It does not require explicit public participation, or give any guidelines on how the public should participate. It does refer, like the National Environmental Management Act 107 of 1998 and the National Water Act 36 of 1998, to social and economic development. Public participation processes may be requested by the South African Heritage Resources Agency if it deems it necessary for a specific project.

4.3.5 Promotion of Administrative Justice Act 3 of 2000

The Bill of Rights in the Constitution of the Republic of South Africa 1996 states that everyone has the right to administrative action that is legally recognised, reasonable and procedurally just. The Promotion of Administrative Justice Act (PAJA) 3 of 2000 gives effect to this right. The PAJA applies to all decisions of all State organisations exercising public power or performing a public function in terms of any legislation that negatively affects the rights of any person. The Act prescribes what procedures an organ of State must follow when it takes decisions. If an organ of State implements a decision that impacts on an individual or community without giving them an opportunity to comment, the final decision will be illegal and may be set aside. The Promotion of Administrative Justice Act 3 of 2000 also forces State organisations to explain and give reasons for the manner in which they have arrived at their decisions and, if social issues were involved, and how these issues were considered in the decision-making process.

The Promotion of Administrative Justice Act 3 of 2000 therefore protects the rights of communities and individuals to participate in decision-making processes, especially if these processes affect their daily lives.

4.3.6 Development Facilitation Act 67 of 1995

The Development Facilitation Act (DFA) 67 of 1995 was introduced to speed up and facilitate the implementation of reconstruction and development programmes and projects relating to land, and to lay down governing principles relating to land development. It does not replace existing legislation and development procedures, but provides an alternative, faster route for development to be implemented. Many projects subjected to environmental impact assessments will also be subject to the requirements of the DFA.

The formulation of Land Development Objectives (LDOs) for each local authority area is central to the act (See Section 4 of the Development Facilitation Act 67 of 1995). The purpose of the LDOs is to guide service delivery and ensure economic efficiency and effectiveness at local government level. LDOs should include:

- Objectives relating to access to services including water, health and education;
- Objectives relating to growth and the form of that growth, including integration of environmental issues, transportation planning, density and integration of settlements, and coordination of planning and development;
- Strategies for the optimal involvement of all sectors of society and the environment, accessing funds for development, establishing appropriate structures for administration and delivery of development, and
- Quantified targets to be achieved.

A number of general principles for land development set out in Section 3 of the Development Facilitation Act 67 of 1995 relates to the social environment and the rights of communities. The principles include:

- Promoting the development of formal and informal, existing and new settlements, in urban and rural areas;
- Discouraging illegal land occupation, whilst recognising informal land development processes;

- Promoting the integration of the social, economic, institutional and physical aspects of land development;
- Promoting integrated land development in rural and urban areas in support of each other;
- Promoting the availability of residential and employment opportunities in close proximity to or integrated with each other;
- Optimising the use of existing resources including such resources relating to agriculture, land, minerals, bulk infrastructure, roads, transportation and social facilities;
- Promoting a diverse combination of land uses, also at the level of individual erven (small building plot) or subdivisions of land;
- Discouraging the phenomenon of "urban sprawl" in urban areas and contributing to the development of more compact towns and cities;
- Contributing to the correction of the historically distorted spatial patterns of settlement in the Republic and to the optimum use of existing infrastructure in excess of current needs;
- Encouraging environmentally sustainable land development practices and processes;
- Members of communities affected by land development should actively participate in the process of land development;
- The skills and capacities of disadvantaged people affected by land development should be developed;
- The establishment of viable communities must be promoted;
- Sustained protection of the environment must be promoted;
- Land development which is within the financial, institutional and administrative means of the Republic must be promoted;

- Land development should provide security of tenure, and if people lose their residences, new residences should be provided for in a reasonable manner, and
- The interests of various sectors involved in or affected by land development should be co-ordinated by a competent authority at local, provincial or national level to minimise conflicting demands on scarce resources.

The principles of the Development Facilitation Act 67 of 1995 refer explicitly to social and environmental rights, and aim to protect these rights. They recognise the importance of integrating social, environmental, economic and physical aspects in the development of land in order to achieve well-functioning communities. The DFA is used extensively in urban areas dealing with the erection of housing, especially in instances where informal areas are being formalised. It is therefore an important tool, which can be utilised when aiming to create sustainable communities and improving the quality of life for poor people by providing adequate physical and social infrastructure, if it is used in the way it was intended to be used.

4.3.7 The White Paper for Social Welfare (RSA, 1997)

The White Paper for Social Welfare (RSA, 1997) describes South Africa's approach to social welfare and social development. It is a negotiated policy structure and approach, and it maps a new path for social welfare by the encouragement of national social development. The direction of the White Paper is in line with the approach put forward by the United Nations World Summit for Social Development, held on 6 to 12 March 1995. The preamble to the White Paper states clearly that an intersectoral response is needed within Government and between Government and civil society to adequately address welfare needs (RSA, 1997). This link to the Local Agenda 21 and Integrated Development Plan (IDP) approaches as described in the paragraphs below. It can also be linked with the environmental legislation as discussed above, where all acts make provision for economic and social development whilst managing the resources in question.

Section 8 of Chapter 1 of the White Paper for Social Welfare states that social and economic development are two mutually dependent and reinforcing processes. Equitable

social development is the basis of economic success, and economic growth is indispensable for social development. Social welfare refers to an integrated and complete system of social services, facilities, programmes and social security to advance social development, social justice and the social functioning of people (RSA, 1997). Social security, social services and related social development programmes are investments, which lead to concrete economic gains and in turn lead to economic growth. Without such social investments economic development will be compromised.

Sections 5 and 6 of Chapter 2 of the White Paper for Social Welfare explain the concept of social welfare further. Social welfare is intrinsically linked to other social service systems through which people's needs are met, and through which people endeavour to realise their objectives. Social welfare services and programmes are therefore part of a range of structures to accomplish social development, such as health, nutrition, education, housing, employment, recreation, rural and urban development and land reform (RSA, 1997). They correlate with meeting basic human rights as set out in the Constitution of the Republic of South Africa 1996. The welfare of the population will not automatically be improved by economic growth. Economic development has to be supplemented by the equitable distribution and supply of resources if it is to support social development.

Some of the important principles included in the White Paper for Social Welfare (RSA, 1997) are:

- Equity.
- Democracy – participation in decision-making.
- Improved quality of life - through the equitable distribution of resources and services.
- Respect for human rights and fundamental freedoms as articulated in the Constitution of the Republic of South Africa 1996.
- People-centred policies.

- Investment in human capital - contribute to the optimal social development of individuals, families and communities. Also an investment in human capital development and contributes to economic development.
- Sustainability.
- Partnership with organisations in civil society, the private sector and government departments.
- An intersectoral approach will guide the design, formulation, implementation and monitoring of anti-poverty strategies.
- Appropriate, complement and strengthen people's efforts, enhance self-respect and independence, be responsive to range of social, cultural and economic conditions in communities. The sustainable use of human, material and the earth's natural resources will be ensured for the benefit of future generations.

The White Paper on Social Welfare (RSA, 1997) states that the promotion of national social development cannot be the responsibility of government alone. Civil society must also contribute to the development of the nation. In this respect corporate social responsibility programmes can also play an important role. The Mineral and Petroleum Resources Development Act 28 of 2002 makes explicit provision for the promotion of social development by mining organisations. It is a legislative requirement, which must be met as a condition for operation. According to the National Environmental Management Act 107 of 1998, Environmental Impact Assessment reports must include Environmental Management Plans. If a Social Impact Assessment was conducted as part of the environmental assessment process, these plans should make provision for initiatives from the developer that could contribute to social development in order to mitigate some of the impacts of the development on the communities in question.

The principles of the White Paper on Social Welfare correspond with many of the principles of the environmental acts discussed in this section. It encourages an intersectoral approach, which is consistent with the requirements of some of the governance tools, which will be discussed in Section 4.4 and the requirements of the Mineral and Petroleum Resources Development Act 28 of 2002, National Environmental

Management 107 of 1998 and the National Water Act 36 of 1998. Human rights, equity and the promotion of social and economic development are central to the White Paper on Social Welfare, and in that respect it can be said that it echoes the environmental acts.

4.3.8 The White Paper on Population Policy (RSA, 1998a)

The White Paper on Population Policy (RSA, 1998a) aims to provide a multi-sectoral framework to address population issues which are seen to limit the achievement of sustainable development objectives. These issues are obstacles to improving quality of life of the South African people and to obtaining sustainable development. The importance of the interrelationships between population, development and the environment is emphasised (RSA, 1998a).

The Bill of Rights contained in Chapter 2 of the Constitution for the Republic of South Africa 1996 also addresses social and human development issues, which affect the quality of life of people. These issues include housing, healthcare, food, water and social security, the situation of children and education. Chapter 2 of the Constitution specifically notes the right of people to live in an environment “protected, for the benefit of present and future generations, through reasonable legislative and other measures that secure ecologically sustainable development and use of natural resources while promoting justifiable economic and social development”. The links between these matters and population policy are clear. Sustainable human development is the central theme of the policy.

The following are some of the guiding principles of the population policy (RSA, 1998a):

- All South Africans are born free and equal in dignity and rights. Everyone is entitled to all the rights and freedom set forth in the Universal Declaration of Human Rights and the Bill of Rights in the Constitution of South Africa. Population policies should therefore respect human rights.
- The right to development is universal, inalienable and an integral part of fundamental human rights. The people are the country’s most important and valuable resource as well as the central subjects of development. The role of the government in the development process is to facilitate people’s ability to make

informed choices, and to create an environment in which they can manage their lives.

- Economic growth and sustainable development are closely interrelated. Population policy should therefore be an integral part of an integrated system of development policies and programmes in a country. Its ultimate goal should be enhanced human development.
- Poverty is one of the formidable enemies of choice. Therefore, one of the most important objectives of a population policy is to contribute towards the eradication of poverty and all forms of social and economic exclusion of people.
- People have the right to be informed about all matters relating to their daily lives. Consequently, the South African public should have access to all relevant information concerning government policies, and an appropriate understanding of this information and its implications for all facets of their lives. This includes information on population and development issues.
- Civil society should be involved in the design and implementation of population policies and programmes.

The White Paper on Population Policy is relevant to the field of environmental management, especially because of the interrelationship between people and the environment. Some of the biggest impacts on the environment are because of human interference. The more people there are, the bigger the need for natural resources like water, energy and food. This policy relates closely to the field of environmental management, as in some circles development of any kind is seen as a threat to the biophysical environment. Poor people are universally seen as a vulnerable group, but are often perceived in the contradicting role as having the biggest negative impact on the environment, as well as being some of the best recyclers. The Policy promotes sustainable development and the eradication of poverty, therefore considering the biophysical environment and the importance of protecting it, as well as protecting the basic human rights of the general population.

In summary, the environmental legislation in South Africa indicates that social and economic development should always be a consideration when dealing with the biophysical environment. The South African legislation is written from a developmental perspective. The next section explores other governance tools that can be used to assist with achieving social development outcomes.

4.4 Additional governance tools

Legislation is not the only tool that authorities can use to achieve sustainable development and social development outcomes. There are a number of tools, policies and strategic planning instruments that can contribute to this. Local Agenda 21 and Integrated Development Plans are the tools implemented on municipal level and will be discussed first. This is followed by a discussion of Provincial Growth and Development Strategies, the most important tool used on a provincial level. The National Development Plan, the most significant tool on a national level, written to address the Millennium Development Goals and the post-2015 sustainable development goals are examined in the penultimate section. The section will conclude with a discussion on the Millennium Development Goals and its implementation in the South African context.

4.4.1 Local Agenda 21

Local Agenda 21 (LA21) is the outcome of a host of international policies and events that reflect the growing importance of sustainable development, and arises out of the United Nations Conference on Environment and Development (UNCED) held in Rio de Janeiro, Brazil, in 1992. LA21 is the process used around the world to translate Agenda 21 into actions at local level. Chapter 28 of Agenda 21 sets out the importance of local authorities in the global move towards sustainability (Urquhart & Atkinson, 2000:14). At the 2012 United Nations Conference on Sustainable Development, also known as Rio+20 or Earth Summit 2012, held in Rio de Janeiro, the representatives, including South Africa, reaffirmed their commitment to Agenda 21 (United Nations, 2012:3).

LA21 is a long-term, strategic process that will help local communities and local councils deal with economic development and employment, environmental protection, and equity and justice concerns. It seeks to reflect the needs, resources and hopes of a local community, and place these in global context.

According to Urquhart and Atkinson (2000:14), the 1997 United Nations Special Session of the General Assembly review of Agenda 21 recognised that local government was proving to be the most effective sphere of government in implementing Agenda 21.

Characteristics of LA21 include (Urquhart and Atkinson, 2000:14):

- The integration of social, economic and ecological issues.
- A multi-sectorial approach – involving all sectors of the community.
- Concern for the future – taking a longer term view.
- Recognising and working within ecological limits.
- Local authorities working through partnerships with civil society.
- Linking local issues to global impacts.
- Equity, justice and accountability.

There is much overlap of LA21 principles and those contained in the Constitution of the Republic of South Africa 1996 and in the National Environmental Management Act 107 of 1998, which all state departments must use as a guideline. Local governments increasingly perform developmental and environmental functions, where services have to be provided to communities in a sustainable manner, while promoting social and economic development.

A characteristic of LA21 is that a multi-sectorial integrated approach is followed, with the emphasis of working through partnerships with business, labour and community groups, facilitating a co-ordinating local authority, rather than a dictating local authority. LA21, therefore, allows communities to take responsibility for developing a vision and strategies for improving their quality of life, in line with the principles for social development.

Through the democratisation process, and having acceded to the Rio Convention, South Africa has committed itself to implementing Agenda 21 as a whole in the country, and to the principles of sustainable development, as evidenced in the Constitution of the Republic of South Africa 1996 and various policies. The White Paper on Local Government (RSA, 1998b) contextualised LA21 as part of a new local government system.

There are some common ground between LA21 and the acts and policies described earlier in the chapter. The multi-sectorial approach suggested are similar to the approach suggested by the White Paper on Social Welfare. Public participation, sustainable development and the interrelationship between people and the environment are all reiterated.

4.4.2 Integrated Development Plans

As indicated in Chapter 3, the South African government operates on three levels, namely local (municipal), provincial and national. Integrated Development Plans (IDPs), the South African version of LA21, are now made compulsory through the Municipal Systems Act 32 of 2000 on municipal level. Integrated Development Planning is a process by which municipalities prepare 5-year strategic development plans. The IDP is the written plan that results from the integrated development planning process. It is the principle strategic planning instrument that guides and informs all planning, management, investment, development and implementation decisions and actions in the local area and supersedes all other plans that guide local development (Coetzee, 2002:10). It is necessary to look retrospectively at the development of the IDP in order to fully understand its importance as a tool for empowering local authorities and communities.

According to Coetzee (2002:15), IDP can be seen as the South African response to LA21, and can be seen as one of the many varied approaches to LA21 across the world. The idea of integrated planning evolved as a response to the fragmented, ad hoc project-based approaches to planning of the 1980's, and pressure from environmentalists for a more holistic perspective on development. Since South Africa committed to the principles of sustainable development when it acceded to the Rio Convention, the White Paper on Local Government (RSA, 1998) has contextualised Local Agenda 21 as part of a new local government system.

The legislative framework for integrated development planning was put into place during the period 1996 to 2000. The Local Government Transition Act 97 of 1996 outlined the IDP as a specific legally prescribed product of an Integrated Development Planning Process (IDP process) in the local sphere of government (Coetzee, 2002:11).

The White Paper on Local Government (RSA, 1998) has contextualised the IDP as a tool for developmental local government with the intention of enabling municipalities to:

- Help to align scarce resources behind agreed policy objectives and programmes;
- Make sure that actions are prioritised around urgent needs;
- Ensure the necessary integration with other spheres of government, serving as a tool for communication and interaction with them, and
- Serve as a basis for engagement between local government and communities/residents.

The governance function of the IDP involves three aspects namely, development of environmentally related legislation at the local level; executive mandate to implement legislative arrangements; and a law enforcement function. The Local Municipality is responsible for the development of new local bylaws to ensure that all the relevant environmental aspects are governed within a legislative framework. The Local Municipality also has an executive function (including co-operative governance arrangements) coupled with enforcement. This refers specifically to environmental aspects such as air pollution, land use management and waste management.

IDP documents are an important source of information for Environmental and Social Impact Assessments. The IDP process provides an excellent opportunity for inter-sectorial cooperation. In addition, the IDP process has put some systems in place that could be utilised to assist in meeting the objectives of some of the acts described in the paragraphs above. An example of this is the IDP forum, or the person responsible for managing the IDP in the specific municipality. In practice, meeting the requirements of the Mineral and Petroleum Resources Development Act 28 of 2002 and compiling the Social and Labour Plan should be done by looking at the Integrated Development Plan and integrating the objectives of the IDP with the Local Economic Development Plan as prescribed in the Social and Labour Plan. Integrated planning and public participation are mandated by all the environmental legislation, but the challenge of putting it into practice remains. Integrated Development Plans are an important tool on local municipal level in the strive for sustainable development.

4.4.3 Provincial Growth and Development Strategies

Provinces play an important role in contextualising acts and other tools of governance and grounding them within the realities of each province. The provincial governments must guide the local government in the implementation and development of IDPs and other programmes for sustainable development. Provincial Growth and Development Strategies (PGDS) are a critical tool to guide and coordinate the allocation of national, provincial and local resources and private sector investment to achieve sustainable development outcomes. They are not a provincial government plan, but a development framework for the province as a whole (Department Provincial and Local Government [DPLG], 2005:1).

PGDS are not a legislative requirement, but plays an important role in ensuring effectiveness and coordinating delivery of the overall objectives of South Africa as a developmental state. PGDS are based on a long-term view of the provinces' development route. Their primary purpose is to provide a collaborative framework to drive implementation within a province (DPLG, 2005:1).

A PGDS should have the following characteristics (DPLG, 2005:3):

- Build on the principles of the National Spatial Development Perspective and engage with metropolitan, district and local municipalities;
- Provide direction and scope for province-wide development programmes and projects within long term perspective, considering resources, economic, political, social and environmental opportunities and constraints;
- Be a vehicle to address legacies of Apartheid space economy, promote sustainable development and ensure poverty reduction and employment creation;
- Provide a framework for public and private sector investment, indicating areas of opportunities and development priorities;

- Focus on addressing key implementation blockages and issues, including institutional reform; and
- Enable governmental alignment and guides activities of various role-players and agencies.

The Provincial Growth and Development Strategy is the provincial perspective on where and what types of investment should be prioritised by different localities. It is important to include all relevant role players – government bodies and private and civil organizations. It is a developmental approach to government, which implies a proactive and facilitative approach to development, and not one based on formulating and applying regulations and restrictions. The PGDS is a strategic document that gives direction to meeting critical developmental issues in government. It is a platform for coordinated action (DPLG, 2005:5).

The challenge facing Provincial Growth and Development Strategies is the need to play a strategic role in translating national priorities and perspectives into regional context whilst also remaining focussed on driving delivery and removing blockages at municipal and sectorial service levels. One of the challenges facing the government of South Africa is to effectively integrate, coordinate and align the actions of its three constituting spheres (national, provincial and local) to achieve the desired developmental outcomes.

PGDS can therefore not be separated from other social and environmental tools of governance, but should be utilised as a platform for coordination and integration of existing strategies and objectives. PGDS is an important tool on provincial level in the quest for sustainable development.

4.4.4 National Development Plan

Since South Africa changed into a democracy in 1994 there have been a number of national development and planning frameworks implemented to ensure transformation and social justice. The first initiative was the Reconstruction and Development Programme in 1994. The Growth, Employment and Redistribution Strategy in 1996 and the Accelerated and Shared Growth Initiative for South Africa in 2006 followed (Republic of South Africa [RSA], 2013b:17). In 2009 a New Growth Path that focuses on the micro

economy was introduced (RSA, 2013b:17). A National Development Plan (NDP) was undertaken to vision what South Africa should look like in 2030 and what action steps should be taken to achieve this (RSA, 2013b:17). On 11 November 2011 the National Planning Commission released the National Development Plan: Vision for 2030 (NPC, 2012) for South Africa and it was adopted as government policy in August 2012.

The aim of the NDP is to eliminate poverty and reduce inequality by 2030. The National Planning Commission consists of 26 individuals appointed by the President to advise on issues that impact on long-term development developed the NDP (NPC, 2012). The plan identifies nine central challenges to development in South Africa:

1. Too few people work.
2. The standard of education for most black learners is of poor quality.
3. Infrastructure is poorly located, under-maintained and insufficient to foster higher growth.
4. Spatial patterns exclude the poor from the fruits of development.
5. The economy is overly and unsustainably resource intensive.
6. A widespread disease burden is compounded by a failing public health system.
7. Public services are uneven and often of poor quality.
8. Corruption is widespread.
9. South Africa remains a divided society (NPC, 2012:3).

The plan focuses on creating an enabling environment for development and wants to shift from a paradigm of entitlement to a paradigm of development that promotes the development of capabilities, the creation of opportunities and the involvement of all citizens (NPC, 2012:5).

The National Development Plan (NPC, 2012) wants to achieve the following:

- An economy that will create more jobs.
- Improving infrastructure.
- Transition to a low-carbon economy.
- An inclusive and integrated rural economy.
- Reversing the spatial effects of Apartheid.
- Improving the quality of education, training and innovation.
- Quality healthcare for all.
- Social protection.
- Building safer communities.
- Reforming the public service.
- Fighting corruption.
- Transforming society and uniting the country.

Each of the points above is a chapter in the plan, and contains a range of targets and proposals. Some are general statements of policy intent, while others are specific policy proposals, actions or processes that should take place (NPC, 2012:26).

The NDP is a detailed document consisting of 444 pages. Terblanche (2013) states that it is not a cast-in-stone policy document, but rather something that provides direction, identifies blockages, and proposes targets and timelines. He further says that the success of the NDP will depend on the implementation of individual policy initiatives, programmes and departmental action plans. Although the plan is generally well received, there is some criticism against it, and the Congress of South African Trade Unions (Cosatu) and the South African Communist Party are some of its staunchest critics based on the fact that they see the Freedom Charter as the basis for all future development (Marrian, 2013). There is a danger that the NDP can be abused for political purposes. This will be to the detriment of the general South African society, as the NDP creates a vision for future

development in a way that will be constructive to the development of the country. There are other strategic tools that the government uses but for the purpose of sustainable social development the NDP remains the most appropriate. The outcomes of the NDP have been influenced by the Millennium Development Goals (MDGs), an international set of goals aimed at improving humanity. The MDGs will be discussed in more detail in the next section.

4.4.5 Millennium Development Goals

All 189 Members States of the United Nations, including South Africa, adopted the United Nations Millennium Declaration in September 2000 (UN, 2000). The aim of the declaration was to improve the fate of humanity in the twenty-first Century by making a number of specific commitments that have to be achieved by 2015. The declaration states:

We will spare no effort to free our fellow men, women and children from the abject and dehumanising conditions of extreme poverty, to which more than a billion of them are currently subjected. We are committed to make the right development a reality for everyone and to freeing the entire human race from want. (UN, 2000:4)

The commitments made by the Millennium Declaration are known as the Millennium Development Goals (MDGs). All the individual countries have put systems in place to achieve these goals by 2015. According to the World Bank the MDGs are commonly accepted as a framework for measuring development progress (Clemens, Kenny & Moss, 2007:735). At the time the Secretary-General of the United Nations, Kofi Annan described the goals as ambitious, but technically feasible (Clemens et al., 2007:735). The MDGs comprise the following:

1. Eradicate extreme poverty and hunger.
2. Achieve universal primary education.
3. Promote gender equality and empower woman.
4. Reduce child mortality.

5. Improve maternal health.
6. Combat HIV/Aids, malaria and other diseases.
7. Ensure environmental sustainability.
8. Develop a global partnership for development (UN, 2001).

The problems facing humanity are closely entwined with each other and therefore a coordinated strategy that addresses problems simultaneously on different fronts is needed (UN, 2001). The United Nations further declares that in order to address poverty and promote development it is essential to achieve sustained and broad-based economic growth and that in their view the MDGs highlight the most important areas in which such growth and development should be focused (UN, 2001).

The MDGs can also be seen as measures of performance – meaning that they measure how well nations perform in relation to achieving the goals (Easterly, 2009; Clemens et al., 2007). According to Easterly (2009:27) many of the organisations involved in the MDG campaign are of the opinion that Sub-Saharan Africa will fail to meet most of the goals. Easterly (2009:27) argues that the MDGs are poorly and illogically designed to measure progress against poverty and deprivation and that their design makes Africa appear worse than it really is. There are actually many successes, but these are not recognised internationally. The author further reasons that it is intimidating to have goals for Africa that can only be accomplished with progress that is nearly without historical example from other regions or in Africa itself (Easterly, 2009: 27).

In 2013, about two years before the 2015 deadline, the Millennium Development Report 2013: Assessing Progress in Africa towards the Millennium Development Goals (MDR 2013) (African Development Bank [ADB], African Union Commission [AUC], United Nations Development Programme [UNDP] and United Nations Economic Commission for Africa [ECA], 2013: xiv) stated that of the eight goals, only three are on track to be achieved. These three goals are Goal 2 - to achieve universal primary education, Goal 3 – to promote gender equality and empower women and Goal 6 – to combat HIV/Aids, tuberculosis, malaria and other diseases. The report acknowledges Africa's economic growth over the past decade, but despite that, it is very likely that it will miss the goal of

halving extreme poverty by 2015 (Isa, 2013). The reported growth in African countries has failed to sufficiently address poverty reduction, unemployment, increased income inequalities and deteriorating levels of health and education in some countries (Isa, 2013). The report underlines the fact that although targets have not been met, significant progress has been made, and that this should be recognised. This supports Easterly's (2009:33) view that the measurements should focus on successes rather than failures and should not be applied too narrowly. MDR 2013 states that it is important to put structures in place to ensure sustainable development past the MDG-deadline, as the development process with all its challenges and opportunities will continue long after the MDGs have passed (ADB et al., 2013: viii).

The 2013 Millennium Development Goal Country Report (MDGR) (RSA, 2013a) published by the South African government critically reviews South Africa's progress against the MDGs. Previous reports have been criticised by civil society as painting an unrealistic picture and for lacking broad public participation processes (Global Call to Action Against Poverty – South Africa [GCAPSA, 2010; RSA, 2010]). As a result, and mainly because civil society advocated the importance of their role, the 2010 MDGR South African Country report was subjected to an inclusive public consultation process (RSA, 2010). This process was expanded on for the 2013 MDGR (RSA, 2013a:13) and a substantive report including domestic indicators has resulted. The 2013 MDGR South African Country report points out that the government has embedded the MDGs in the existing planning tools on local level through Integrated Development Plans, provincial level through Provincial Growth and Development Strategies and on national level through the National Development Plan. The MDGs therefore forms part of the national development agenda (RSA, 2013a:13). Although South Africa achieved mixed results with the MDGs, the development path chosen by the government will ensure that the unmet MDG targets and emerging development issues remain part of the country's development agenda. Poverty, unemployment and inequality are some of the greatest challenges that South Africa face (RSA, 2013a:20). The Millennium Development Report 2013: Assessing Progress in Africa towards the Millennium Development Goals (ADB et al., 2013:vii) states that "Failing to address Africa's inequalities is a recipe for social unrest." As already

indicated, with one of the highest Gini coefficients (around 0,69) in the world, South Africa is placed as one of the most unequal countries globally (RSA, 2013a:28).

As indicated in Chapter 1 (Section 1), the post 2015 development agenda discussing the next step after the Millennium Development Goals has been established. The United Nations Open Working Group of the General Assembly identified seventeen sustainable development goals, built on the foundation of the MDGs, which will be considered at the special summit on sustainable development in September 2015 (UN, 2014b:13). The sustainable development goals include aspects such as ending poverty, addressing food security, promoting health, wellbeing and education, gender equality, water and sanitation, economic growth and employment creation, sustainable infrastructure, reducing inequality, creating sustainable cities and human settlements, and addressing challenges in the physical environment such as climate change and environmental resources (UN, 2014a). These aspects are included in the NDP, and it can therefore be assumed that South Africa will continue to align the country's development path with the international development agenda.

The Millennium Development Goals are one of the tools that achieved the greatest successes in attempting to achieve social sustainability and equity, and presumably the new sustainable development goals will build on these successes. The fact that the South African government included the MDGs as part of its development agenda is positive and indicates political will to achieve social development. Apart from the MDGs there are a number of other social and sustainability standards that can contribute to the social development agenda.

4.5 National and international standards

Social impact assessment is usually conducted for projects that contribute to some sort of industrial or infrastructure development. National and international industry standards aimed at sustainable development and social justice specifically have become abundant in the last decade. Although social development outcomes are not necessarily included in the standards, they do include important social aspects such as human rights, equity, consultation and community involvement. Many industries use these standards as indicators for best practice. The discussion below highlights only a few of these standards.

ISO 26000/SANS 26000:2010 is important because it has been adopted as a national standard in South Africa, and some of the other standards that have been highlighted are often included in the terms of reference of environmental and social impact assessment.

4.5.1 ISO 26000:2010/SANS 26000:2010

Performance standards have long been a voluntary tool used by industry to achieve certain outcomes. The International Organisation for Standardisation (ISO) is the world's largest developer of voluntary international standards (ISO, [sa]). International standards give advanced specifications for products, services and good practice and helps industry to become more effective and efficient. The standards are developed through global consensus (ISO, [sa]). The first standard on social responsibility, ISO 26000 was published on 1 November 2010 (ISO, 2010). It was developed using a multi-stakeholder approach involving experts from more than 90 countries and 40 international or broadly based regional organisations involved in different aspects of social responsibility (ISO, 2010).

The South African Bureau of Standards (SABS), a statutory body that is mandated to develop, promote and maintain South African National Standards (SABS, [sa]) adopted the ISO 26000 Standard as a South African National Standard (SANS) 26000:2010.

Social responsibility is defined in the standard as the responsibility of an organisation for the impacts of its decisions and activities on society and the environment, through transparent and ethical behaviour that contributes to sustainable development, including health and welfare of society; takes into account the expectations of the stakeholders; complies with applicable law and is consistent with international behaviour norms, and is integrated throughout the organisation and practiced in its relationships (ISO, 2010:3).

The document identifies seven principles for social responsibility and seven core subjects that should be addressed by organisations. The seven principles for social responsibility are accountability, transparency, ethical behaviour, respect for stakeholder interests, respect for the rule of law, respect for international norms of behaviour and respect for human rights (ISO, 2010:10-13). The core subjects that should be addressed include organisational governance, human rights, labour practices, environment, fair operating practices, consumer issues and community involvement and development (ISO, 2010:19).

Economic aspects, health and safety and the value chain are dealt with throughout the seven core subjects, and gender issues are considered.

Vanclay and Esteves (2011:9) state that the development of the Standard should be applauded, as it offers a means by which social performance can be rooted in the management systems of organisations. It therefore creates legitimacy for SIA processes to lead to the development of a social impact management plan that can be linked to a company's systems and processes. According to Hanks (2011) there is not a high level of awareness and interest in ISO 26000 in South Africa yet, although the King III Report on governance in South Africa (King, 2009) refers explicitly to it, but that there are some indication that this is going to change. Although ISO 26000 is not as well-known as ISO 14000, the environmental standard, the researcher is of the opinion that ISO 26000 is a good introduction to what social responsibility is and what measures should be taken to move towards being a more socially responsible company. It deals with equity issues and can encourage social development initiatives by companies through activities such as social investment projects, employment creation, skills development and income creation.

The number of sustainability reporting initiatives and global standards are almost overwhelming. These initiatives cut across many disciplines and industries. In the next section some of the most prominent standards used in the South African context will be explored.

4.5.2 International Social Performance Standards/Initiatives

There is a profusion of global initiatives aiming at assisting companies to make their operations more sustainable. Human rights, environmental protection and social justice are gaining support from industry. The social agenda forms an important part of this trend. Only a few relevant initiatives will be mentioned in this section.

The Global Reporting Initiative (GRI) is a leading organisation in the sustainability field that promotes sustainability reporting as a way for companies to become more sustainable and contribute to sustainable development. A sustainability report is published by a company to report the economic, social and environmental impacts of its

everyday activities, present its values and governance model and explain the link between its strategy and its commitment to sustainable development (GRI, [sa]). The GRI have strategic partnerships with the United Nations Environment Programme, the United Nations Global Compact, the Organisation for Economic Co-operation and Development and the International Organisation for Standardisation, amongst others (GRI, [sa]). The social category relates to the impact of the company on the social systems in which it operates. The social category consist of four subcategories namely labour practices and decent work; human rights; society; and product responsibility. Each of the categories is unpacked by using a number of aspects that should be considered (GRI, [sa]). GRI Focal Points are national offices that drive the initiatives in particular countries and regions. On 26 February 2013 the GRI Focal Point South Africa was launched. South Africa is one of the countries with the largest number of GRI reporters in the world. The GRI Focal Point South Africa aims to work with multi-national companies to expand and share best practices across the continent (GRI, [sa]).

The United Nations is the origin of many of the sustainability initiatives and international ideals. The United Nations (UN) Global Compact is a strategic policy initiative for businesses that are committed to align their operations with ten universal principles in the areas of human rights, labour, environment and anti-corruption (UN, 2013a). The UN Global Compact has two main objectives, which are to mainstream their ten principles in business activities globally and to catalyse actions in support of broader UN goals, including the Millennium Development Goals (UN, 2013a).

The International Labour Organisation (ILO) was the first specialised agency in the UN, and its main aims are to promote rights at work, encourage decent employment opportunities, enhance social protection and reinforce discourse on work-related issues (ILO, [sa]). Numerous ILO conventions and standards relate to social justice (ILO, [sa]).

Many of the multi-lateral funding agencies such as the World Bank have social standards that they must uphold. The most frequently used in the EIA industry is the International Finance Corporation's (IFC) principles (IFC, 2012). The IFC is a member of the World Bank group, and as a part of their sustainability framework they created performance

standards on environmental and social sustainability (IFC, 2012:2). The standards relevant to the social environment are the following:

- Performance Standard 1: Assessment and Management of Environmental and Social Risks and Impacts
- Performance Standard 2: Labour and Working Conditions
- Performance Standard 4: Community Health, Safety, and Security
- Performance Standard 5: Land Acquisition and Involuntary Resettlement
- Performance Standard 7: Indigenous Peoples
- Performance Standard 8: Cultural Heritage (IFC, 2012:2)

Issues such as gender, climate change, water and human rights are addressed across the standards. A guidance note accompanies each standard (IFC, 2012:4). Environmental and social risks and impacts must be managed by using an Environmental and Social Management System. The standard applies to all the activities funded by the IFC for the duration of the loan period. A number of private banks adopted most of the IFC standards in an initiative known as the Equator Principles (Esteves, Franks & Vanclay, 2012:38).

Other international standards and guidelines include industry standards such as the International Council on Mining and Metals and the International Petroleum Industry Environmental Conservation Association, and individual company standards like the Socio-economic Assessment Toolbox from Anglo American (Esteves et al., 2012:38).

In summary, a number of national and international standards relevant to the social environment exist. The aim of all the standards are to improve the wellbeing of affected people, therefore it can be assumed that it favours social development outcomes.

4.6 Summary

Numerous instruments of governance that affect the social or physical environment exist on national and global level. For the purpose of this chapter only the ones that were deemed most relevant in the context of the study were discussed. From a South African perspective, the South African Constitution 1996 forms the basis of all the legislation, and

human rights are firmly entrenched in South African law. This is also in line with social development, which employs a human rights approach and is used as theoretical framework for this study. All the environmental acts refer to the promotion of social and economic development, whilst the social policies refer to sustainable development. From the discussion above, the intention of the South African law is to promote cooperative governance, and not for any act to be viewed in isolation, but as part of a holistic whole. The principles of the acts and policies give the impression that they are linked intrinsically with each other, with the Constitution forming a golden thread throughout.

Other governance tools exist on local, provincial, national and international levels. The National Development Plan 2030 (NPC, 2012) contains a vision for the future development of South Africa, and the Integrated Development Plans on local level and Provincial Growth and Development Strategies on provincial level are some of the vehicles that can be used to execute the plan. The NDP also links with international initiatives such as the Millennium Development Goals, and the proposed new sustainable development goals. From a planning perspective it is clear that there is a vision for long-term sustainable development in South Africa and that social development is a main item on the agenda.

If the international standards and governance tools are considered, the social agenda is also clear. Human rights, labour issues and community wellbeing are common themes. The standards are not explicit about social development issues, which can be seen as a weakness, as this may indicate a limited understanding about the concept, but given that crucial aspects associated with social development such as human rights and wellbeing are included, it can be argued that the intention to address social development is there. It can also be argued that companies do not necessarily see social development as their main task, and that they first should get the basics right, but as indicated in the conclusions below, this cannot be done in isolation.

The following observations can be made based on this chapter:

- All instruments of governance consider the protection of basic human rights.
- According to the framework presented in this chapter, the protection of the environment must include the promotion of social and economic development in a sustainable manner.
- The social and bio-physical environment cannot be separated.
- In order to comply with the relevant acts and tools of governance communities must be consulted in all decisions affecting their daily lives.
- Sustainable social and economic development is not the responsibility of only one department, nor is it only a government function. Unless all spheres of government, the affected communities and industry work together, it is unlikely to be achieved; therefore:
 - Sustainable development can only be achieved via cooperation between all role-players, including communities, authorities and industry.
 - Communities must be empowered to participate in decision-making processes, although they do have certain rights, they often do not know how to apply it.
- All legislation, policies and strategies presented in this chapter aim to protect the human environment from harm, or to prevent the human environment from inflicting harm on something else. It can therefore be argued that South African legislation is anthropocentric.
- The fact that human rights are protected and development is promoted by numerous acts, policies and standards does not mean that social problems disappear or social and economic development automatically occurs. There seems to be a significant incongruence between the intentions of some acts, policies and standards and the current situation.

- The implementation of any given act, policy or standard should be consistent and true to its original intention, otherwise no difference is made on community level.

This chapter confirms the relationship between the instruments of governance applicable to the biophysical environment, and requirements for social development. It suggests that the best approach to maximise the benefit of the relationship would be through cooperative governance. Having explored the legal and institutional framework for social development in the environmental management field, the next chapter presents the research methodology that was used to investigate whether SIA could be used as a tool for social development.

Chapter 5. Research methodology

5.1 Introduction

This chapter focuses on the research methodology used for the empirical study in order to answer the following research question:

- Could SIA be effectively used as a tool for social development in the South African context?

The sub-research questions that guided the researcher to answer the research question were the following:

- To what extent does the SIA methodology currently practiced in South Africa reflect social development?
- Could guidelines for SIA assist practitioners with achieving social development outcomes?

The chapter commences with a description of the qualitative and quantitative research methodology used in this study. It describes the theoretical framework for the research, research approach, research design and methodologies, type of research, population, sample and sampling methods. It includes a discussion on the reliability, validity and trustworthiness of the data. It further considers the ethical aspects relevant to the study and concludes with a discussion on the limitations of the study.

5.2 Research paradigm and approach

This study aspired to determine whether SIA could be effectively used as a tool for social development in the South African context. This means that the outcomes of the study must be applicable to the practice of SIA in addition to contributing to an academic body of knowledge. This study made use of *pragmatism* as a research approach in an attempt to ensure that practitioners can use the outcomes. Pragmatism is philosophically built on the concept that the outcomes are more important than the process or the ideas (Mouton, 2002:8). A pragmatic approach is concerned with methodological rather than metaphysical concerns (Doyle, Brady & Byrne, 2009:178). This study therefore aimed to cumulate in a tangible outcome, namely a strategy to implement SIA as a tool for social development, rather than an abstract outcome. Pragmatism is orientated towards solving

problems in the real world (Feilzer, 2010:7) and supports an eclectic approach in which research methods and concepts are based on whatever is needed to answer the questions (Doyle et al., 2009:178; Creswell, 2014:11). The freedom of choice of individual researchers is acknowledged by pragmatism, and it allows the researcher to choose methods, techniques and research procedures that are most suitable for their purposes (Creswell, 2014:11). The study therefore used mixed research methods and opportunistically tapped into available resources such as the World Cafés (see Section 5.5.1.1) to ensure that the researcher could find answers to the research question and sub-questions. Pragmatic researchers view the research problem and questions as more important than the underlying philosophical assumptions of methods used (Giacobbi et al., 2005:21), and are not committed to a single system of philosophy (Creswell, 2014:11) and therefore mixed methods that are appropriate to the specific research questions were used in this study. Such an approach allows for easier collaboration between academics and practitioners (Giacobbi et al., 2005:28), which is seen as an important potential outcome of this study, as most SIA practitioners in South Africa are not academics.

From a pragmatic perspective the research process guides the researcher to examine all the routes towards understanding (Hildenbrand, 2004:17) and collect and analyse data in many ways (Creswell, 2014:11). This study used qualitative (see Section 5.5.1.1) and quantitative (see Section 5.5.1.2) methods to examine the practice of SIA from a subjective and an objective perspective, which leads to a deeper understanding of the current practice of SIA. In pragmatism, the research question is used as the basis to determine the research framework, and the focus is on the best way of addressing the research problem, which is determining how SIA could be effectively used as a tool for social development in the South African context (Wahyuni, 2012:71). The role of the pragmatic researcher is to promote change and create knowledge that can be used actively (Goldkuhl, 2012:143), and this study does that by aiming to introduce a different way to practice SIA in order to ensure that the result is social development outcomes. Pragmatism is attractive to SIA practitioners as it focuses on real-world solutions and tries to find practical answers for existing problems that society faces (Giacobbi et al., 2005:21). It looks at action and change and the relationship between knowledge and

action. This study explored the action that will be required to change the practice of SIA, and also what knowledge will be required from SIA practitioners to ensure that they can take action. The pragmatic approach is suitable for researchers who want to get physically involved in solving a problem rather than just observing it (Goldkuhl, 2012:135). This was an important consideration in choosing pragmatism as research approach for the study, since the researcher was looking for ways in which she can not only improve her own practice, but also improve the way in which SIA is practiced in the South African context.

Pragmatists acknowledge the contextual nature of scientific inquiry and the influence of past and current political, social and historical positions (Giacobbi et al., 2005:21; Creswell, 2014:11). This is why the South African context forms an important consideration in the thesis (see Chapters 2 & 3), as social impacts are context-specific (Slootweg, Vanclay & Van Schooten, 2003:56) and therefore any research conducted in the SIA field must consider the surrounding conditions, current and historical. Values are important when results are interpreted and the pragmatic researcher assumes subjective and objective positions (Wahyuni, 2012:69). The researcher worked from the value systems underpinning social work and SIA, and the interpretation of the results obtained for this study was influenced by these value systems. The method chosen to interpret the quantitative data (see Section 5.8.2) was an attempt to remain objective and unattached, while the interpretation of the qualitative data (see Section 5.8.1) was more subjective due to the nature of the data. This inter-subjective approach of pragmatism allows the researcher to move between various contexts and enhance communication and shared meaning between research participants and the academic world (Morgan, 2007:73). Sharing the results of this study with practitioners and academics should enhance communication between these parties. Because an inter-subjective approach to the study is essential, SIA practitioners are also subjects in the research. Pragmatism requires that research findings and outcomes must be discussed within the scientific community (Giacobbi et al., 2005:27), and therefore the findings of this thesis aim to stimulate robust discussions within the SIA community, locally and international, and also between the SIA community and the social development community.

Despite all the benefits of using pragmatism, it is acknowledged that there are some drawbacks of using this approach and it must be acknowledged that the process of conducting research is as important as the outcome to ensure scientific credibility. In this study, using a pragmatic approach has the danger that the researcher may focus so much on the potential outcomes of SIA as a tool for social development that it fails to capture the essence of current SIA practice (Kazi, 2000:762). There is a danger that the focus on past practice may be at the cost of developing future practice (Kazi, 2000:762). The use of reflexive research practice is especially important when approaching research from a pragmatic perspective (Feilzer, 2010:8) to ensure that the pitfalls are avoided.

Furthermore, this study has been approached from a functionalist paradigm meaning that it has a problem-solving orientation that leads to rational explanation (Bryman & Bell, 2003:22). A number of activities are combined in the term SIA and each of these contribute to the SIA process. In this study, SIA reports and SIA practitioners have been studied. This aligns the study further with structural functionalism where social phenomena (SIA reports and SIA practitioners) are divided into parts that each serves a function for the operation of the whole (SIA process) (Babbie, 2010:38).

Given the pragmatic theoretical underpinnings of the research, the researcher deemed it appropriate to use multiple methods within one investigation (Giacobbi et al., 2005:21; Mackenzie & Knipe, 2006:195). Diverse approaches were used and a mixed method research approach combining qualitative and quantitative methods was adopted. Pragmatism is often associated with mixed method research, as the underlying assumption is that the realities of research precludes it being driven by theory and data exclusively and that a process of abduction where the researcher can move between inductive and deductive reasoning is advocated (Doyle et al., 2009:178). Qualitative and quantitative research represents different, but not conflicting research strategies (Durrheim, 2011:47), and using both enrich the data obtained.

In the qualitative study, observations and findings were made, confirming viewpoints and perceptions held by the SIA community about the current practice of SIA. Specific conclusions from this information were reached using inductive reasoning. Induction is the logical model that qualitative researchers use to develop general principles from

specific observations (Babbie, 2010:22; Fouché & Delpont, 2011:64). In the quantitative component of the study theoretical variables representing SIA best practice and social development outcomes were identified and their inclusion in SIA reports were analysed using deductive reasoning. Quantitative researchers use deduction as a logical model to develop specific observations from general principles (Babbie, 2010:22), and in this study specific observations about the inclusion of social development variables were made.

Quantitative and qualitative research is based on different kinds of information and different methods of data collection and analysis (Durrheim, 2011:47). On the most basic level quantitative data can be described as numerical and qualitative data as non-numerical (Babbie, 2010:23; Durrheim, 2011:47). In this study the information obtained from the interviews and World Cafés (see Chapter 6, Section 6.2) were analysed in a non-numerical manner, and the information obtained from the SIA reports (see Chapter 6, Section 6.3) were analysed in a numerical manner. Using qualitative methods for the interviews and World Cafés permitted more in-depth, open and detailed understanding of the information emerging from the data (Durrheim, 2011:47). The quantitative analysis entailed a series of pre-set categories representing SIA best practice and social development outcomes, and the results of the analysis were used to make broad and generalisable comparisons between the categories (Durrheim, 2011:47).

The qualitative part of the study sought to build accounts of reality based on the collected data by trying to establish the views of the SIA community regarding certain variables on SIA and social development. The researcher became immersed in the details and specifics of the data. These qualities are innate to qualitative research (Babbie, 2010:22; David & Sutton, 2004:36; Durrheim, 2011:47; Fouché & Delpont, 2011:65).

The quantitative section of the study was more structured and used to determine the extent to which the variables on social development were represented in SIA reports (Fouché & Delpont, 2011:64).

5.3 Type of research

According to Babbie (2010:25) social scientists are motivated by understanding and application: they want to explain phenomena, but also use their knowledge to make a difference, as is the case in this study. The utilisation of research findings determine whether it is basic (pure) or applied research (Fouché & De Vos, 2011:95). Whereas basic research aims to extend the knowledge in a field and contribute to the scientific understanding of the world (Fouché & De Vos, 2011:94), applied research aims to solve practical problems (Durrheim, 2011:44) and accomplish tasks (Fouché & De Vos, 2011:95). Basic and applied research are complementary to one another and the goals overlap in practice, as theoretical findings have practical implications, and practical findings have theoretical implications (Fouché & De Vos, 2011:95). The goal of this study was to explore whether SIA as currently practiced is used as a tool for social development in South Africa, and as such it is applied research. This thesis is an example of how basic and applied research complement each other, as the practical findings of the study have definite implications for SIA theory.

Research can be exploratory, descriptive or explanatory (Babbie, 2010:92; Durrheim, 2011:44, Fouché & De Vos, 2011:95) depending on the goals. Exploratory studies investigate relatively unknown areas and explore new topics. Descriptive studies describe phenomena, situations and events, and explanatory studies explain phenomena (Babbie, 2010:92-95; Durrheim, 2011:44; Fouché & De Vos, 2011:95, 96). This study is a combination of descriptive and exploratory research. There is an existing body of SIA and social development literature that was used to inform the study, act as a theoretical framework and to design the empirical study, fitting into the descriptive category. The integration of SIA and social development is a new area of research, and therefore the part of the study that explored this new topic fits into the category of exploratory research.

5.4 Research design

A research design is a strategic framework that guides research activities to ensure that rigorous conclusions can be reached (Durrheim, 2011:35). A research design provides a framework for the collection and analysis of data (Bryman & Bell, 2003:32). An exploratory sequential mixed methods design was used for the study, as the relationship between SIA and social development was studied in depth and the prevalence of social development indicators in SIA were then measured (Delpont & Fouché, 2011:441; Creswell, 2014:16). The study was conducted in two phases, with the qualitative component of the study that explored the perceptions of the SIA community about the practice of SIA conducted first. This phase was followed by the quantitative component of the study where variables identified in the literature study and the qualitative study was used to analyse SIA reports. A two-phased design where the results of the first phase inform the second phase is one of the characteristics from an exploratory sequential mixed method design (Delpont & Fouché, 2011:441; Creswell, 2014:16). The advantage of using an exploratory sequential mixed method design is that the information gathered in the qualitative phase of the research can be used to inform the quantitative phase. Challenges associated with this type of design are finding the appropriate qualitative findings to focus on and the sample selection for both phases of the research (Creswell, 2014:15).

5.4.1 Qualitative study

The first phase of the mixed method design, the qualitative study, used an instrumental case study as design. The instrumental case study is used to gain knowledge about a specific subject (Delpont, Fouché & Schurink, 2011:320). The researcher specifically wanted to study SIA and determine whether it can be used as a tool for social development, and since a case study is concerned with the complexity and particular nature of the case in question (Bryman & Bell, 2003:53), it was deemed an appropriate design. The following characteristics of the case study design are relevant to this research (Delpont et al., 2011:320; Creswell, 2007:73):

- Detailed, in-depth data collection occurred over a period of time.
- Multiple sources of information were used (One-on-one interviews, telephonic interviews, electronic interviews, World Cafés).

This study aimed to derive new insights into SIA and its relationship with social development in South Africa, and as such it contributes new knowledge to the SIA field. The contribution of new knowledge is a purpose of an instrumental case study (Delport et al., 2011:320). In this study, research findings aspired to provide a new way of looking at SIA in the South African context. The information obtained in the qualitative study and literature component of the thesis was used to inform the data collection instruments used in the quantitative study.

5.4.2 Quantitative study

The second phase of the mixed method design, the quantitative study, used a structured non-participant observation design. Although structured observation is often associated with the study of human behaviour, this design seemed appropriate due to the methods innate to the design that was employed in this study (Babbie, 2010:300; Bryman & Bell, 2003:178; Kelly, 2011:309), namely:

- The study aimed to be non-intrusive;
- The review of the reports did not focus on the analysis of the content of the report, but rather on observations whether certain variables were present or not;
- Explicit criteria that had to be recorded were identified;
- Information was systematically recorded to ensure that it was possible to combine the findings for each variable; and
- The resulting data resembled questionnaire data, as data on each variable was obtained.

The aim of the quantitative study was to establish what the current reality in SIA practice is, and whether the perceptions obtained through the qualitative study were accurate.

The methods used in each design will be discussed in detail in the following section.

5.5 Research methods

This section presents the study population and sampling, data collection methods, pilot study and data analysis for the qualitative and quantitative studies respectively.

5.5.1 Study population and sampling

A population is defined as the universe of units from which a sample can be collected (Bryman & Bell, 2003:572; Durrheim & Painter, 2011:139). A sample is a subset of the population, the segment that is selected for the research (Bryman & Bell, 2003:573; Durrheim & Painter, 2011:139). The population and sample used in the qualitative study differed from what was used in the quantitative study, and it will thus be discussed separately.

5.5.1.1 Sampling for the qualitative study

There are no rules for sample size in qualitative research as the sampling size depends on the required information, the purpose of the study and usefulness, credibility, availability of time and resources (Strydom & Delpport, 2011:391). The population for this study included SIA practitioners, Environmental Impact Assessment (EIA) practitioners and academics with an interest in the SIA field in South Africa. The size of the population is not known, as the industry is not regulated and therefore statistics are not available. Sixteen of the twenty-three universities (including Universities of Technology) in South Africa present environmental management courses.

Non-probability sampling methods have been used for the interviews and World Cafés, because the samples have not been randomly determined (Durrheim & Painter, 2011:139).

The study commenced with the interviews and the World Cafés were done after the interviews were completed. A purposive sample based on the judgment of the researcher was used to select participants for the interviews (Babbie, 2010:193; Durrheim & Painter, 2011:139; Strydom & Delpport, 2011:392). Purposive sampling means that the sampling not only depends on the availability and willingness of participants to partake in the study, but also that cases most characteristic, typical or representative of the population are selected (Durrheim & Painter, 2011:139; Strydom & Delpport, 2011:392). Participants

were selected based on the knowledge that the researcher has about the population (Babbie, 2010:193), and participants known to the researcher were contacted first. This was combined with snowball sampling where participants were asked to refer other people that can contribute to the study (Babbie, 2010:193; Durrheim & Painter, 2011:139; Strydom & Delport, 2011:392). Given the relatively small number of SIA practitioners in South Africa, the process was repeated until saturation point was reached and no new names emerged. The criteria used to identify participants included the following:

- Participant has at least two years' experience in the field of SIA.
- Participant works fulltime in the SIA/EIA field.
- Participant is based and work in South Africa.
- Academics teach SIA/EIA as a subject.

Twenty-four people were interviewed including three EIA practitioners, of which two manage SIA processes and integrate the findings of the SIA in EIA reports. The third practitioner manages teams that monitor and manage social impacts on large infrastructure projects. Six academics that teach SIA and EIA were interviewed, of which two are actively involved in the practice of SIA. The remaining fifteen participants are all SIA practitioners.

Originally the researcher intended to follow up on the interviews with a round of focus group meetings to discuss the results of the interviews. Before this could happen, the researcher was approached to conduct workshops about SIA by significant role players in the SIA field namely the International Association for Impact Assessment of South Africa (IAIAsa), the Development Bank of South Africa (DBSA) and Eskom (see Section 5.6.2.1 for detailed discussion), and decided to use the World Café format for these sessions. World Cafés can reach a much larger audience, and therefore more experts could be included in the study, therefore the researcher decided to use the opportunity in the place of the planned focus group meetings. Three World Café meetings in total (one with Eskom/IAIAsa and two with the DBSA/IAIAsa) were conducted as part of the study and attended by 143 people in total. Twenty-eight participants in total attended the

Eskom/IAIAsa World Café. Ninety people attended the DBSA/IAIAsa World Café in Midrand and twenty-five the DBSA/IAIAsa World Café in Cape Town, resulting in a sample size of 115.

The population for the World Café presented by Eskom and IAIAsa included all the Eskom sustainability practitioners based in Gauteng. The sustainability practitioners were joined by a group of SIA practitioners. The SIA practitioners were selected based on their availability to attend the event, experience with Eskom projects, at least two years of working experience and ability to contribute to the discussion. All SIA practitioners known by the researcher were invited to attend the event, and encouraged to extend the invitation to other practitioners that meet the criteria.

The researcher advertised the World Café presented by DBSA and IAIAsa via the IAIAsa webpage and IAIAsa newsletters that were distributed electronically. The target population included members of IAIAsa, big environmental consulting firms, environmental NGOs and smaller firms known to be active in the SIA field. The invitation was extended to IAIA members in the Southern African Development Community. There were no other criteria for participants other than their interest in the topic and ability to attend the World Café in Midrand or Cape Town.

Since the size of the population was not known, it is not possible to establish how representative the sample was. However, the researcher is confident that the sample was well represented based on the following:

- Different methods have been used to identify participants;
- Participants from all over South Africa and SADC have been included in the study;
- Participants were invited to participate through IAIAsa, a voluntary organisation that represents the interest of environmental practitioners and allied professions; and
- The SIA community in South Africa is relatively small and the researcher presented their interest on the NEC of IAIAsa during the period when the research was conducted. As part of this position she compiled a database of SIA practitioners in

South Africa. The researcher is therefore confident that key people in the SIA field were included in the study.

5.5.1.2 Sampling for the quantitative study

Non-probability sampling has been used in the quantitative study as the population for this study included all SIA reports completed in South Africa between 2008 and 2014 (Durrheim & Painter, 2011:139). SIA reports are in the public domain and available on the websites of the consulting companies that conducted these studies. All the reports that could be found were included in the analysis, making it a convenience sample (Strydom, 2011a:233). A limitation to this approach is that reports are removed from the website after the project is completed at the discretion of the company, therefore it was not possible to obtain some reports that were conducted during this time. To supplement the convenience sample, key informant sampling was used and selected practitioners were asked if they would be willing to contribute reports for use in the study (Strydom, 2011a:234). These practitioners were identified based on their experience, qualifications and reputation. The combination of the sampling methods yielded a sample of 15 SIA reports. The researcher attempted to include the entire population in the study, taking into consideration that many SIA practitioners work outside South Africa and that only large projects are usually subjected to SIA. The researcher excluded her own reports or reports that were reviewed by her from the study. The reports included in the study were based on the following criteria:

- The study was conducted between 2008 and 2014;
- The study was conducted in South Africa, and
- The project could potentially have significant social impacts.

As indicated above, all the reports that could be found have been included in the study, and it represented the mining, energy, infrastructure development and commercial sectors. Four of the nine provinces are represented, including the Western Cape, which is an economic hub, Limpopo, which is one of the poorest provinces, Mpumalanga, which is subjected to rapid development and KwaZulu-Natal where communities are very politicised.

5.5.2 Data collection

Data collection methods differ between qualitative and quantitative research. Two methods were used to collect the qualitative data, namely interviews and World Cafés. A checklist was used to collect quantitative data. The three different methods used to collect data are discussed in Section 5.6.2.1 and 5.6.2.2 below.

5.5.2.1 Qualitative data collection methods and research instruments

The two data collection methods and instruments associated with each method will be discussed separately in this section for ease of reference.

Interviews

The first instrument used was interviews with SIA practitioners. Guided one-on-one interviews and electronic interviews were conducted, depending on the preference and availability of the participants. An interview schedule (see Appendix A) with open-ended questions was used to guide the one-on-one interviews, making them semi-structured interviews. The majority of the interviews (21) were conducted as one-on-one interviews. The rest of the interviews (3) have been conducted via e-mails. An interview schedule is a form of questionnaire that uses a set of pre-set questions to guide the conversation with the participants, and as such the interview schedule was used as a questionnaire for the interviews conducted via e-mail (Fossey, Harvey, McDermott & Davidson, 2002:727; Greeff, 2011:352).

The semi-structured interviews allowed the researcher to be flexible and explore aspects in more depth if required (Greeff, 2011:348). This allowed the researcher to explore the participant's views around SIA and social development in more depth and to clarify any ambiguities. Open-ended questions allowed the researcher to explore a number of topics and obtain detailed and reflective answers (Colton & Covert, 2007:133). The interviews were conducted across South Africa and the participants determined the venues, which ranged from their offices to coffee shops. The interviews took about an hour and a half to two hours, depending on the availability and interest of the participants. Interviews were not tape-recorded, but recorded with hand-written notes, which were refined after the interviews and captured electronically in a table format. The table was used to group, sort

and stow the answers and act as an audit trail. The journal that was used to record the notes was also used for reflective memos. The interviews were not tape recorded because not all participants were comfortable with being recorded, and in the interest of consistency no recordings were used. Using hand written notes allowed the researcher to clarify concepts on the spot and participants to have periodic breathers. In addition, the researcher is well-versed in taking hand written notes, as this technique is used as part of her daily job since many of the respondents in SIA processes prefer not to be recorded.

World Cafés

The second data collection method that was used is the World Café, a technique used for large-group intervention. The interviews with practitioners raised awareness about SIA amongst the environmental management community. As a result of this, the DBSA contacted IAIAAs where the researcher was a member of the National Executive Committee responsible for SIA at the time. The DBSA suggested that IAIAAs conduct a workshop to discuss SIA guidelines and offered to assist with a venue and logistic support. The researcher was asked to provide technical input and as already mentioned above recognised it as an opportunity to inform the study. The researcher suggested that the World Café format should be used. It was agreed between the organisers and the participants that the information produced by the World Cafés would be in the public domain, and that the researcher could use it to inform her study. The researcher formulated the questions, facilitated the World Cafés, analysed the data that was collected with help from the participants and produced an abridged record of the meeting. The discussions for the first two World Cafés focused around three specific topics, namely sharing experience around SIA, potential guidelines for SIA and qualifications and training in the SIA field. The questions had to meet the criteria of the DBSA and IAIAAs, and were therefore not directly focussed on social development, but the data that was obtained was rich and relevant to the study, as practitioners shared their experience around SIA practice. The data set that was produced could be successfully analysed for the study's purpose, as it contained information about the current practice of SIA and what SIA practitioners would like to include in guidelines, therefore the researcher could investigate whether social development outcomes are

included and whether SIA practitioners have the required training and qualifications to include social development outcomes in SIA practice. This information provided answers to some of the sub-research questions.

Employees of Eskom attended the first World Café and approached the researcher in her position at IAIAasa to present a similar event with their sustainability practitioners working in the environmental field to assist them with compiling terms of reference for SIA studies. The researcher recognised the opportunity to add the voice of industry to her research, which was missing at that stage. In addition, sustainability practitioners should by definition be concerned with social development, and the researcher was curious to see if social development would feature in the data produced as a result of this World Café. IAIAasa agreed to the event on the condition that the outcomes should be in the public domain. The three topics that were discussed in the third World Café were different from those discussed in the first two events as it were formulated to accommodate Eskom's specific needs. The topics include an exploration on what SIA is and why it is conducted, what should be included in a SIA, and how to get the desired outcomes. Again the researcher formulated the questions (with input from Eskom), facilitated the World Cafés and analysed the data that was collected with help from the participants, and produced it as a summarised document. Although the questions were not specifically about social development, there is a clear link with the sub-research questions, as it provided data on current SIA methodology, and investigated the kind of outcomes industry expect from SIA. This data could potentially indicate whether industry link social development outcomes with SIA.

The World Café was deemed an appropriate method to use for these events, as it enables groups of all sizes to participate in changing rounds of dialogue with others while remaining part of a larger, connected discussion (Fouché & Light, 2011:35, Aldred, 2009:58). As indicated in section 5.5.1.1 purposive sampling that focused on SIA practitioners and people with an interest in the field of SIA was used for the World Cafés. Purposive sampling is based on the judgement of the researcher and ensures the sample contains people with the most representative qualities of the population (Strydom, 2011a:232). Three World Café sessions were conducted. World Cafés take place in

sociable spaces, and therefore the rooms were arranged like a café, with round tables seating about eight people at a table (Burke & Sheldon, 2010:16). The first IAIAsa/DBSA World Café was held at the DBSA offices in Midrand. The second IAIAsa/DBSA World Café was held at the Victoria Junction Protea Hotel in Cape Town. The Eskom/IAIAsa workshop was held at Megawatt Park in Midrand. The process required that each table select a host that remains seated at the table for the entire session (Burke & Sheldon, 2010:16). In addition, each table had a scribe that documented the discussion using colourful pens, flipchart paper and comment sheets to record the discussions around specific questions. The table hosts therefore assisted with the data collection and initial recording.

After a twenty-minute discussion of each topic the participants were asked to move to a different table. The host would then summarise the previous discussion before the next discussion commenced. At the end of the session each table was asked to give feedback on the three topics, verbally and in writing by means of the comment sheets. The comment and flipchart sheets were collected after each discussion, as these were the main source of data, but the researcher also moved between tables and made notes of the feedback sessions. The researcher then recorded the contents of the comment and flipchart sheets compiled by the participants electronically, and the resulting document serves as the record of the raw data.

The World Café was deemed an appropriate method to use as it is seen as a meaningful way in which large groups can be engaged in meaningful and authentic conversations (Fouché & Light, 2011:35). The technique was specifically developed to facilitate the exchange of knowledge, which was a need in the data-collection process (Prewitt, 2011:350). It is less time-consuming than focus groups and allows participants to actively engage in the research process. The World Café accentuates enquiry and understanding rather than problem solving, and the aim of the sessions that the researcher conducted was to obtain a deeper insight in the field of SIA, the associated challenges and whether practitioners link SIA practice with social development (Prewitt, 2011:351). It also brings together a wide representation of people, as indicated in Section 5.5.1.1.

5.5.2.2 Quantitative data collection methods and research instruments

The third data-collection method was used in the quantitative study and entailed structured non participant observation, where data was collected from fifteen SIA reports that were produced between 2008 and 2014, to collect a body of quantitative or quantifiable data in connection with thirty-four criteria that were identified from the literature and the qualitative study (Bryman & Bell, 2003:48; Babbie, 2010:106). A checklist was developed in order to collect data that could be analysed by means of a Guttman scale (also known as a scalogram analysis or cumulative scaling) (International Encyclopedia of the Social Sciences, 2008). A Guttman scale was chosen because it is often used to measure attitudes and public opinion (International Encyclopedia of the Social Sciences, 2008), and a Guttman scale fitted the purpose of the qualitative study, which was to determine how SIA practitioners approach social development outcomes in their reports. The object of a Guttman scale is to measure the degree to which a series of objects are distributed one-dimensionally (Guest, 2000:247). When using a Guttman scale the total score of the respondents is more important than single scores (International Encyclopedia of the Social Sciences, 2008). A Guttman scale orders both the items and respondents on a single, identifiable continuum that reveals intrinsic meaning (Dane, 1990:334).

Since no existing tool that meets the requirements of the study was available, a checklist specific to the study was developed. Delpont and Roestenburg (2011:202) define a checklist as a type of questionnaire that consists of a series of items to which a respondent must reply with a tick whether an item is applicable. In order to develop the checklist, the researcher used a framework that started with defining the concept to measure, deciding what key elements should be included and finishing with formulating questions that can be used as indicators (David & Sutton, 2004:142; Delpont and Roestenburg, 2011:202). Social development as an outcome of SIA was identified as the overarching concept that the checklist aimed to measure. The researcher identified three primary themes based on the information presented in the literature chapters that should be included in the checklist. These themes are:

- The presence and acknowledgement of a legal and institutional mandate for the specific SIA study;
- Aspects in the SIA study that could promote social development; and
- Whether the recommendations in the SIA report go beyond minimum requirements for mitigation and monitoring, to outcomes that will result in social development.

The literature was then used to formulate questions under each theme that represents criteria for social development and in the end 34 questions were answered from the content of each report (see Chapter 6, Section 6.4). SIA best practice was included in the questions where appropriate and where there were explicit links with social development that already emerged in the literature study. The checklist was developed in three phases, consisting of a peer review, a self-test and a pilot study. The first phase of the checklist development consisted of a peer review of the contents and structure of the checklist by an SIA peer. Based on the comments received from the peer, the researcher adapted the checklist. For the second phase of the checklist development, the researcher tested the checklist herself by completing it using data from one of the reports in the sample. Based on this review, the researcher adapted the checklist once again. The final phase of the development of the checklist was a pilot study (see Section 5.5.3.2). The researcher completed the checklist and requested two SIA peers to complete the checklist as well. No further changes to the checklist were required. The pilot study therefore formed part of the development of the checklist, and once it was concluded, the researcher proceeded with the data collection process. The data used for the pilot study was included in the data analysis process.

The data obtained from the checklist was recorded in a matrix (see Appendix B) with the set of questions presenting the Y-axis and the 15 reports presenting the X-axis. Two of the 34 questions were not used in the final Guttman analysis, because they did not have dichotomous answers. These two questions were, however, used in the over-all data analysis. The reliability and validity of the checklist and the Guttman scale are discussed in more detail in Section 5.6.1.2 of this chapter.

5.5.3 Pilot study

A pilot study is usually conducted before research commences. The aim of a pilot study is to identify any possible faults in the research design as early as possible (Fouché & Delpont, 2011:73).

5.5.3.1 Qualitative Pilot study

A pilot study to test the interview schedule was not conducted because it was not feasible due to the limited number of available participants, the costs associated with the interviews and the length of the interviews, but the first interview was used to determine whether the questions needed any changes. This is common practice in qualitative studies where participants are limited and opportunities for data gathering are scarce (Fouché & Delpont, 2011:74). However, an SIA practitioner, who is an expert in the field of qualitative research, reviewed the interview schedule before it was presented to the ethics committee of the University of Pretoria to ensure that there were no ambiguities. No changes to the interview schedule were required after the first interview was conducted. No pilot study was conducted for the World Cafés, but the researcher is familiar with the method and has used it before.

5.5.3.2 Quantitative Pilot study

The small number of available reports meant that the checklist used to complete the Guttman matrix was not piloted extensively. The pilot study commenced with the researcher completing the checklist as a form of self-testing. After that, two reviewers (both SIA practitioners) were used to pilot the checklist using data from the same report that the researcher used for her pilot test. There was a small difference in interpretation between the two reviewers (see Section 5.6.1.2 for a discussion about this point). The checklist were not adapted as a result of the pilot study, as the difference in interpretation was not related to the checklist, but to the understanding of the SIA report under scrutiny. The researcher therefore deemed that the checklist was valid for the study, since it met the criteria for inter-observer consistency (Bryman & Bell, 2003:77).

5.5.4 Data analysis

The data analysis used for the qualitative study was applied to both data sets which were interviews and World Cafés. The quantitative data from the SIA reports was analysed in a different manner.

5.5.4.1 Qualitative data analysis

The qualitative data has been analysed following a procedure suggested by Creswell (2014:197) who identifies six steps to analyse qualitative data:

1. Organise and prepare data for analysis.
2. Read through the data.
3. Start coding the data.
4. Identify themes or categories for analysis.
5. Decide how the themes will be presented.
6. Interpret the meaning of the themes.

These steps are not necessarily linear, but can be interactive as the various stages are interrelated (Creswell, 2014:196). There are similarities in the processes that were used to analyse the data gathered through interviews and the data gathered through the World Cafés. The data analysis process for the interviews is discussed first.

The interview notes were typed and combined in a table representing the different questions. The researcher could then produce each separate question with all the relevant answers typed in one document. The researcher read this document several times. The questions used in the interview schedule acted as initial coding categories. The answers to each question were printed, cut out, and pasted on an individual page of the researcher's journal with corresponding answers pasted on the same page. Highlighter pens were used to mark words that occurred repeatedly, in this way identifying recurrent themes. This creative process stimulated the thinking processes as the answers to each question were summarised and combined in one document. The researcher recorded observations in the journal as the process unfolded, reflecting on emerging themes, conflicting information and making assumptions (Schurink et al., 2011:406; Terre Blanche et al., 2011:323). This process assisted the researcher with interpreting the data.

A similar process was followed for the analysis of the data that was collected in the World Cafés. The researcher collected the comments and flipchart sheets and recorded the data by typing it up. Each of the three questions in the respective World Café sessions was recorded separately. The records were printed, and highlighter pens of different colours used to identify recurrent themes. The data was rearranged according to the themes and typed up as a record of the World Café sessions. The records were distributed to all the attendees and published on the IAIAAsa website asking for comments. No comments were received. The researcher used the journal to record observations, as she did with the interview data.

The data was grouped to represent perspectives from industry (Eskom World Café), perspectives from practitioners (interviews) and a mixed audience (IAIAAsa/DBSA World Cafés). The researcher compared the data of the respective groups and looked for emerging themes from all the data. Five emerging themes that were present in each group were identified. Through this process theoretical saturation was achieved since the researcher observed that the data was interrogated to an extent to where no new insights occurred (Bryman & Bell, 2003:428). The qualitative data analysis concluded with a process of interpretation and checking (Terre Blanche et al, 2011:326). The written account of the results of the data analysis was checked for contradictions and weak points. The researcher used the journal to write memos that could guide the ultimate outcome of the study, which is an alternative way to approach SIA in the South African context. She also used the journal to pen down some initial findings and recommendations.

5.5.4.2 Quantitative data analysis

The data analysis of the quantitative study was done by means of univariate analysis and a Guttman scale (Guest, 2000:247; Fouché & Bartley, 2011:254). The reports were numbered and labelled according to the industry in which they were conducted. The practitioners were assigned alphabetical names to investigate if the findings in the reports are consistent amongst the practitioners, irrespective of their industry. The univariate analysis entailed the analysis of each of the 32 questions individually (compare Babbie, 2010:426; Bryman & Bell, 2003:241; Fouché & Bartley, 2011:254; and Theroux,

Pretorius & Steele, 2011:242). Absolute frequency distribution was used to structure the data, meaning that the occurrence of the answer to each question was simply counted (Fouché & Bartley, 2011:254). The data was displayed using diagrams in the form of pie diagrams and bar charts in order to ensure clarity, simplicity and economy of space (Bryman & Bell, 2003:242; Fouché & Bartley, 2011:255). Given the relatively simple calculations required, the services of a statistician or statistical package have not been used and all the calculations have been done manually. The results of the univariate analysis were discussed to give some insight in the current reality of SIA practice.

A Guttman scale was utilised to find trends and patterns from the data that was collected. The Guttman scale was arranged to cluster all the similar statements and to group reports of similar content (Dane, 1990:334; Guest, 2000:247). Cut points have been identified to reveal patterns that establish which aspects are most often included in the reports. Similarly the approach identified clusters of issues that are not addressed, or seldom addressed, and group the reports with these shortcomings. The results of the univariate analysis (Guest, 2000:247; Fouché & Bartley, 2011:254) and the Guttman analysis were further interrogated to derive key findings.

The data analysis concluded with a comparison of the qualitative and quantitative results, which was done by comparing the key findings and looking for gaps between the data.

5.6 Reliability, validity and trustworthiness of the data

All research should meet certain criteria to ensure scientific acceptability. These criteria are different for qualitative and quantitative research. Qualitative research is evaluated according to its trustworthiness and quantitative research is evaluated according to its reliability and validity (compare Babbie, 2010:150-154; Bryman & Bell, 2003:33 Strydom & Delpont, 2011:419 and Van der Riet & Durrheim, 2011:89).

5.6.1 Qualitative study

Trustworthiness is made out of four criteria namely credibility, transferability, dependability and confirmability (Bryman & Bell, 2003:288; Schurink et al., 2011:420). Credible research findings are convincing and believable (Van der Riet & Durrheim, 2011:92). Credibility can also be compared to internal validity, meaning that the research

was done in a way that ensures that the research subject has been identified and described in an accurate manner (Bryman & Bell, 2003:288; Schurink et al., 2011:420). The research presented in this study ensures credibility by implementing the following measures (Creswell, 2014:202):

- Using participants representing different interest such as SIA practitioners working in small businesses, SIA practitioners working for large corporates, sustainability consultants, academics, and EIA consultants;
- Peer debriefing by discussing the results with mentors internationally and local;
- Distributing notes of World Café proceedings to participants for review;
- Conducting the research over a period of two years, and
- Triangulation by using different sources of data and methods.

Transferability refers to the ability to transfer findings from a specific situation to another (Schurink et al., 2011:420). By using more than one data-gathering method and multiple participants the researcher aimed to ensure the transferability of the findings. Although the research is specific to the South African context, some of the findings will be relevant to other developing countries with similar challenges (see Section 5.5.1.1). Dependability is a parallel to reliability in quantitative studies and to establish dependability some researchers adopt an “auditing” approach which entails that a record of all phases of the research process should be kept in an accessible manner (Bryman & Bell, 2003:289). These records are available for this study, but the size of the data set makes it unpractical for another social scientist to “audit” it. However, all the World Cafés have been recorded and the proceedings have been distributed to the participants for comment. This contributed to the dependability of the study. Dependability refers to the extent that the research process is logical, well documented and audited (Strydom & Delpont, 2011:420). This study meets the criteria of dependability, since similar results were obtained using different methods and subjects over time. The methods have been described and documented in detail in the report, and can therefore be repeated by other researchers.

Confirmability means that a researcher acted in good faith and has not allowed personal values or theoretical preferences noticeably sway the manner in which the research were

done or the findings of the research (Bryman & Bell, 2003:289). The discussion of reflexivity in Section 5.8 of this chapter alludes to this aspect in more detail.

5.6.2 Quantitative study

Reliability and validity are important concepts in quantitative research (Bryman & Bell, 2003:74). Reliability refers to the degree to which the results are repeatable (Bryman & Bell, 2003:33; Van der Riet & Durrheim, 2011:92). In order to test the reliability of the checklist, two SIA practitioners were asked to use the checklist to review the same report, as reliability relates to the consistency of the measure of a concept (Bryman & Bell, 2003:77). In the context of this study reliability was established by using inter-observer consistency which means that if it is reliable, the instrument will yield the same result on repeated trails by different participants (Bryman & Bell, 2003:77). Cohen's Kappa, a measure of the agreement of coding between two people, was used to assess the inter-observer consistency (Bryman & Bell, 2003:184; Viera & Garrett, 2005:361). Cohen's Kappa produces a coefficient between -1 and 1, and the closer the coefficient is to one, the higher the agreement and inter-observer consistency. A coefficient above 0.81 is considered an almost perfect agreement, between 0.61 and 0.8 a substantial agreement and between 0.4 and 0.6 it is a moderate agreement (Bryman & Bell, 2003:184; Viera & Garrett, 2005:362). Table 5.1 below presents the Cohen's Kappa coefficients obtained between the researcher and each of the reviewers, and between the two reviewers.

Table 5.1: Results of Cohen's Kappa

	Researcher	Reviewer 1	Reviewer 2
Researcher	-	0,80	0,72
Reviewer 1	-	-	0,68
Reviewer 2	-	-	-

The comparison between the researcher and the first reviewer produced a Cohen's Kappa of 0.8, which is deemed substantial. The Cohen's Kappa of the comparison between the researcher and the second reviewer was 0.72, which is also considered substantial. When

comparing the results of the two reviewers, a Cohen's Kappa of 0.68 resulted, another substantial measurement. The checklist was judged as reliable based on the outcome of the Cohen's Kappa.

The two reviewers used to complete the checklist agreed on about 30 out of 32 possible answers. The difference in the findings can be attributed to different interpretations about certain concepts. On a question relating to social service organisations, both reviewers were of the opinion that impacts on these organisations are mitigated due to the reference to NGOs in general. The researcher did not agree with this, as she was looking specifically at social service organisations, and not NGOs in general. The interpretation of the term was therefore problematic, as the reviewers and the researcher interpret the term social service organisation differently. The second ambiguity was whether impacts on family stability would be mitigated, where the researcher and one reviewer were of the opinion that it would not be mitigated, whilst one reviewer thought that it would be mitigated. The last point where one of the reviewers differed from the researcher and the other reviewer was on whether the mitigation measures would discourage dependency on the proponent. Although there were differences in interpretation, these were not major. The comparison of ratings by different observers with each other is the standard way in which an instrument like a checklist is tested for reliability (Delpont & Roestenburg, 2011:182).

Validity is concerned with the integrity of the conclusions, to establish whether the researcher observes, identifies or measures what they say they are (Bryman & Bell, 2003:33,287, Durrheim & Painter, 2011:147). The Guttman matrix is only valid if the indicators that are used to measure social development really measure that concept (Bryman & Bell, 2003:77). The checklist used in this study is based on a review of the most recent literature in the SIA and social development field (see Chapters 2 and 3) and therefore meet the requirements of criterion-related validity (Durrheim & Painter, 2011:152). The face validity of the checklist was tested by a peer review by an SIA practitioner, which established that it appears to measure what it is supposed to measure, namely social development indicators in SIA reports (Delpont & Roestenburg, 2011:174). A second review of the checklist by two SIA practitioners also established that

it meets the conditions for content validity, since the researcher used their judgement to establish whether the checklist covers the social development criteria potentially present in SIA reports sufficiently (Delpont & Roestenburg, 2011:182).

5.7 Reflexivity

Research is not value-free, and therefore it is important to include a section of reflexivity in this study. Reflexivity refers to the role that the personal background, prior knowledge, experience, culture and attitude of the researcher play in the execution of a study (Creswell, 2014: 186; Bryman & Bell, 2003:27). The researcher is an experienced SIA practitioner that has conducted in excess of 100 SIA studies during her career. She is a leading expert in the field and involved with SIA education on post-graduate level. She represented the SIA community on an international forum and acts as specialist advisor for national and international NGOs. From this perspective, her insight in the SIA field could be a disadvantage to the study, as she would interpret the findings from a position of pre-knowledge and therefore bias the findings. Embedded in her knowledge and experience as social worker and of social development the researcher is aware of the lack of social development outcomes from SIA studies, and therefore some of the information obtained in the study seems obvious to her, but might not be to the outsider. Although the principles of SIA put people in the centre of development, the researcher noticed that in practice SIA is not as people-centred as social development is, and that there is a possible synergy.

Being well known in the field had the advantage that people were willing to contribute to the study and dealing with gate-keepers was minimised. Although the data gathered for this study was done within a community of professionals, the researcher assured participants of confidentiality to ensure none of them would be compromised. Using the World Café method assisted in removing the researcher further from the participants to ensure greater objectivity. Being a self-organised, voluntary community of professionals, there was no power imbalances where participants would feel intimidated, as they are all professionals in their own right, working on the same level as the researcher.

The researcher is a qualified social worker with a post-graduate qualification in environmental management, which was co-supervised by two academics respectively in

social sciences and natural sciences. This means that the researcher has integrated the two fields since 2003, works as a social scientist in a natural science environment, and continuously needs to shift between fields to ensure that the integrity of her work is acceptable to both social and natural scientists. As a result the researcher developed a style of research and writing which is a hybrid of the two scientific fields, and while this is the pragmatic solution in practice, it can possibly distract from academic integrity.

The researcher's social work background influences her worldview and this aspect may bias the study towards favouring social development as an outcome of SIA. SIA practitioners are from different professions such as psychology, sociology, human resource management and others, and may not necessary feel as strongly about social development as the researcher does.

In order to address potential bias, the researcher kept a reflective journal to pre-empt possible outcomes, and engaged in discussions with peers on national and international forums. The peer discussions acted as sounding board to ensure that the researcher does not internalise findings too much. The researcher excluded her own SIA reports, and reports reviewed by her from the sample, which made the sample significantly smaller. In retrospect this would not have changed the outcome of this study, as the researcher's SIA reports would also not meet all the criteria of the checklist as the researcher only refined the social development variables with this study, and therefore the findings of this study will potentially improve her SIA practice as well.

5.8 Ethical aspects

The social sciences have a special obligation to safeguard human rights and dignity (Hoyle, Harris & Judd, 2002:45; Strydom, 2011b:113). Ethics is a set of moral principles that are suggested by an individual or group, are subsequently widely accepted, and offer rules and behavioural expectations about the most correct conduct towards experimental subjects and participants, employers, sponsors, other researchers, assistants and students (Strydom, 2011b:114). The following ethical aspects were relevant to the study: Voluntary participation; informed consent; anonymity and confidentiality; competence of the researcher, cooperation with contributors and publication of the findings in a scientific journal (Babbie, 2011:63-75; Strydom, 2011b:113-127).

5.8.1 Voluntary participation

All the participants in this study participated voluntarily. Some people who were approached by the researcher declined the interview because they felt that they did not know enough about the research topic. Participants that were interviewed all signed informed consent documents. Participants in the World Cafés reacted to advertisements of the event, and could withdraw from the meetings at any time without consequences.

5.8.2 Informed consent

The informed consent of the interviewees was obtained in writing (see Appendix C). This complies with the principle of informed consent under which research participants are provided with all the information necessary to allow them to make a decision concerning their participation (Dane, 1990:40; Strydom, 2011b:117; Wassenaar, 2011:72). The proceedings of the World Cafés and the reports that were used in this study are in the public domain. The participants of the World Cafés were informed at the sessions that the proceedings will be in the public domain and used in this study, but they did not sign informed consent letters, as the primary aim of these events was not purely to inform this study. They gave their consent to participate in the study on these grounds. SIA reports are legally required to be in the public domain. The ethical committee of the Faculty of Humanities, University of Pretoria approved the study (See Appendix D).

5.8.3 Anonymity and confidentiality

The information obtained in the interviews were analysed and presented in a way that protect the identity of the participants. None of the participants requested to stay anonymous, but the researcher decided not to publish the names. The information that was obtained is not of a confidential nature, but to the advantage of the SIA community of practice. Although the reports that were used in this study are in the public domain, the authors were contacted and asked for permission to use them. The analysis of the reports was conducted in a manner that did not reveal the author of any report, to protect them against findings that may not reflect them in a positive light. The aim of the analysis was not to review the competence of the authors, but to identify whether the variables identified in the quantitative section of the study were addressed in the report.

5.8.4 Cooperation with contributors

The SIA community contributed to this research by participating in the interviews and World Cafés. They also contributed by making SIA reports available. Individual SIA practitioners contributed their time for informal brainstorming sessions, to review the checklist and to test the Guttman matrix. The researcher has an obligation towards the SIA community to report correctly on the analysis of data and the results of the study (compare Babbie, 2010:71; Dane, 1990:53; Strydom, 2011b:123). The researcher adheres to the codes of conduct of the South African Council for Social Service Professions, the International Association for Impact Assessment (IAIA) and the Principles for Social Impact Assessment as prescribed by the IAIA. The researcher ensured that the investigation has been conducted correctly and that no one was deceived by the findings (Dane, 1990:53; Strydom, 2011b:126).

5.8.5 Publication of the findings

The literature study revealed that there are limited publications on the practice of SIA in South Africa. The SIA community contributed greatly to the data that was used in this study. The University of Pretoria requires the publication of the study in at least two scientific journals. The researcher is therefore scholarly obliged to publicise the findings of the study in peer-reviewed journals. The researcher committed to share the findings of the thesis with the SIA practitioners that were interviewed and supplied her with SIA reports through making this thesis and the scholarly articles available to them.

5.9 Limitations of the study

There are some limitations to this research study. The reports used in the quantitative study are those that could be found in the public domain, supplemented with reports supplied by practitioners. It is possible that not all SIA reports produced in South Africa during the specified period of 2008 to 2014 are included in the study, because reports are kept in the public domain for a limited period, after which they are archived. The population of SIA consultants in South Africa is not known, and therefore people may not have been included in the sample for the qualitative study. No social development practitioners were included in the study, and in retrospect it would have been valuable to obtain their inputs in the proposed strategy to ensure social development outcomes of

SIA. In addition, it would have been useful to include social development practitioners in the development of the checklist.

The World Cafés were presented with external partners and the questions asked had to accommodate their agendas. The focus of this study was the South African context, but the World Café broadened the questions to cover SADC, since people from across the region attended the events. One of the questions pertained to guidelines for SIA, and participants answered the questions referring to the way SIA is currently practiced, which is a minimum set of requirements that need to be met in order to legally proceed with development projects.

The study commenced with the intention to develop guidelines for SIA. At the same time, an international process to develop SIA guidelines was launched by IAIA. The IAIA's identification of the need to develop SIA guidelines was thus confirmed with this study in the South African context. The research findings indicated that the SIA community should create guidelines for SIA in a participatory manner (see Chapter 6, Section 6.2.5.1). The researcher did not foresee that the international SIA guidelines would precede the outcomes of this study. In addition, the researcher was involved in the international process of developing SIA guidelines, and during this process, she realised a duplication of SIA guidelines in a South African context would influence the original contribution of the intended study to the broader SIA study field and scholar community. To compensate for this limitation, the researcher then added the social development focus to the study as it would make the study authentic in a South African context as social development has been adopted by the government as a development approach (Patel, 2005:1). In addition, research findings would provide lessons learnt for SIA in other developing countries that prioritise social development for social and economic transformation. Therefore this study's focus and contribution intend to influence the practice of SIA to move towards social development outcomes. Although the initial intention was to create guidelines on how to include social development outcomes in SIA, the research confirmed the need for SIA guidelines in South Africa and expand to cumulate into a strategy on how to ensure that an SIA process result in social development outcomes, as this is more relevant in the South African context. Developing a strategy to include social development outcomes in

the SIA process also contributes to the scholarly community in an international context because the Millennium Development Goals and post-2015 sustainable development goals commits all countries that are signatories of the Millennium Declaration to Social Development (UN, 2014a). Although it could be seen as a limitation to the study that it had to change focus while in process, the researcher is confident that it enriched the study as the outcome is more relevant to the current conditions. Due to the changes in the study described in this paragraph, the informed consent letter (Appendix C) still reflects the title and objectives of the original study. Although the title and objectives changed, the information gathered during the interviews were valid and used in this study.

5.10 Summary

This study made use of pragmatism as a theoretical framework to conduct the research. It was approached from a functionalist paradigm and utilised mixed methods to conduct the research. An instrumental case study design was used as a research design for the qualitative study, and a cross-sectional design for the quantitative study. Interviews and World Cafés were used to gather the qualitative data, and an analysis of SIA reports yielded the quantitative data. The research meets the criteria of reliability, validity, and trustworthiness. The relevant ethical considerations for this study have been outlined. The empirical study is presented in Chapter 6.

Chapter 6. Presentation of empirical findings

6.1 Introduction

This chapter presents and analyses the results of the empirical study. Mixed data collection methods were used in the empirical study. The results are first presented in separate qualitative and quantitative sections, each followed by a summary of the findings. The key findings that emerged from the qualitative and quantitative studies are presented in the final section of the chapter. The integration of the literature will be done in the discussion of the findings, which follows in Chapter 7.

The qualitative section presents the findings obtained from participants on their current perceptions regarding the practice of SIA in South Africa and aims to provide insight in the current practice of SIA and whether there are any existing links to social development. This includes the perspectives of different stakeholders in the SIA process about strengths, weaknesses and shortcomings in the SIA field in general.

The following quantitative section of the study analyses the outputs of the SIA process in the form of 15 reports taken from the public domain. The quantitative study uses Guttman scaling (See Chapter 5, Section 5.6.4.2) to explore the patterns of report content. The theoretical framework of the study, embedded in social development which underpins the context of poverty, human rights, developmental social work and a social protection floor (See Chapter 2) was used as a lens for the analysis of the data.

6.2 Qualitative study: Insights in current SIA practice

This section contains the results of the qualitative study that explored how SIA is conducted in South Africa. It addresses the sub-research questions investigating (1) to what extent SIA methodology as currently practiced reflects social development; and (2) whether guidelines for SIA could assist practitioners with achieving social development outcomes. The answers to the questions allowed the researcher to analyse SIA's current interrelatedness with social development. The data covers the views of SIA practitioners and the views of their clients (see Chapter 5, section 5.6.2 for a detailed description of the methodology used to generate this data). The discussions for the first two World Cafés focused around three specific topics:

- Sharing experience around SIA.
- Potential guidelines for SIA.
- Qualifications and training in the SIA field.

The three topics that were discussed in the last World Café include:

- An exploration on what SIA is and why it is conducted.
- What should be included in an SIA.
- How to get the desired outcomes of an SIA.

The data was analysed using themes to categorise the statements of the participants into appropriate categories (Creswell, 2014:199), and these categories were influenced by the theoretical framework of social development that was used in the study. The questions used in the interview schedule (see Appendix A) acted as initial themes for the data generated through the interviews. A similar process was followed for the analysis of the data that was collected in the World Cafés. The researcher recorded the data received from the table hosts on each of the questions used in the specific World Café, which constituted three different sets of data from which recurrent themes were respectively identified. The data from the respective World Cafés was then rearranged according to the common emerging themes. The researcher then compared the data from the respective World Cafés and looked for emerging themes across all the qualitative data, including the interview data. Five recurring themes in all four qualitative data sets were identified. Through this process theoretical saturation was achieved when further interrogation of the data yielded no new insights (Bryman & Bell, 2003:428).

Table 6.1 below presents the five themes and where relevant associated sub-themes that emerged from the data obtained from all the participants in the qualitative study.

Table 6.1 Themes and sub-themes that emerged from the qualitative study

Theme	Sub-theme
1. Motivation for SIA from the perspective of different role players	
2. Current challenges to SIA practice from different perspectives	2.1. Ignorance about social science methodology amongst role players 2.2. SIA is a point-in-time assessment 2.3. Inappropriate use of SIA by some role players 2.4. Lack of capacity amongst authorities to evaluate SIA 2.5. Project versus strategic focus of SIA studies
3. Important aspects to consider when conducting SIA	3.1. Terms of reference need to be clear 3.2. SIA process is important 3.3. Outcomes of SIA process must consider the long term management of social impacts
4. Ensuring more effective SIA in a number of ways	4.1. Flow of information between different role players 4.2. Information requirements between different role players 4.3. Long term involvement of SIA practitioners in management and mitigation of social impacts
5. Improving the practice of SIA	5.1. Guidelines for SIA to ensure a consistent approach amongst all role players 5.2. Professional body for SIA practitioners 5.3. Capacity building amongst all role players

In this section the findings of the study in relation to each of the themes will be discussed in order to obtain insight in the practice of SIA in relation to the extent that it reflects social development, whether SIA as currently practiced is effective as a tool for social

development, and to investigate whether guidelines for SIA could assist practitioners with achieving social development outcomes. To contextualise the findings, the types of projects subjected to SIA that participants mentioned should be considered. These projects included large water infrastructure projects, dams, electricity infrastructure, nuclear reactors, wind farms, roads, airports, housing developments, golf estates, waste sites, mines, industrial development, land restitution and casinos.

6.2.1 Theme 1: Motivation for SIA from the perspective of different role players

Participants highlighted that the obvious motivation for SIA is to determine and mitigate social impacts. This was summarised by a participant as follows:

“In my opinion, the purpose of doing an SIA is to determine and then mitigate potential impacts (positive and negative) that proposed developments, or any other kind of intervention, may have on its surrounding environment. When I say surrounding environment, I wish to place emphasis on the human capital in those environments. Environmental Impact Assessment oftentimes do not distinguish between the natural and social impacts and it is therefore crucial that an independent scientist, trained in the field of social sciences, conduct an SIA.”

The data indicated that the motivation to do SIA does not only stem from a concern about communities, but it also meets business requirements such as strategic planning, corporate social investment projects and risk identification. In this regard, a participant commented:

“SIA is more than a means to obtain a positive Record of Decision; it is also a planning tool to enhance social sustainability of projects and to inform the design of CSI (Corporate Social Investment) initiatives. Very often, the effectiveness of CSI projects is diminished because they do not properly address the needs of communities. By providing in-depth baseline information on communities, SIA can help address this shortcoming.”

Participants pointed community relations and participation out as a primary motivation for SIA, which is in line with a human rights approach and social development. One of the participants stated:

“In line with modern development thoughts the participation process is critical, no project can be conducted without participation.”

The findings indicate that it is important to understand the needs and functioning of affected communities in order to make informed decisions and act in the best interest of project proponents and communities. Participants explained this as follows:

“SIA must give a feeling for how people are living in the affected area and how the project will affect them. It must identify positive, negative and knock-on effects, and make recommendations on dealing with potential negative impacts.”

“I think that, in select circumstances, a SIA can have an immense value for a client who actually takes the time to page through the report. I have seen how the recommended mitigation measures in a SIA can enhance a specific project. If the client pays note to the suggested mitigation measures and ensure that they are employed, both the client and the surrounding community can benefit from the SIA.”

“SIA can impact on policy-decisions at higher levels.”

Some participants observed that SIA is not always used as a decision-making tool but rather as an instrument to obtain project approval or the superficial buy-in of communities. Comments from participants in this regard were:

“SIA does provide more information, but the information is not used as it should be. SIA is nothing but a rubber-stamp for approval.”

“I am not convinced that SIA adds value to decision-making, but I hope so. It is the stepchild of the process. It is sometimes airy-fairy and we must take the blame for it. It is nothing but a nuisance to constructors, they do only the easy stuff.”

“SIAs are oftentimes not considered as a useful tool, but it looks good to show other people that you as the proponent cared about the people.”

Despite this sense of disillusion expressed in the comments above, participants indicated that an important motivation for SIA is to represent communities and communicate their views to the decision-makers:

“SIA works for the people. It acts as the voice of the community. The SIA practitioner is the only specialist with direct access to the community.”

“The SIA practitioner is the representative of the community.”

“A SIA practitioner is a story-collector, the person that summarise all the stories in a compelling narrative in such a way that it give voice to affected individuals and communities in a way that protects their interest.”

“The role of the SIA practitioner is to be the mouthpiece of, not just the environment, but also the people who live in it.”

In summary, participants expressed that SIA is not only a tool that protects the interest of affected communities, an important consideration in human rights and social development, but also a tool that protects the interest of the project proponent. Although it is not always used in the way it is intended to be used, which is to protect the interests of affected communities, this finding indicates that SIA seeks a win-win situation by acting as a bridge between stakeholders and is as much a business tool as it is a tool for community participation.

6.2.2 Theme 2: Current challenges to SIA practice from different perspectives

Participants mentioned a number of challenges to the practice of SIA. Sub-themes that emerged include ignorance about social science methodology, the timing of conducting SIA studies, inappropriate use of SIA, the capacity amongst authorities and the lack of strategic focus. These sub-themes are discussed in more detail in the following paragraphs.

6.2.2.1 Sub-theme 2.1: Ignorance about social science methodology amongst different role players

The findings indicate that there is a lack of understanding about how social science methodology is applied, and mentioned that EIA consultants, project proponents and communities often confuse SIA with economic impact assessment. Therefore the expectation is that the SIA will produce more tangible (quantifiable) results. One of the participants expressed this view as follows:

“What do people want from a socio-economic impact? They expect figures whereas SIA practitioners usually have a social sciences background. Social and Economics should be seen as two distinct disciplines.”

The data indicated that the ignorance about social sciences sometimes impact on the credibility of SIA practitioners, because SIA does not meet the scientific criteria set out by the natural sciences. From the comments of the participants, it seems that this ignorance is not only limited to EIA consultants, project proponents and communities, but that SIA practitioners are also responsible for the situation:

“Social scientists have not been successful in getting themselves accepted and acknowledged in the community of practitioners involved in many developments. Engineers dominate and amongst the social scientists, the economists are taken seriously. Social scientists are seen as idealistic and naïve. It is often true. Sadly.”

“The level of SIA practitioners is not what it should be. There is a lack of skills, a lack of understanding of social science theory, lack of experience, and mediocrity is accepted. Practitioners do not have the guts to stand up and identify issues. The level of EIA managers is not up to standard – they don’t practice strategic assessment and rigour and don’t have the guts to assume a position against developers. Developers do not understand the role of SIA and use it as a marketing tool. There is simply not enough guidance and expertise.”

“There is ignorance about the role of social sciences, and it is not helped by the naïve idealism of ivory tower social scientists.”

Participants emphasised that SIA is a social science tool using social science methodology; results are often intangible; and the data is qualitative in nature. They mentioned that environmental impact assessment is firmly entrenched in the natural sciences where quantitative data is used and tangible results are a given. SIA is conducted in this context and practitioners often find themselves having to educate or convince natural-science colleagues of the scientific value of their studies. Participants commented:

“Environmentalists do not understand what SIA is. It differs from an issues-report.”

“There is a perception amongst some people that SIA is inferior to an EIA (or that the EIA team can do it at the same time).”

“The industry is not sensitive enough to understand the value of SIA.”

Participants indicated that quantitative data relating to communities are not always readily available and it is expensive and time-consuming to generate this kind of data, especially on a project-level. Therefore, practitioners are forced to rely on secondary data that may be out of date or less reliable.

6.2.2.2 Sub-theme 2.2: SIA is a point-in-time assessment

Participants pointed out that as EIA is currently undertaken in South Africa, the timeframes for SIA do not allow for longitudinal or repeat studies. This is in contrast with a social development approach which would require long term involvement. A participant explained this point:

“The SIA process needs to empower people and communicate concerns. People must get adequate information, time to digest and communicate back. The specialist must have enough time to analyse and digest. The client should understand this and be prepared to pay – it all comes back to time and budget.”

The participants expressed a concern about the validity and reliability of SIA studies conducted in this manner, as it is not innate to social sciences to conduct studies in a short time and not repeat it. One of the participants illustrated the point by saying:

“Developers need to understand that relationships and a sense of trust being built take time and have budget-implications. Skilled interviewers cost money and are hard to come by.”

Other participants commented:

“Clients are sometimes unrealistic in terms of timeframes and try to find practitioners who are willing to do an SIA in three weeks or less.”

“Time is a problem, and it involves ethics – should you accept a job if the timeframes are so tight?”

All the participants in the study have identified time and budget restraints as a significant challenge to SIA. As long as these restraints remain, it does not bode well for SIA’s potential to be used as a tool for social development.

6.2.2.3 Sub-theme 2.3: Inappropriate use of SIA by some role players

Participants indicated that there is a general lack of understanding about what SIA is. This varies from hidden agendas of the proponent and lack of understanding amongst EIA practitioners to unrealistic demands from communities. Political agendas (and here participants emphasised that the reference is not only to party-politics, but to politics in communities between different stakeholders as well) can influence the outcomes of SIA, and potentially lead to human rights infringements. Participants believed this undermines the ethos of SIA and made the following comments:

“The SIA process is meaningless if a political decision is made.”

“The public needs to be educated. A concern is not necessarily an impact.”

“Covert scheming and politics are some of the biggest obstacles to SIA.”

“Sometimes the client has his own agenda and doesn’t want to listen.”

“There is a lack of appreciation of the influence of politics. Politicians and developers influence SIA. The understanding of politics and power dynamics plays a fundamental role in SIA.”

The data indicated that expectations from proponents and communities influence the way in which they perceive SIA. Participants indicated that communities often have high expectations about the outcomes of the SIA process and mentioned that if this is not managed during the process the proponent's social licence to operate can be affected in the long-term. As the participant quoted below indicates, the SIA practitioner often needs to act as mediator between the proponent and communities:

“The SIA provides an independent view of what the community says and the project promises. The community often does not know what they want. The proponent does not give them what they deserve. The SIA practitioner becomes the referee when there is conflict, and gives advice to the community. He helps the proponent to give concessions and becomes the in-between person.”

Participants suggested that proponents often expect SIA to deliver aspects that are not the responsibility of the SIA practitioner, but that of the proponent, especially given the short-term involvement of SIA practitioners. The findings show that there seem to be high potential for external parties to attempt to manipulate the SIA process to meet their agenda, which contributes to the perceived lack of credibility of SIA reports.

6.2.2.4 Sub-theme 2.4: Lack of capacity amongst authorities to evaluate SIA

Participants pointed out that SIA is evaluated and delivered to government departments that deal with the physical environment, and falls under the acts related to those functions. This means that the parties that will be responsible for the implementation of mitigation such as the Department of Health are not part of the decision-making process. A participant commented:

“The Department of Environmental Affairs should refer relevant issues to other government departments, who should make recommendations to the DEA, for example AIDS issues should be referred to the Department of Health.”

Participants indicated that other government departments should become involved in the SIA process. This is essential if the multi-party involvement innate to social development is considered. The other government departments include:

- Department of Water Affairs
- Department of Health
- Department of Human Settlements (previously housing)
- Department of Social Development
- Department of Labour
- Department of Mineral Resources
- Department of Energy
- Departments of Education (both Basic and Higher)
- Department of Agriculture, Forestry and Fisheries
- Department of Public Works
- Department of Trade and Industry
- Department of Rural Development and Land Reform.

The participants indicated that the lack of capacity amongst authorities also refers to their technical abilities and availability of time, and the participants' view on the matter is that:

“I do not think that our government structures allow themselves the time or resources to page through SIAs that are appended to EIA reports. Therefore, I do not think that an SIA has any impact on their final decision.”

“The Department of Environmental Affairs has few officials with any social background. They are intimidated and let everything pass. There is a high staff turn-over – they are overwhelmed with work.”

The data indicated that budgets do not allow for social monitoring and there is very little integration with other government structures such as local municipalities – it is usually limited to the evaluation of documents such as the IDP and limited consultation. The data further indicated that there is also a lack of capacity amongst municipal structures to interact with the SIA process. Participants expressed the following opinions:

“A lot of social impacts are linked with the fact that local government do not have the capacity to deliver services. If the IDP process was of any value, all the baseline information and development opportunities would be known up front.”

“Better monitoring of baseline conditions and retrospective studies will only take place if developers are forced to do so, as bigger budgets are required.”

Participants concur that without suitable competence in government structures enforcing mitigation and monitoring measures is a challenge. Lack of government capacity resulting from inequality of opportunity impacts on the practice of SIA.

6.2.2.5 Sub-theme 2.5: Project versus strategic focus of SIA studies

The findings show that SIA is driven by projects and not by strategic programmes, and therefore the footprint of each study needs to take account of all the potential impacts. Participants view this as a challenge to the effectiveness of SIA, as social impacts take place on a broader level. The findings indicate that social impacts are frequently cumulative and little is done to address cumulative impacts. Participants expressed the following concerns:

“EIA processes are very project specific and very seldom consider cumulative impacts on an area or community.”

“Because of its project-specific focus, SIA is not well equipped to deal with CUMULATIVE impacts (including impacts arising from different projects being implemented by the same proponent).”

Strategic planning is required to mitigate most social impacts, and because mitigation is prescribed on a project level, it often fails to address impacts in their entirety. This can contribute to poverty, inequality and a decrease in wellbeing of project affected people. Participants expressed the following views on considering SIA in a strategic manner:

“It is good for the industry if we are looking at ways to do SIA more strategic rather than just describing social phenomena.”

“A good SIA must be strategic, it must say something and have clear findings. It cannot be done in isolation, and is done within a certain context.”

“SIA should be more strategic and linked to the IDP-process.”

“The social is going to become increasingly important. Practitioners must be willing and capable of identifying, facilitating and analysing diverse types of forms of information to pursuit the bigger picture.”

To summarise, considering the challenges to SIA practice identified by participants, the need for a community of professionals where information can be shared and training opportunities can be generated is clear. Participants mentioned that many of the challenges could be addressed by clearer guidelines for SIA and changing the way in which SIA is conducted (see Section 6.2.5 for a related discussion on guidelines).

6.2.3 Theme 3: Important aspects to consider when conducting SIA

Participants identified sub-themes that should be considered when SIA is conducted. These sub-themes are related to the importance of the terms of reference, aspects that participants view as valuable to include in the SIA process and attributes that they deemed important as outcomes of the process, and will be discussed next.

6.2.3.1 Sub-theme 3.1: Terms of Reference need to be clear

Participants emphasised that clearly defined terms of reference should be the starting point of SIA, especially in the absence of guidelines. The terms of reference must describe the scope of the study and clarify the role of the SIA practitioner. A participant mentioned that:

“The SIA should have clear boundaries in terms of its contents (as a final report) and measure of integration into OTHER specialist reports.”

The findings indicated the importance of the SIA practitioner considering relevant legislation and policies of the proponent and including reference to this in the report. In this way SIA could potentially contribute to strategic social development initiatives. As one participant stated:

“I am becoming increasingly aware of SIA literature, and the legislation is critically important.”

The data showed that the legislation requirements are related to the context of the study, therefore relevant legislation such as the National Water Act 36 of 1998 or the Mineral and Petroleum Resources Development Act 28 of 2002 should be considered in some studies, but only where relevant. Participants identified terms of reference as an important tool to assist with integration and the flow of information between different role players in the SIA process.

6.2.3.2 Sub-theme 3.2: SIA process is important

The data indicated the importance of following a process and including aspects like screening, scoping, public consultation, a proper baseline study, impact assessment, mitigation, monitoring and evaluation. SIA studies should investigate impacts in all the phases of the project cycle and present clear findings. Participants emphasised the advantages of involving SIA practitioners as early as possible in the project life cycle and including them in strategic planning processes. They were of the opinion that continuous involvement of practitioners would ensure social aspects are taken care of in all the cycles of the project, and minimise and manage social risks. In some instances social risks can cumulate into human rights infringements. Participants made the following comments about the involvement of SIA in different phases of the project:

“SIA needs to be earlier in the planning and decision-making process. It comes too late in the process – it is not a reactive tool – it should rather inform.”

“SIA needs to come in earlier in the process to add to planning.”

“In general SIAs do not adequately address the operation and decommissioning phases – should a Social and Labour Plan not be included across all spheres of industry in the EMP? The social issues in an EMP are at this stage normally very general.”

Participants stated that it is important to consider the aim of the SIA and to reflect on aspects such as the enhancement of positive outcomes and increasing the company’s

social licence to operate (in other words the acceptability of their activities to the affected communities). A participant summarised this by stating:

“The SIA is not about giving in to people’s demands or the platform to negotiate compensations. It should rather focus on establishing a win-win situation for both the proponent and the community – it’s about giving people some social insurance, whilst at the same time trying not to disadvantage affected communities. It’s not about externalising what you’ve done for a community, it’s not a public relations exercise. It’s not a sales or marketing tool.”

Another participant concurred:

“Mitigation is not just about avoiding or ameliorating negative impacts, but also enhancing positive ones.”

Findings indicated that reliable data, robust methodologies and scientifically structured reports with substantive content would contribute to the credibility of SIA. A participant assented with the following statement:

“There should be a clear understanding on issues relating to data accessibility. The level of information should be stipulated correctly to ensure the quality and scope of the SIA is agreed EARLY in the process.”

Participants made it clear that the description of affected communities must be broader than demographic data and include intangible aspects and existing challenges. The interaction with communities must be done in a culturally sensitive manner, be representative and participatory as is innate to a human rights based approach. Local knowledge pertaining to aspects affected by the potential project must be included in all reports. Participants expressed the following views in this regard:

“Community consultation should be done based on stakeholders’ literacy levels to ensure complete understanding of the project, but this takes time and creates the impression that different segments of the community are treated differently. Still, find a way to convey the same message, but adapt the way in which it’s conveyed.”

“The end result must give an idea of what happens in the community. A profile of the community, background – where are they coming from, how did they develop, where are they going to.”

“SIA must give a feel for how people are living in the affected area, how the project will affect them – positive and negative, knock-on effects, and make recommendations on dealing with negative impacts.”

The findings show that feedback to communities about the findings and recommendations of SIA are deemed important, but does not always take place. This aspect may potentially impact on the rights of communities.

6.2.3.3 Sub-theme 3.3: Outcomes of SIA process must consider the long term management of social impacts

Participants deemed it important that mitigation, monitoring and evaluation must be discussed with the relevant stakeholders to ensure it is implemented. The data indicated that this requires long-term commitment and the involvement of multiple role-players, which is in line with a social development approach. Findings show that SIA should include a monitoring plan that contains recommendations and practical tools that will assist with monitoring and evaluation. Comments from participants indicated that the mitigation, monitoring and evaluation of social impacts is a weakness in the process:

“Most of our predictions regarding social impacts, and most of our recommendations regarding mitigation, are based on (at best) anecdotal evidence about the actual impacts of earlier, similar projects, or (at worst) simply parroting what we or others have said in earlier SIA reports. Until there is consistent monitoring to determine the TRUE social impacts of projects, and the effectiveness of mitigation measures to address these impacts, we are bluffing ourselves if we think the purpose of an SIA is anything other than to get a positive Record of Decision.”

“There’s a definite lack of enforcement on social mitigation/enhancement measures. It’s seen as a simple matter between the proponent and the community, but there is no follow up after the implementation of change.”

“How do we get good value from information obtained (good outcome)? – Through impact assessment and formulating a management plan. Management Plan must be clear, concise, practical, implementable, relevant to the client and situation (one has to know beforehand the client’s reference, frameworks, business constraints, how it operates). This can be difficult for the impact assessor, who must be independent and objective.”

The findings confirm that participants view sustainable and social development as an important outcome of the SIA process. The following comments from participants illustrate the point:

“How else? The problem with sustainable development is that if you do not understand and address social problems, you have no chance to solve environmental problems.”

“SIA should absolutely be used as a tool for sustainable development. SIA in itself is an intervention and a collaborative process. The social development process starts when issues are addressed and develop further. Management measures can assist if it is considered carefully and developed.”

“Social development should link to existing processes. It should start in the concept phase of SIA and become part of the process. Workshops could be conducted that give detailed information about implementation – it is important that the community should take ownership of the process.”

“The SIA process is hinged on sustainable development. It can be the base for long-term activities. It can be a way to ensure resources are used in a sustainable way. Nobody should be left worse off as a result of development. There is enormous potential.”

“Impacts should be assessed considering sustainability. This goes beyond considering issues raised by Interested and Affected Parties. Many vulnerable affected parties (and not so vulnerable) are concerned about survival today and are less concerned about long term impacts, future generations.”

These quotes illustrate that SIA practitioners are sensitive to the potential SIA has as a tool for social development. Another participant highlighted the challenges of integrating social development with SIA:

“SIA could be used as a tool for social development, but implementation would be difficult – whose responsibility is it? Is it in the terms of reference? Can the proponent actually do these things – does he have the authority?”

Participants were of the view that Social and Labour Plans (SLP), as currently used in the mining industry, are a potential way to ensure social development outcomes, as expressed by this participant:

“The SLP focuses on empowerment and skilling and these principles should be applied to SIA.”

In summary, the important aspects identified by the participants when conducting SIA include social aspects, from the conception of the project to the conclusion of the project. It underlines the importance of involving communities throughout the process. These aspects highlight the significance of a continuous strategic approach as would be required by social development.

6.2.4 Theme 4: Ensuring more effective SIA in a number of ways

Participants suggested that SIA studies could be made more effective in several ways, including effective dissemination of information, using current information, and long-term involvement of practitioners, as will be discussed next as sub-themes:

6.2.4.1 Sub-theme 4.1: Flow of information between different role players

Participants indicated that a significant way to improve social impact studies would be to ensure that there is a proper flow of information between the SIA consultant and the project proponent. The findings show that SIA consultants often receive secondary information via EIA consultants and there is a risk that some information is not conveyed correctly. Participants commented:

“Information between the SIA consultant and the proponent gets lost via the Environmental Assessment Practitioner. Therefore the TOR [Terms of Reference] should call for more integration meetings so that there is more direct contact between proponents and ‘downstream’ (sub) consultants.”

“There should be more transparency in terms of information flow between project proponents and consultants, but in such a fashion that it does not compromise the integrity or independency of the consultant. A balance in the study requires credible and accurate information.”

Participants were of the opinion that the proper integration of the findings of different specialist studies is crucial to SIA, especially because of the social component of many environmental impacts. They indicated that workshops that integrate the findings of different specialist studies used in the EIA process would go a long way to address this need. Participants had the following views about this aspect:

“There should be structured integration meetings with the larger project team (key specialists - together with the proponent).”

“The SIA practitioner should be afforded an opportunity to engage the various project specialists on SIA imperatives and concepts from the outset of the process to assist with aligning a social-thinking approach to project design and execution.”

The data shows that SIA consultants should become more involved in the writing of the environmental management plan (EMP) and ensure that their recommendations align with those of other specialists. A participant expressed this as follows:

“The SIA consultant needs to appropriately inform the EMP. The Terms of Reference can be used here to ensure that the SIA practitioner has “sign-off” of the EMP. This will assist in ensuring the effective and tangible description and qualification of roles and responsibilities within the EMP. The description of appropriate mitigation will have more detail on the relevant action plan to implement the proposed mitigation. (e.g.: “Use local labour”.... This is meaningless unless supported by an appropriate plan to effect this solution).”

Participants pointed out that social monitoring has some issues associated with it and should be thought through and discussed within the project team. A participant commented:

“Monitoring and mitigation of social impacts during construction (and operation) should be considered. Should we not go beyond the Record of Authorisation? What about mitigation of unintended social impacts during construction? Monitoring of impacts will contribute to a strong evidence-based approach in SIA.”

The data indicated that a positive flow of information in the different phases of the SIA process is required to ensure sustainable outcomes.

6.2.4.2 Sub-theme 4.2: Information requirements between different role players

Participants emphasised the importance of using relevant and up-to-date documents and triangulating the information through interviews with key stakeholders. Participants highlighted challenges associated with obtaining current information as follows:

“What is a sufficient level of baseline information and sources of baseline information (primary and/or secondary)? The cost of detailed research can be high and may not be feasible.”

The data indicates that the public consultation process prescribed by the EIA process is a source of useful information, and SIA consultants should participate in this process. Participants stated:

“It is the ideal that the SIA practitioner attends public meetings during public participation in the EIA process. One should also speak to participants afterwards, especially those who actively participated in the meeting.”

“There should be a closer relationship between public participation and SIA. Public participation takes what people say at face value. The social researcher is the most import tool – my own ability to interpret what is said in the field.”

However, SIA consultants must approach their work in a flexible manner to allow for the variety of communities and cultures in South Africa. This is also required to ensure no

human rights are affected. The need for flexibility is illustrated in the following list of considerations compiled by participants in the Eskom/IAIAsa World Café:

“Remember the following when obtaining information from communities:

- *Pay attention to language needs;*
- *Do research on the community beforehand: language, dress, ways of doing;*
- *Understand power relationships – people will want to position themselves;*
- *Keep in mind that you are seen as an outsider;*
- *Keep in mind that your agenda is unknown to the community; and*
- *Make use of channels such as traditional authorities.”*

Another participant questioned the current reporting system and inclusion of vulnerable parties in the SIA process with the following statement:

“There is a challenge in producing reports which meet requirements and are also understood by semi-literate/illiterate. Is simple translation sufficient? Do we workshop SIA results and assessments to a satisfactory level with Interested and Affected Parties? For that matter, are workshops the right approach?”

The data confirmed the challenges associated with obtaining relevant information from affected parties in a culturally diverse and socially unequal society. Participants in the study viewed good baseline data that is up to date and reliable as an important component of the SIA process.

6.2.4.3 Sub-theme 4.3: Long-term involvement of practitioners in management and monitoring of social impacts

Participants stressed that social impacts must be monitored and managed for the lifetime of a project, but SIA practitioners are only involved at a point-in-time at the beginning of a project. Participants expressed their opinions about the short-term involvement of SIA practitioners as follow:

“SIA can only add value if mechanisms are put in place to oversee the mitigation measures and the Monitoring and Evaluation Plan. In most cases it is only a compulsory exercise to comply with legislation. “

“The social specialist should have the opportunity to review the EMP to ensure that social mitigation measures are addressed effectively, not only during construction but also most notably during operation as there are oftentimes on-going social issues during operation.”

The findings indicate that unless practitioners get involved in the long-term the management and mitigation of social impacts will remain a weakness, because if there is no champion for implementation it is unlikely to happen. This also mean that there will be no social development outcomes. A participant concurred:

“The SIA practitioner should be contacted as a specialist in the planning phase. You need at least a year for research, fieldwork and the report. The client that will implement the project should have a social specialist to implement the project. The same specialist that conducted the SIA should evaluate after a year whether the decisions taken are implemented.”

The data show that SIA practitioners are of the opinion that in order for SIA to reach its full potential to contribute to the wellbeing of communities, practitioners need to be involved in all phases of the project cycle and stay involved in the long term. Long term involvement of social scientists are essential to ensure the social development agenda stays at the forefront of development.

6.2.5 Theme 5: Improving the practice of SIA

Participants identified three aspects that could improve the practice of SIA in their view. These aspects are discussed as sub-themes in the paragraphs below and include guidelines for SIA, a professional body and capacity building.

6.2.5.1 Sub-theme 5.1: Guidelines for SIA to ensure a consistent approach amongst all role players

The data indicated that there is a clear need for a consistent approach to SIA in South Africa and that guidelines would address this need. Participants concurred with the following statements:

“Guidelines for SIA are required to enable consistency and to assess the quality of work.”

“Guidelines drawing on collective knowledge are necessary to regulate practice and set standards. It is useful to share knowledge.”

Participants indicated that the need is not about how to conduct SIA, but rather about what should be included in reports. The findings showed the need to establish local best practice. Participants were of the opinion that review guidelines are also required, as the quality of SIA reports are highly variable. Participants concurred with these statements:

“SIA can be improved by a clarification of glocal (global and local) home-grown methodologies and a set of guidelines, principles and standards.”

“Report quality is highly varied – from not considering people to the ‘whole army’.”

“I have mixed opinions on report quality, it varies, from carelessness to high quality information.”

Participants stated that these guidelines should not be too prescriptive, but a standardised approach that creates a uniform body of knowledge that can be used as a basis to measure against will advance the practice of SIA. Participants were of the opinion that this will ensure a consistent approach to SIA. Although there are existing guidelines for SIA in South Africa, they are not universally applied and they are euro-centric. The importance of a standardised approach to SIA was summarised by participants as follows:

“There is definitely a need for guidance on SIA as it will create standardised assessment and a uniform body of knowledge. It will be something to measure against.”

“Formalising of the industry is required. There is a lack of understanding about what it should be. Guidelines are essential, the SIA process must be standardised.”

Participants agreed that the creation of guidelines should be a participatory process that involves all the key stakeholders, such as impacted communities, SIA practitioners, academics, environmental scientists/consultants, NGO’s, government and industry. The data indicated that government departments other than DEA and DMR should be involved in the review of SIA and implementation of mitigation measures. Participants commented in this regard:

“Local authorities should see opportunities and do something about it.”

“In integrated development projects local government must be included to ensure seamless integration.”

The government department involved depends on the sector you are working in. DEAT is not necessarily the appropriate authority, they are too bio-physically focussed.”

Participants deemed guidelines a better solution than regulations, as they were of the opinion that it allows for more creativity in the approach to SIA. The data indicated that guidelines would promote independence of SIA practitioners and enhance the practice of SIA.

6.2.5.2 Sub-theme 5.2: Professional body for SIA practitioners

The findings show that ways of ensuring more effective SIA are related to the lack of a professional body. Participants indicated that aspects for which a professional body usually take responsibility are lacking in SIA practice in South Africa. These aspects include a code of practice, registration of practitioners, SIA guidelines, databases of relevant

information, awareness creation and local best practice standards. Participants underpinned the need for a professional body with the following statements:

“A formal institution or board should be established to regulate all SIA practitioners. More formal and structured courses or diplomas should be developed and presented.”

“At the moment everybody is just doing their own thing without any clear cut guidelines to follow. This is not due to their own inability, but due to the fact that there is no regulatory body or institution to guide them.”

The findings concur that a professional body will benefit the SIA field. A professional body will ensure that minimum guidelines for best practice are prescribed. It is important to distinguish between a professional association that could advance the practice of SIA on a voluntary basis and a statutory body that could regulate SIA practice from a legal perspective. The data indicates that although practitioners identified a need for a professional body, practicalities around the nature of such a body would need to be considered in more detail.

6.2.5.3 Sub-theme 5.3: Capacity building amongst all role players

Participants pointed out that there are few training opportunities for SIA consultants in South Africa. Formal training for SIA consultants by recognised experts in the field or at credible academic institutions will contribute to developing the capacity of consultants. Participants indicated that training opportunities must be extended to authorities and EIA consultants.

“SIA can be improved if more people get a better understanding of best practice options and methodologies. General awareness must also be raised amongst the project proponent and project managers.”

“Institutionalised training by experienced practitioners and registration at a national body will improve the way of doing SIA in South Africa.”

Local research in the SIA field will contribute to the understanding of the challenges that SIA practitioners experience, and therefore assist with developing the skills required to ensure effective SIA.

In summary, this section identified aspects that can increase the effectiveness of SIA in general, as well as aspects to consider when investigating SIA practice with the view to use it as a tool for social development.

6.2.6 Summary of qualitative findings

This section presents a brief summary of the findings of the qualitative study, based on the information gathered from the participants.

The findings indicate that SIA should be used in a strategic manner to optimise its effectiveness, as using it only on a project level limits its usefulness. Participants concur that SIA must feed into planning and local economic development processes, which is in line with social development thinking. In this way SIA can be used as a planning tool to ensure sustainable outcomes and to link projects with existing initiatives, ensuring long term social development outcomes. The findings confirm that SIA plays a role in the decision-making processes of authorities, communities and industry, but also show that it can potentially add more value. The data shows that local government is seen as a key role player in the SIA process, but that there is a lack of capacity in municipal structures to engage with SIA.

The findings indicate that the current authorisation system located in the Department of Environmental Affairs are not adequate to address social impacts, as implementation of mitigation measures for social impacts requires the input from multiple stakeholders, including the active involvement of communities. The data show that mitigation, monitoring and evaluation of social impacts are critically important, but are a significant weakness of SIA, as there is a lack of enforcement of social mitigation.

The findings demonstrate that community relations and participation are key motivations to conduct SIA, and that SIA plays an important role in enabling communities to contribute to planning processes. The right to self determination is a basic human right (Constitution of the Republic of South Africa, 1996), therefore SIA is instrumental in the

protection of some rights. The data shows that SIA can be an entry point into the community. The findings indicate that SIA should involve communities from grassroots to leadership level, and that SIA is an advocate for the voiceless. Participants concur that SIA could play an important role as bridging capital between proponents, government and communities. These findings point towards a potential for SIA to be useful as a tool for social development. The data shows that SIA is a tool that benefits both business and society.

The findings point out that SIA assists developers to comply with legal requirements, but ends up being little more than a rubber-stamping process. Participants concur that industry undermines SIA in this way, and that proponents do not take ownership of social management plans. The findings indicate that the business objectives of meeting the minimum requirements and the SIA objectives of meeting international best practice and protecting the interest of the community are often in direct competition with each other.

The data indicate that the limited time and budget for SIA studies are concerns. In order to add more value and contribute to the development agendas of the country it is imperative that SIA practitioners are involved in projects in the long-term and not only as part of a once-off SIA process.

The findings demonstrate that communication amongst different role-players is problematic and results in challenges such as role confusion, timing issues, misuse of SIA, misinterpretation of scope and a lack of integration between different disciplines that can be avoided.

The data show that a regulatory body representing various disciplines and government departments should be considered to regulate SIA. Participants concur that SIA practitioners need a professional body that can look after their interests, advance the practice of SIA, and provide training and professional development opportunities for practitioners.

The findings revealed insight into the current SIA practice and identified challenges that participants experience in the field. The findings indicate that there are connections between the current practice of SIA and social development. These connections include

the promotion of people's wellbeing, the requirement of input from different role players to achieve sustainable social development outcomes, the link between social impact assessment and economic development, the multifaceted processes involved in SIA, and its dynamic and progressive nature (Midgley, 2014:13-17). The findings provide some insight in the sub-research questions regarding the extent to which the SIA methodology currently practiced in South Africa reflects social development, and whether guidelines for SIA practitioners could assist with achieving social development outcomes.

The quantitative study aimed to investigate whether the interrelationship between SIA and social development that transpired in the qualitative study is reflected in SIA reports. The next section of the report focuses on the results of the quantitative study.

6.3 Quantitative study: Inclusion of social development aspects in SIA reports

This section contains the results of the quantitative research, which analyses whether SIA reports include aspects of social development. SIA reports are the outcome of SIA studies, and the researcher identified them as an appropriate dataset (see Chapter 5, Section 5.6.1.2) for this analysis. Three main themes concerning the practice of SIA were identified, and questions associated with social development outcomes were formulated under each theme, using information obtained from the literature study (see Chapter 5, Section 5.6.2.2 for a detailed discussion). The data was obtained by using a checklist to establish whether the questions were addressed in fifteen SIA reports.

First, the sample for the study will be described and this is followed with a presentation of the findings according to the three themes and the underlying questions. The answers to the questions under each theme are then analysed by means of a Guttman scale. The section concludes with a summary of the quantitative findings.

6.3.1 Description of the quantitative sample

SIA reports are in the public domain, and fifteen SIA reports that were done in South Africa between 2008 and 2014 were reviewed. The date filter used for selecting the reports aimed at ensuring that the data reflects the current practice. The reports were identified via an internet search and by directly approaching practitioners and requesting reports. All the reports that could be acquired in this manner were used in the study

indicating that the sample represents the population of available reports. The shortest report was 63 pages and the longest 225 pages, with an average of approximately 110 pages per report. The length of the report often reflected the complexity of the project that was assessed. Eight different practitioners produced the reports that were selected for analysis. Some reports had more than one author.

In the following section the qualifications of the authors will be presented. This is followed by a presentation on the sector where the study was conducted. The section concludes with a discussion on the geography of the studies.

6.3.1.1 Qualifications of authors

The authors of the studies all have post-graduate qualifications. Six (75%) of these practitioners have a masters degree, one (12.5%) a PhD and one (12.5%) an honours degree. Four (50%) of the masters degrees were obtained in the social science field, and two (25%) in the environmental field. The PhD and honours degree are both social science degrees. Figure 6.1 indicates the authors' qualifications of the reviewed SIA studies.

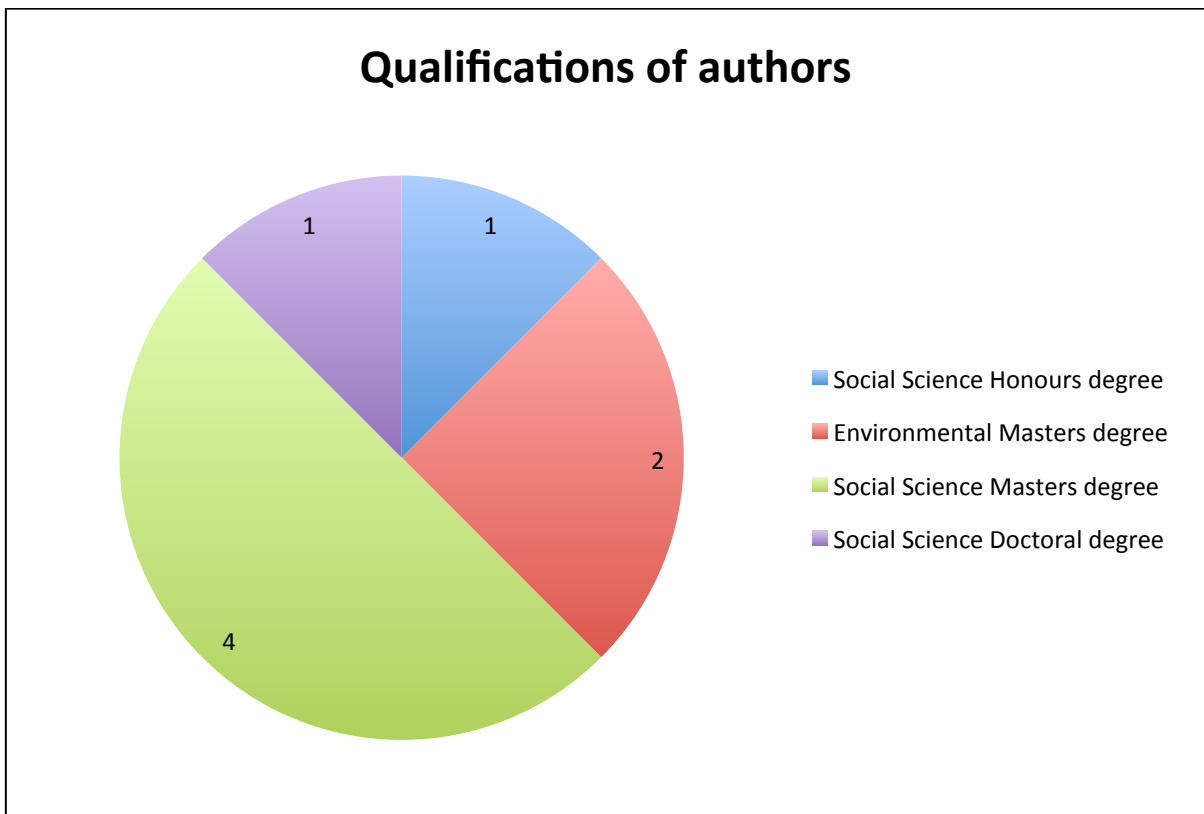


Figure 6.1: Authors' qualifications of the reviewed SIA studies

The majority of practitioners have social science qualifications, which gives them a basis to better understand social development aspects. SIA practitioners are highly qualified professional people in various disciplines and this should give credibility to the occupation, but as the findings of the qualitative study indicate the lack of a professional registration body, guidelines and specific training undermines the credibility of the SIA, despite practitioners' qualifications in their respective disciplines.

6.3.1.2 Sector in which the study was conducted

SIA is conducted in different sectors. The mining sector includes all mining related activities, including prospecting. Studies in the energy field include renewable energy, nuclear energy and coal. Infrastructure development refers to infrastructure such as power lines, dams, pipelines and factories. Commercial development consists of housing developments, shopping malls, golf courses and other commercial activities. Each of these sectors has different activities associated with the sector, and therefore different social impacts occur. Figure 6.2 represent the sectors in which the reviewed SIA reports were conducted:

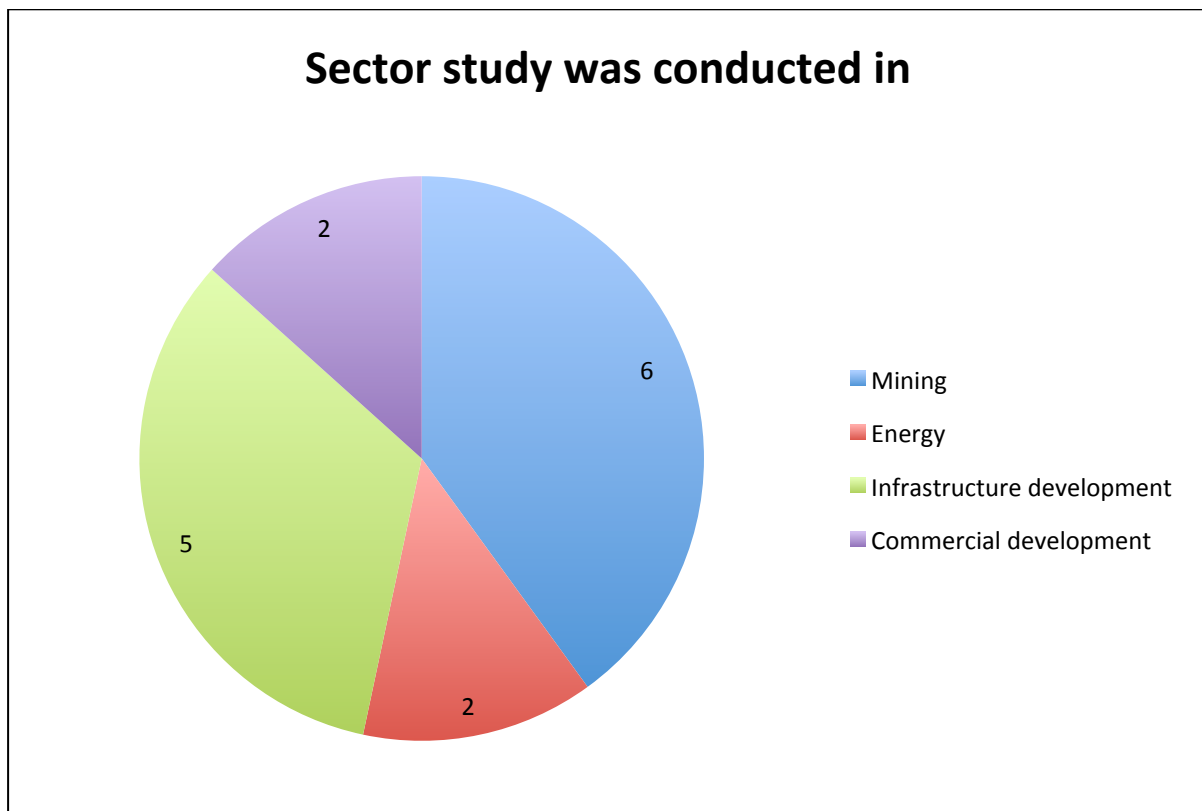


Figure 6.2: Sectors in which the reviewed SIA studies were located

Six (40%) of the reports were done in the mining industry, two (13%) in the energy sector, five (33%) was concerned with infrastructure development and two (13%) were done on commercial developments. This represents a fair sample of the industries that uses SIA.

6.3.1.3 Geography of studies

There are nine provinces in South Africa. The studies reviewed for the thesis covered four of the nine provinces. Six (40%) of the studies were conducted in the Western Cape, four (27%) in Mpumalanga, three (20%) in Limpopo, and two (13%) in KwaZulu-Natal. Figure 6.3 presents the geography of the studies that was used in the quantitative research.

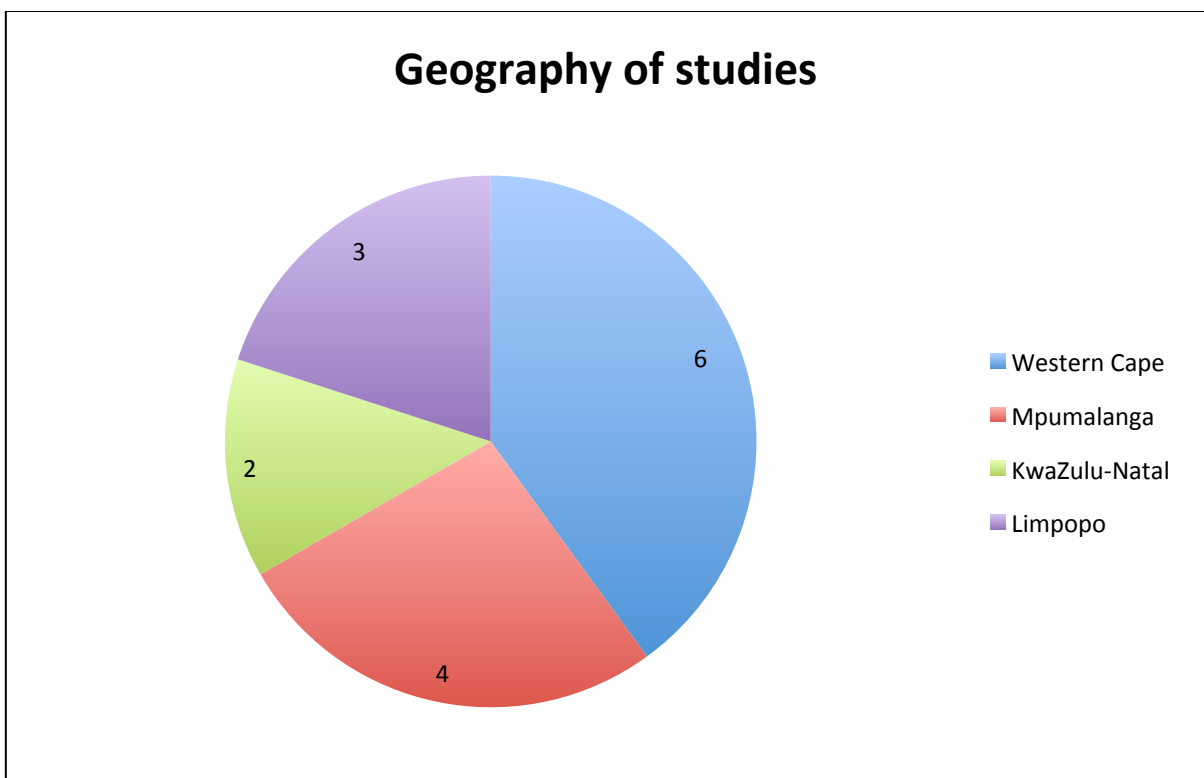


Figure 6.3: Geographic location of the reviewed SIA studies

Although all provinces in South Africa have not been covered by the studies, the four provinces include the Western Cape, which is one of the economic hubs of the country, and Limpopo, which is one of the poorest provinces. In addition, Mpumalanga is experiencing high levels of development associated with mining and energy, and KwaZulu-Natal has vast areas under traditional rule. The sample can therefore be seen as representative in terms of the socio-economic challenges associated with areas of high levels of development and poverty.

6.3.2 Presentation of findings

Three main themes for analysing the link between SIA and social development were identified through the literature review. The three themes are related to the current practice of SIA. The first theme is concerned with the legal and institutional mandate for SIA, the second theme investigates aspects in the SIA study that could promote social development and the last theme examines whether the recommendations in the report go beyond the minimum requirements for mitigation and monitoring to outcomes that will result in social development. Under each theme, a number of questions related to social development were formulated to establish to what extent social development outcomes are considered in the reports. The themes and questions are discussed in more detail in the paragraphs below.

Theme 1: Legal and institutional mandate for social development in SIA

In the literature chapters (See Chapters 2, 3 and 4) it was established that the environmental legislation in South Africa provides SIA practitioners with a mandate for social development outcomes. A number of national and international governance tools and standards support this legal mandate. Seven questions related to the legal and institutional mandate of SIA and the theoretical framework including social development practice, human rights and equality were formulated to establish whether practitioners acknowledge and include this legal and institutional mandate in their reports. The questions under Theme 1 were the following:

- Is there background information on the relevant legislation in the report?
- Is there reference to international standards?
- Is there reference to local guidelines?
- Are human rights considered?
- Are there any social, environmental or restorative justice issues?
- Does the report make use of an explicit methodology?
- Are there any equity issues? (Who pays the price versus who gets the benefits?)

Theme 2: SIA as a tool for social development

The study used social development as part of the theoretical framework. There are key aspects associated with social development, as discussed in Chapter 2. Theme 2 investigated whether these aspects are currently present in SIA practice. Fifteen questions related to key aspects associated with social development were formulated to establish whether SIA practitioners consider these aspects in their reports. The questions under Theme 2 were as follow:

- Was a participatory process followed?
- Was the process inclusive?
- Is the wellbeing of the entire population considered and promoted?
- Do mitigation measures discourage dependency on proponent?
- Do mitigation measures promote active involvement of people?
- Is a multi-sector approach to mitigation promoted?
- Are any partnerships between civil society, government and private sector suggested?
- Do mitigation measures require cooperation between several role-players?
- Will mitigation increase capabilities and productivity of people?
- Are impacts on family stability mitigated?
- Is mitigation on social service organisations included?
- Will the outcomes be project-neutral?
- Will mitigation contribute to poverty alleviation?
- Does mitigation address inequality issues?
- Will there be in-migration?

Theme 3: Going beyond minimum requirements for mitigation and monitoring towards social development outcomes

The last theme investigated whether the reports made recommendations for the mitigation and monitoring of social impacts that go beyond the minimum requirements for SIA, and whether these recommendations could possibly lead to social development outcomes. The twelve questions formulated under this theme were concerned with social development outcomes in the longer term, but also touched on SIA international best practice that originated from a human rights approach, since human rights formed part of the theoretical framework and is intrinsic in social development. The questions formulated under Theme 3 were:

- Is the mitigation specific to the South African context?
- Is monitoring of mitigation measures suggested?
- Who is proposed as the funder of on-going monitoring?
- Are impact benefit agreements (IBA) proposed?
- Is there any reference to Free, Prior, Informed Consent (FPIC)?
- Are there any proposals for economic development processes?
- Will the outcomes enhance the social environment?
- Are the affected communities involved in the execution of the mitigation measures?
- Do mitigation measures contribute to the social protection floor via suggestions regarding creation of employment?
- Do mitigation measures contribute to the social protection floor via suggestions regarding contributing to education/skills development?
- Do mitigation measures contribute to the social protection floor via potential establishment of infrastructure?
- Are regional development issues considered in the study?

The findings under each of the themes will first be presented in Sections 6.3.2.1 to 6.3.2.3. The Guttman scale analysis of the findings will follow and is discussed in Section 6.3.3 below.

6.3.2.1 Theme 1: Legal and institutional mandate for social development in SIA

The seven questions identified for data analysis of this theme are presented in Section 6.3.2 above and relate to relevant legislation, international standards, local guidelines, human rights, social, environmental or restorative justice, explicit methodology and equity issues. The following Figure 6.4 presents the findings of the first theme dealing with the legal and institutional mandate for SIA.

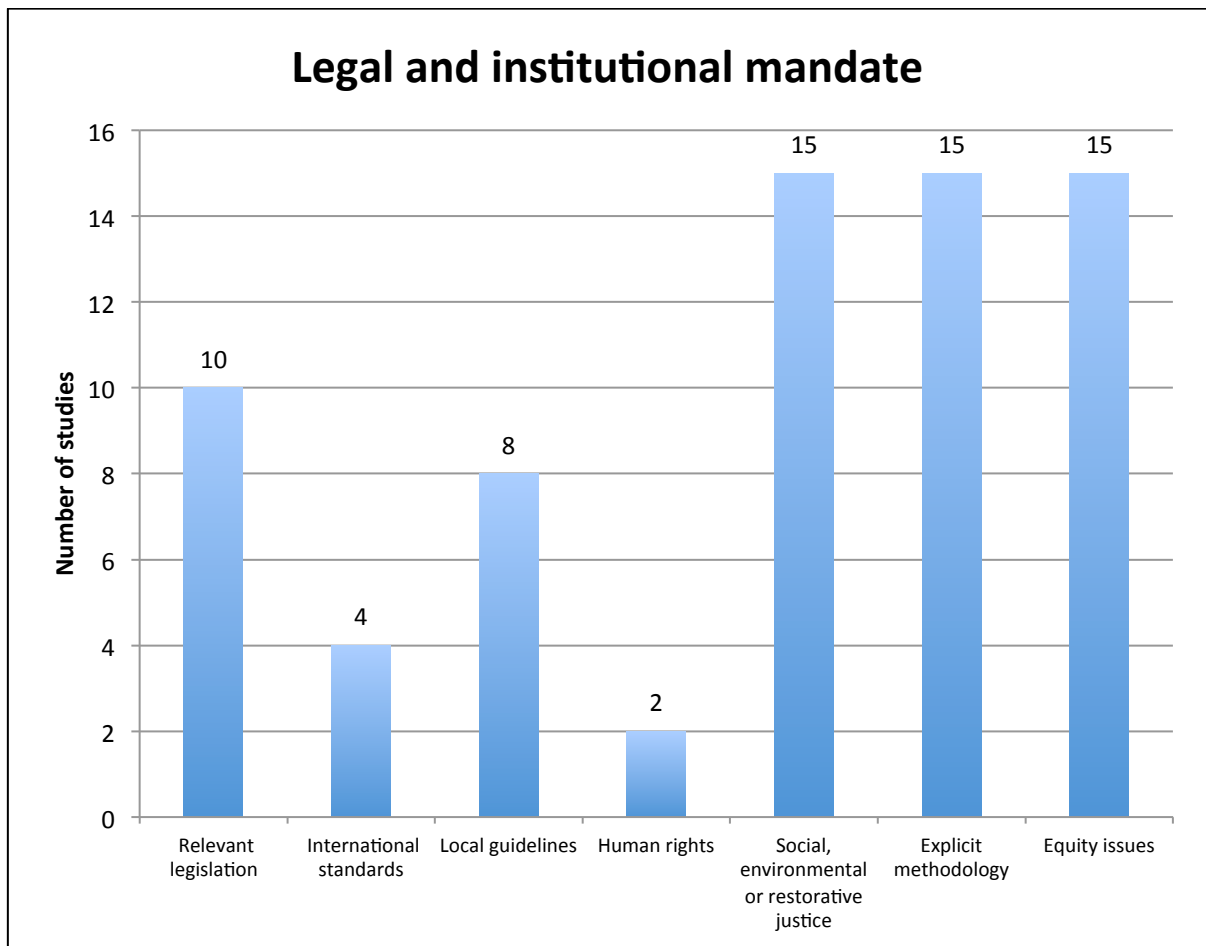


Figure 6.4: Analysis of legal and institutional mandate coverage in SIA reports

Only two (13%) reports considered human rights. This might be because the protection of human rights is a core value of SIA (Vanclay, 2003:6) and practitioners view it as an inherent part of the process. Despite the lack of mention of human rights, social,

environmental and restorative justice were considered in all the reports, which indicates that practitioners work from a specific value-system, even if it is not made explicit.

The four (27%) studies that refer to international standards were all done in the mining industry, an industry that often depends on foreign funders. Funding from an organisation such as the IFC are subjected to compliance with the performance standards for environmental and social sustainability (IFC, 2012:2) and therefore it is seen as best practice to address these requirements in any project that may rely on funding from external parties or stakeholders in future.

As established in Chapter 3, there is no specific legislation that requires SIA to be conducted, except in the mining industry. All six (40%) studies conducted in the mining industry referred to relevant legislation. The remaining four (27%) studies that referred to legislation were done in the infrastructure sector (2, 13%), energy sector (1, 7%) and commercial sector (1, 7%). Where more than one report from a specific practitioner was used the data indicated that two practitioners consistently referred to legislation and two others referred to legislation in the case of mining, but not in the case of other projects. This can potentially be attributed to the clearer guidance about SIA in the mining industry.

Just more than half of the studies (8, 53%) referred to local guidelines. Half of the mining, infrastructure and commercial studies and all the energy studies referred to local guidelines. The local guidelines that are currently available in South Africa are *Socio-economic Impact Assessment: Integrated Environmental Management Series 22* (DEAT, 2006) and *Guideline for involving Social Assessment Specialists in EIA Processes* (Provincial Government Western Cape: Department of Environmental Affairs and Development Planning, 2007).

All of the studies make use of an explicit methodology. This confirms that SIA practitioners use scientific methods and produce replicable reports. Equity issues were considered in terms of who will carry the social cost of the development versus who will receive the benefits. Equity issues are addressed in all the reports, confirming SIA's role as a voice for the voiceless (Barbour, 2007:18).

6.3.2.2 Theme 2: SIA as tool for social development

This theme deals with aspects within SIA that can contribute to social development. The fifteen questions formulated to analyse this aspect are presented in Section 6.3.2 above, and are concerned with participation, inclusiveness, wellbeing of the population, dependence on the proponent, active involvement of people, multi-sector approach, partnerships, cooperation between role-players, increase in capabilities and productivity, family stability, social service organisations, project neutral outcomes, inequality issues, in-migration and poverty alleviation. This theme aims to identify aspects in the current practice of SIA that can potentially contribute to social development outcomes, even if it is not the primary purpose of SIA. It is important to take note that the SIA reports only represent the recommendations made in the reports, as the actual outcomes of implementing the recommendations made in the SIA have not been measured for the purpose of this study. The following figure presents the results of the analysis of the reports regarding the potential contribution to social development:

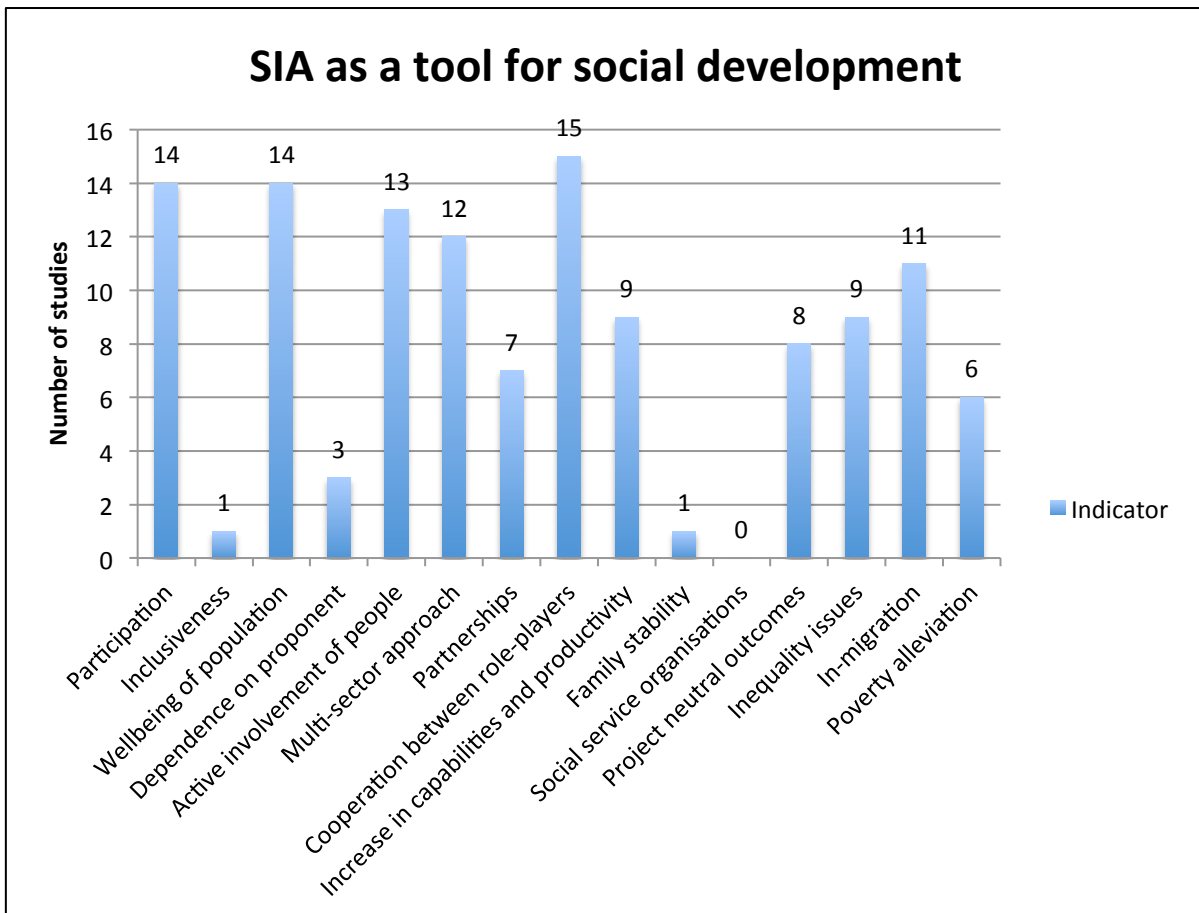


Figure 6.5: SIA reports potential to be used as a tool for social development

None of the studies took the potential impact of the project on social service organisations into consideration, and only one (7%) report suggested mitigation measures to address family stability. This may indicate that SIA practitioners do not view the mitigation of these impacts as part of the responsibility of the proponent, or simply that they do not think about the potential of the project to impact on these aspects.

Although most studies followed participatory processes, only one (7%) of the studies was clearly inclusive. Four (27%) were not inclusive, and it is unclear how inclusive the remaining studies were, as it is not made explicit. Processes were sometimes not inclusive due to external factors such as availability of participants or refusal to participate. The short timeframes allowed for SIA studies can also contribute to this, especially in the mining industry where there are strict timelines that must be followed, or when SIA is conducted late in the process.

Only three (20%) of the studies actively discourage dependence on the proponent. In one study this question was not relevant, as the nature of the development did not require mitigation measures that involve funding of the proponent in the long-term. The remaining eleven (73%) studies suggested mitigation measures that would only be successful as long as the proponent funded it.

The mitigation measures suggested in six (40%) of the reports have the potential to contribute to poverty alleviation. Nine (60%) of the studies suggest mitigation measures that will increase the capabilities and productivity of the people. Eight (53%) of the studies suggest mitigation measures with project neutral outcomes, seven (47%) of the studies suggest mitigation measures that will result in better than project neutral outcomes and fourteen (93%) of the studies considered the wellbeing of the population. Nine (60%) of the studies consider inequality issues. SIA therefore has significant potential to be used as a tool with social development outcomes, as these aspects are already considered in reports. The true impact will be the way the mitigation measures are implemented, and as can be seen from the qualitative data, this remains a challenge.

In-migration, one of the processes associated with significant community level impacts, was predicted in eleven (73%) of the studies. This indicates that when a project requires an SIA, one can expect significant long-term impacts in the surrounding communities.

Given the difficulty in managing the impacts associated with in-migration, and the number of role-players required to mitigate these kind of impacts successfully, it is crucial to realise that the management of social impacts should be done in a strategic manner.

The majority (14, 93%) of the reports also consider that SIA mitigation cannot take place in a vacuum, or be the responsibility of only one party. In thirteen (87%) of the studies active involvement of people (communities) is required to ensure the successful implementation of the mitigation measures. Twelve studies (80%) encourage a multi-sector approach to mitigation. In all the studies cooperation between role-players are required for successful mitigation. However, partnerships are not universally suggested, as only seven (47%) of the studies suggest partnerships between government, civil society and the private sector as part of the mitigation process. Participation and partnerships are key aspects of social development and it is encouraging to see that it is considered in some of the studies, as it is a potential area of overlap between social development and SIA.

6.3.2.3 Theme 3: Going beyond minimum requirements for mitigation and monitoring towards social development outcomes

This theme investigates whether the recommendations in the studies go beyond the minimum requirements that are acceptable for SIA. Twelve questions were formulated (see Section 6.3.2) and were concerned with RSA specific mitigation, monitoring, the funder for mitigation, IBA, FPIC, economic development, enhanced social development, involvement of communities, employment creation, skills development, contribution to infrastructure and regional development. In the figure below the results of the analysis of the studies related to going beyond minimum requirements are presented.

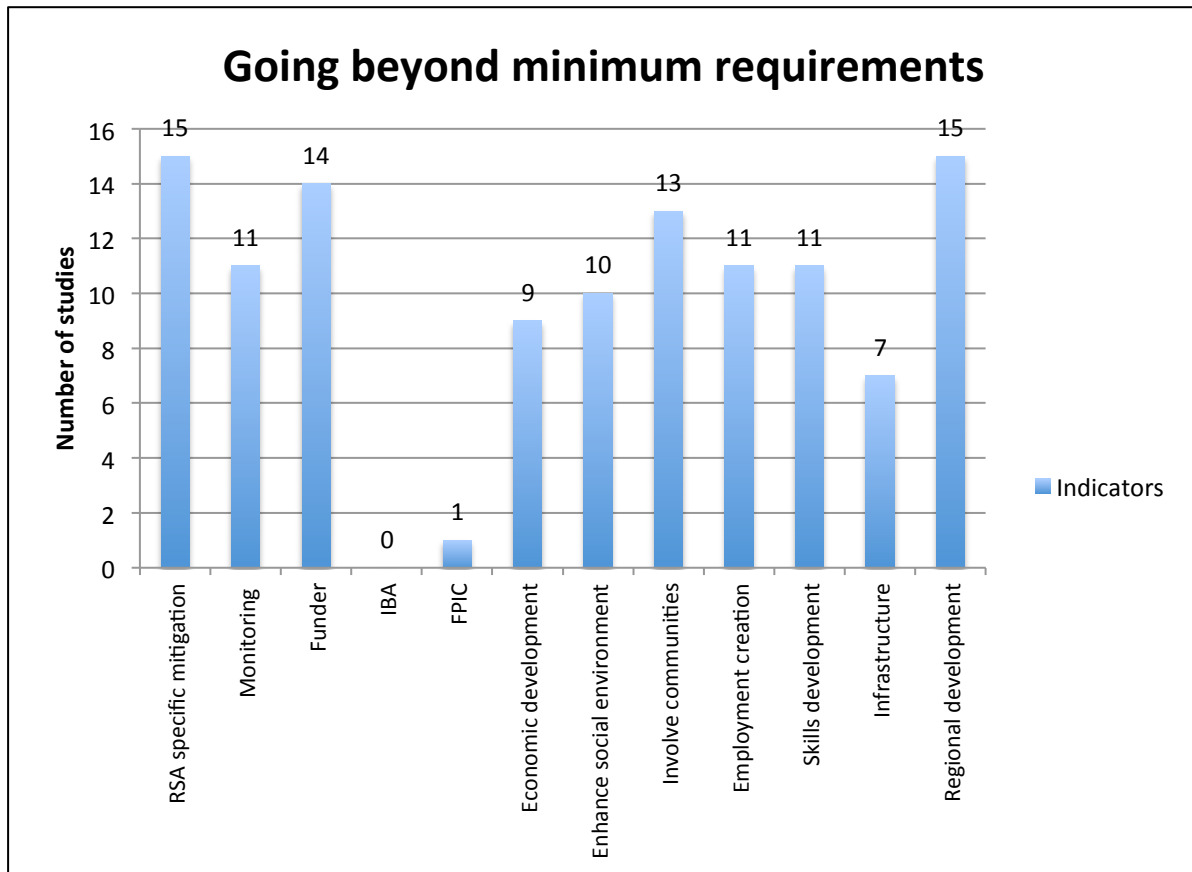


Figure 6.6: Scope of mitigation in SIA reports

None of the studies considered IBA's, and only one (7%) study considered FPIC, something currently included in international best practice. This can be attributed to the legal requirement for Social and Labour Plans in the Mining Industry, and the South African legislation that does not make provision for these practices. All the mitigation measures were specific to the South African context.

Eleven (73%) of the reports suggested monitoring of mitigation measures. One (7%) study is not clear about who should fund the monitoring. The remaining studies (14, 93%) all suggest that the proponent should fund the monitoring, and in five (33%) of the studies it is suggested that the local government should act as co-funder.

Nine (60%) of the studies propose economic development processes. The outcomes of ten (67%) of the studies will enhance the social environment. All the studies consider regional development issues.

When considering the potential of studies to contribute to the social protection floor, it seems as if SIA can potentially play a significant role. Eleven (73%) of the studies contribute to the social protection floor via employment creation, education or skills development. Seven (47%) of the studies contribute to the social protection floor via infrastructure development. Although SIA is not the right tool to contribute to cash transfers or subsidies, there is a clear role for SIA to contribute to basic services, as an improvement in such services is a mitigation of impacts in itself. Thirteen (87%) of the studies involve local communities in the execution of mitigation measures.

The data presented in this section indicate that there are clear strengths in the current SIA practice in South Africa. Many reports consider and recommend aspects that go beyond the minimum requirements for SIA. The lack of reference to some international best practice principles must be examined critically. There are two possible explanations. The first is that South African SIA practice is not on international standard. Given that the information is consistently found in South African reports, this explanation is not plausible. The second explanation is that the two international standards are not relevant in the South African context, which is more plausible when the legislative and regulatory context is considered.

6.3.3 Guttman analysis of the findings

A Guttman scale was used to analyse the current status of how social development outcomes are considered in SIA practice in South Africa. The formulation of the Guttman scale has been discussed in Chapter 5 (Section 5.6.4.2) and the objective is a two dimensional classification in which traits are listed in rows of a matrix and the columns represent a higher-level classification (Dane, 1990:334; Guest, 2000:247). The columns each represent a report. Answers to the thirty-four questions identified in the literature chapters (see Section 6.3.2) are the criteria that are sought in each report. With the exception of two questions, dichotomous questions were used with the only response possibility being Yes (1) or No (0). The two questions that did not have dichotomous answers related to the party responsible for funding of mitigation measures and the inclusiveness of the participatory process, which could not be determined with a high level of certainty. For the purpose of the Guttman analysis only the 32 dichotomous

questions were used. Once the matrix has been populated the order of the reports and the order of the questions was adjusted to reveal clustered patterning. The objective was to order the reports and the questions in such a way that all the yes (1) answers cluster in the top left corner of the matrix and the no (0) answers cluster in the bottom right of the matrix. The resulting ordering of the reports and questions reveal patterns in the inclusion of social development aspects in SIA. The researcher identified cut points to reveal patterns that establish which aspects are most often included in the reports. Similarly, the approach identified clusters of issues that are not addressed, or seldom addressed, and clusters the reports with these shortcomings. A cut point of 12 out of fifteen represents 80% of the time, and was used to identify aspects included most often in the report. A cut point between 8 (53%) and 11 (73%) out of 15 was used to identify aspects that were considered about half of the time, and a cut point between one (7%) and 7 (47%) out of 15 was used to identify aspects that are seldom considered. The cut points were arbitrarily assigned at the discretion of the researcher, in consultation with a research expert. The Guttman scale presenting the responses to each question is presented in Table 6.1.

Table 6.2: Effectiveness of SIA as a development tool in South African context

	Practitioner													
	A	B	C	C	D	A	A	E	F	A	A	G	H	H
	Mining	Mining	Mining	Mining	Energy	Energy	Commercial	Infrastructure	Infrastructure	Mining	Infrastructure	Infrastructure	Mining	Infrastructure
Questions	SIA reports used in study													
Report number	10	2	12	3	7	14	13	8	6	15	9	5	1	11
Do mitigation measures require cooperation between several role-players?	1	1	1	1	1	1	1	1	1	1	1	1	1	1
Are there any social, environmental or restorative justice issues?	1	1	1	1	1	1	1	1	1	1	1	1	1	1
Does the report make use of an explicit methodology?	1	1	1	1	1	1	1	1	1	1	1	1	1	1
Are there any equity issues? (Who pays the price vs who gets the benefits)	1	1	1	1	1	1	1	1	1	1	1	1	1	1

Questions	SIA reports used in study													
	10	2	12	3	7	14	13	8	6	15	9	5	1	11
Is regional development issues considered in the study?	1	1	1	1	1	1	1	1	1	1	1	1	1	1
Is the mitigation specific to the South African context?	1	1	1	1	1	1	1	1	1	1	1	1	1	1
Will the outcomes be project-neutral?	1	1	1	1	1	1	1	1	1	1	1	1	1	1
Is the wellbeing of the entire population considered and promoted?	1	1	1	0	1	1	1	1	1	1	1	1	1	1
Was a participatory process followed?	1	1	1	1	1	1	1	1	1	1	1	0	1	1
Is a multi-sector approach to mitigation promoted?	1	1	1	1	1	1	1	1	1	1	0	1	1	0
Is monitoring of mitigation measures suggested?	1	1	1	1	1	1	0	1	0	1	1	1	1	0
Do mitigation measures promote active involvement of people?	1	1	1	1	1	1	1	1	1	1	1	1	0	0
Are the affected communities involved in the execution of the mitigation measures?	1	1	1	1	1	1	1	1	1	1	1	1	0	0
Do mitigation measures contribute to the social protection floor via suggestions regarding contributing to education/skills development?	1	1	1	1	1	1	1	1	1	1	1	0	0	0
Do mitigation measures contribute to the social protection floor via suggestions regarding creation of employment?	1	1	1	1	1	1	1	1	1	1	1	0	0	0
Will the outcomes enhance the social environment?	1	1	1	1	1	1	1	1	1	1	0	0	0	0
Do mitigation measures contribute to the social protection floor via potential establishment of infrastructure?	0	1	1	1	1	0	0	1	1	1	0	0	0	0
Will there be immigration?	1	1	1	1	1	1	0	1	1	1	0	0	1	1
Is there background information on the relevant legislation in the report?	1	1	1	1	0	1	1	0	1	1	0	0	1	1
Does mitigation address inequality issues?	1	1	1	1	1	1	1	0	1	1	0	0	0	0
Will mitigation increase capabilities and productivity of people?	1	1	1	1	1	1	1	1	1	0	0	0	0	0

Questions	SIA reports used in study														
	10	2	12	3	7	14	13	8	6	15	9	5	1	11	
Are there any proposals for economic development processes?	1	1	1	1	1	1	1	1	0	0	0	1	0	0	
Is there reference to local guidelines?	1	0	0	0	1	1	1	0	0	1	1	1	1	0	
Are any partnerships between civil society, government, private sector suggested?	1	1	1	1	1	1	1	0	0	0	0	0	0	0	
Will mitigation contribute to poverty alleviation?	0	1	1	1	1	1	1	0	0	0	0	0	0	0	
Is there reference to international standards?	1	1	1	1	0	0	0	0	0	0	0	0	0	0	
Do mitigation measures discourage dependency on proponent?	1	0	0	0	0	0	0	0	0	0	0	0	1	1	
Are human rights considered?	0	0	0	1	0	0	0	0	0	0	0	0	1	0	
Are impacts on family stability mitigated?	0	0	0	0	0	0	0	0	0	1	0	0	0	0	
Is there any reference to FPIC?	0	0	1	0	0	0	0	0	0	0	0	0	0	0	
Are impact benefit agreements proposed?	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Is mitigation on social service organisations included?	0	0	0	0	0	0	0	0	0	0	0	0	0	0	

6.3.3.1 Aspects that are generally considered

A cut point of 12 (80%) or more yes (1) answers out of 15 has been identified as an indication that a certain aspect is generally considered in current SIA practice. Twelve out of the 32 questions fell in this category, namely:

- Do mitigation measures require cooperation between several role-players?
- Are there any social, environmental or restorative justice issues?
- Does the report make use of an explicit methodology?
- Are there any equity issues? (Who pays the price versus who gets the benefits?)
- Are regional development issues considered in the study?
- Is the mitigation specific to the South African context?

- Will the outcomes be project-neutral?
- Is the wellbeing of the entire population considered and promoted?
- Was a participatory process followed?
- Is a multi-sector approach to mitigation promoted?
- Do mitigation measures promote active involvement of people?
- Are the affected communities involved in the execution of the mitigation measures?

The finding means that only 37,5 % of the 32 questions that have been identified are consistently addressed in SIA reports.

Social, environmental or restorative justice and equity issues are considered in 100% of the studies, and this indicates that there is a general awareness amongst practitioners about these issues. All the reports (100%) described an explicit methodology showing that these reports are consistently approached in a scientific manner. The three (9%) questions discussed in this paragraph refer to the legal and institutional mandate for SIA (Theme 1).

Six (19%) of the 32 questions that are generally considered refer to the ability of SIA to be used as a tool for social development (Theme 2). In 14 (93%) of the reports SIA considers the wellbeing of the entire population and follows a participatory process. Twelve (80%) of the reports indicate that mitigation of social impacts requires a multi-sector approach and cooperation between several role-players is a requirement of all the studies (100%). The active involvement of communities in the mitigation process is encouraged in 13 (87%) of the studies.

All 15 studies (100%) considered regional development issues and recommended mitigation specific to the South African context. The recommendation to involve affected communities in the execution of the mitigation measures is present in 13 (87%) of the studies. The three (9%) questions discussed in this paragraph are concerned with going beyond the minimum requirements for SIA (Theme 3).

6.3.3.2 Aspects that are considered about half of the time

The next cut point represents aspects that are addressed between 8 and 11 times out of 15 or about half of the time in current SIA practice. Ten (31%) of the 32 questions fall in this category.

Two (6%) of the ten questions are related to the legal and institutional mandate for SIA, namely reference to relevant legislation and local guidelines (Theme 1). Three (9%) questions referring to the ability of SIA to be used as a tool for social development are included in about half of the reports (Theme 2). This includes in-migration, ability of mitigation to increase capabilities and productivity of people and whether mitigation address inequality issues.

The remaining five (16%) questions that are answered about half of the time are related to the ability of SIA to go beyond the minimum requirements for mitigation and monitoring (Theme 3) and include reference to the contribution of the social protection floor via skills development, employment creation, outcomes that will enhance the social environment, proposals for economic development processes and the monitoring of mitigation measures.

Only 11 (73%) reports refers to the monitoring of mitigation measures, which confirms the findings of the qualitative part of the study that indicates that it is a shortcoming in the SIA process. Outcomes of mitigation that enhance the social environment are also only present approximately half of the time. It is significant that 11 (73%) SIA reports recommend mitigation measures that can contribute to the social protection floor, even if they may not be familiar with the concept or social development literature. Mitigation measures regarding creation of employment and measures that contribute to education/skills development are such recommendations. Proposals for economic development processes can potentially contribute to social development outcomes and it is encouraging to see this recommendation in nine (60%) of the SIA reports.

6.3.3.3 Aspects that are seldom or never considered

A cut point between 1 and 7 was used to identify aspects that are seldom considered in SIA reports. Seven questions (22%) fall within this category. International standards were considered in five (16%) reports and human rights were only considered in two (4%) reports. These two questions relate to the legal and institutional mandate for SIA (Theme 1).

Four of the questions (13%) that were seldom considered, namely impacts on family stability, discouragement of dependency, partnerships and poverty alleviation, are related to the ability of SIA to be used as a tool for social development (Theme 2). Mitigation measures that discourage dependency on the proponent fall in this category, and it was mentioned in only three (20%) of the studies. Partnerships between civil society, the government and the private sector are recommended in seven (47%) of the studies. Mitigation that contributes to poverty alleviation was present in six (40%) of the reports and it means that there is at least some level of awareness amongst practitioners.

The question regarding recommendations of mitigation measures that involve the establishment of infrastructure was addressed in seven (47%) studies. Interestingly, all these studies were not in the mining industry as expected due to the requirements of the SLP, but included studies in the energy and infrastructure fields. FPIC was considered in only one report (3%). These are the only two questions under the “going beyond SIA” theme (Theme 3) that are seldom considered. In addition, the two (6%) questions that were not considered in any of the reports, namely the potential impact that a project may have on social service organisations and the international best practice principle of IBA, also form part of the theme related to the ability of SIA to go beyond the minimum requirements for mitigation and monitoring (Theme 3).

The percentage of all the questions considered in each report was also determined. These percentages varied from 35% to 78%. This means that none of the reports considered all the questions, and the highest score is only 78%, which means that seven (22%) of the questions are not addressed even in the most comprehensive reports. The variance between reports is one of the most significant findings that can be made from the

analysis, clearly indicating the lack of standards in the SIA field as identified in the qualitative study.

6.3.4 Summary of quantitative findings

This section presents a brief summary of the findings of the quantitative study, based on the information gathered from the reports.

The findings indicate that some social development aspects are considered in SIA, but not in a structured or consistent manner. Economic development processes and poverty alleviation are important aspects to consider in social development and form part of the SIA recommendations. The findings indicate that SIA has the potential to contribute to the social protection floor, especially through the contributions of the energy and mining sectors to skills development, job creation and economic development initiatives.

In line with social development theory, the findings demonstrate that the mitigation of social impacts must involve multiple stakeholders, including communities in the implementation of mitigation measures. Despite this, partnerships are seldom recommended as part of SIA mitigation, and independence from the proponent is not promoted. The findings show that SIA practitioners could do more to ensure that proponents are accountable, as the requirements for monitoring and management of social impacts in the reports occur at low levels. The reports are clear on the “what to do” aspects of mitigation, but less clear on the “how to do it” recommendations.

The findings indicate that the minimum legal standards are addressed in SIA reports, but international standards and local guidelines are weakly addressed. The data show that although social, environmental and restorative justice and equity issues are important considerations in SIA, human rights are seldom addressed in SIA reports.

The findings demonstrate that there is no consistency in methodology or basic report content amongst the studies, even if the same author wrote the report. Although communities should be approached individually, standardised basic reporting will allow for comparative analysis and contribute to the development of a body of knowledge. As the findings of the qualitative study indicated, the SIA industry will benefit from a definite

structure and guidance, which will result in greater consistency in reporting and outcomes.

The findings confirm that there is an interrelationship between SIA and social development. This interrelationship will be discussed further in Chapter 7.

6.4 Summary

This chapter presented the findings of the qualitative and quantitative research conducted to inform this study. The findings of the quantitative study align with the findings of the qualitative study, and the aspects highlighted under each of the themes support and compliment the qualitative findings. By using triangulation the information obtained in the quantitative and qualitative study was used to build a logical explanation for the identification of the common themes (Creswell, 2014:201). The themes are presented and discussed in Chapter 7.

Chapter 7. Discussion of empirical findings

7.1 Introduction

The results of the empirical study were presented and analysed in Chapter 6. Based on the analysis of the qualitative and quantitative data, five predominant themes capturing the key findings of the study were identified. The aim of this chapter is to discuss and integrate the findings of the study with the literature and within the theoretical framework of the study. The key findings on each theme will be discussed under related sub-categories and integrated with relevant literature. The chapter concludes with a summary of the discussion.

7.2 Discussion of themes

In alignment with the research question of the study, the five common themes that will form the basis of the discussion of the empirical findings are directed at responding to whether SIA can be used as a tool for social development. In the pursuing discussion the respective themes will be briefly introduced, followed by a discussion of the underpinning key findings as integrated with relevant literature.

7.2.1 Theme 1: The potential of SIA to contribute to social development outcomes

Theme 1 examines the potential contribution of SIA to social development outcomes. The literature, as well as the qualitative and quantitative results, confirm that there is potential for SIA to contribute to social development. The potential is highlighted in the findings on SIA practitioners' understanding of social development; existing contributions that SIA make to social development; and how SIA can be used more effectively to ensure it contributes to social development outcomes.

7.2.1.1 SIA practitioners' understanding of social development

The results of the quantitative study indicate that SIA reports do consider social development outcomes, but not in a structured manner. This can be attributed to participants' understanding of the meaning of the term social development. The majority of participants that were interviewed as part of the qualitative study indicated that SIA can and should be used as a tool for both sustainable development and social development. When interrogating their responses, it was clear that most of them did not

distinguish between social development and sustainable development. Most participants viewed social development as one of the three pillars of sustainable development. Although there is inherently no problem with this view, it may present a narrow definition of social development. This is highlighted when considering the definitions of sustainable development and social development as it is understood in this thesis. Sustainable development is defined as development that meets the needs of the present without compromising the ability of future generations to meet their own needs (World Commission on Environment and Development, 1987:24). The ideal balance between future and present needs rests on three pillars – social development, economic development and environmental protection (Aucamp et al., 2011:40). Social development as used in the developmental social welfare context, can be defined as a process of “planned social change designed to improve the welfare of the population as a whole in conjunction with economic development” (Midgley, 2014:236). Participants in the study therefore understand social development as separate from economic development. This difference in focus means that opportunities to enhance social development outcomes, especially where there is a potential to align social change processes with economic opportunities, might be disregarded or not embraced due to a lack of understanding of the concept. However, it can be argued that SIA practitioners, who do understand sustainable development, might not need to have an in-depth knowledge of social development assuming Peeters’ (2012:292) argument that social work and sustainable development concur on aspects such as equality, human rights, participation and wellbeing. These are all aspects inherent to SIA practice and encapsulated in the Principles and Values of SIA (Vanclay, 2003). Furthermore, the aspects mentioned by Peeters (2012:292) are also innate to developmental social work and social development (Patel, 2005:207; Patel, Hochfeld, Graham & Selipsky, 2008:5; Midgley, 2014:13-17). Therefore, there is a clear connection between SIA and social development, human rights, equality and the enhancement of wellbeing and SIA practitioners should embrace integrating social development as part of SIA practice. Considering that social development refers to both a process and a product (McBride et al., 2003:1), as does SIA (Vanclay, Esteves, Aucamp & Franks, 2015:1), there is scope to educate SIA practitioners

about the theory around social development in order to empower them to use it effectively as both part and a potential outcome of the SIA process.

Although most SIA practitioners are highly qualified in different specialised fields none have primary qualifications specific to social development as defined in this thesis (see Chapter 6, Section 6.3.1.1). However, the reports reviewed as part of the quantitative study indicate that there are some practitioners with a clear understanding of social development outcomes (see Chapter 6, Section 6.3.2) and thus see development holistically and understand that one sector cannot be developed at the cost of another. This could be attributed to their general social science background, and the link between sustainable outcomes of SIAs and social development as will be discussed next.

7.2.1.2 Existing SIA contributions to social development outcomes

The quantitative study reveals that existing mitigation measures suggested in SIA reports could potentially contribute to social development outcomes. The analysis of the SIA reports shows that nine (60%) included recommendations about economic development processes, and four (27%) of the studies could potentially contribute to poverty alleviation. This is in line with social development which aims to ensure that economic development results in real positive improvements in the quality of life of the poor (Gray, 2006:S56). One of the most significant potential contributions to social development is related to social protection, which contributes to the protection of human rights). In an attempt to protect the most vulnerable sector of society, the South African government implemented a social protection framework (RSA, 2013b). The National Development Plan (NDP) views social protection as a right in line with the Constitution 1996 and proposes an ambitious social protection plan (see Chapter 11 of the NDP) as part of Vision 2030 (NPC, 2012:357). Although the social protection framework is based on targeted cash transfers, aspects like creation of employment, skills development and establishment of basic infrastructure such as water, housing, energy and schools also contribute to the creation of a social protection floor (ILO, 2011:4).

A key finding of the quantitative study is that SIA reports recommended mitigation measures that could contribute to the social protection floor through creation of employment and skills development in 11 (73%) of the studies. Skills development can be

seen as a resource that individuals can use to develop their capabilities (Gatenio Gabel, 2012:540), therefore assisting them to escape the poverty trap. Midgley (2014:120) emphasises the role of regular employment in social development. Unemployment is one of the biggest challenges in South Africa and a quarter of economically active people in South Africa are unemployed (StatsSA, 2014c:v). One of the root causes of poverty in South Africa is the inability of the labour market to create opportunities for low-skilled workers (Chibba & Luiz, 2011:311). The NDP acknowledges that employment is the most effective form of social protection, but that it will take time to address structural unemployment in South Africa (NPC, 2012:355). An “inadequately educated workforce” as described by the WEF (2014:340) is another significant obstacle to social development.

The prospective of SIA mitigation to contribute to the social protection floor can potentially lessen the financial burden on the government, as social protection is currently funded by tax revenue. This is untenable if one considers there are already more people in South Africa receiving social grants than people who work (Goko, 2013). At the end of the 2012/13 financial years 16,1 million South Africans received social assistance through grants (Jones, 2013).

Mitigation related to the establishment of infrastructure was recommended in seven (47%) of the studies. The quantitative study confirms that SIA mitigation can contribute to funding aspects such as infrastructure development and cover costs of associated skills development initiatives, thereby creating more sustainable funding sources for a social protection framework. Given that service delivery protests are fuelled by structural inequality (de Visser et al., 2012:5; Karamoko, 2011:31), contributions to the development of infrastructure would not only contribute to social development in South Africa, but also increase the effectiveness of service delivery. At the moment the government complements its cash transfers to poor and vulnerable people by funding services such as primary education, primary health care, housing, basic services, employment creation through public works and support for micro and small enterprises (Patel & Hochfeld, 2013:692). However, the provision of these basic social services is limited by administrative incompetence, poor quality of services and corruption (Patel & Hochfeld, 2013:692), which impacts on the human rights of people and creates further

inequalities. Although the provision of basic social services is undeniably the responsibility of the government, SIA mitigation can potentially complement the services, especially in areas where the project proponent who commissions the SIA have related expertise. Employment creation and support of small or micro enterprises are specific focus areas with high potential to benefit from SIA mitigation.

The results of the quantitative study show that the mining and energy sectors are theoretically consistently contributing to aspects such as skills development, job creation and economic development programmes through social mitigation measures. This indicates that requirements of Social and Labour Plans (SLPs), conducted under the Mineral and Petroleum Resources Development Act (MPRDA) 28 of 2002, which is to promote employment and advance the social and economic welfare of all South Africans and to ensure economic growth and social development (DMR, 2010:4), are addressed in the reports that were reviewed. Although SLPs are by no means a panacea for the problems associated with resource development, the researcher views it as a step in the right direction. SLPs are audited and must be renewed every five years, and therefore there is at least some form of mechanism to manage the implementation of these plan. In practice the researcher has seen an improvement in the type of SLPs and the management from the government's side. Especially big mines have done significant work to ensure aspects such as enterprise development and often have dedicated community development sections. However, the actual success of SLPs have not been measured officially. Given that SLP is a long term commitment on the side of mines, and the official implementation has been a requirement for a decade, the researcher is of the opinion that a study investigating the true impact of SLPs would provide valuable insights and potentially strengthen the findings of this thesis. Such a study would be a significant undertaking and falls outside the scope of this thesis. This finding shows that the recommendation of participants in the qualitative study to make SLPs a requirement in all projects that require an SIA, and not only limit it to the mining sector, will enhance the contribution that SIA could make to social development outcomes, and should be considered when investigating the more effective utilisation of SIA. The expansion of SLPs to sectors outside the mining sector in South Africa is supported in recent SIA publications (Aucamp et al., 2011:56; Hildebrandt & Sandham, 2014:23).

It is important to note that all the social development outcomes discussed in this section require the involvement of external parties, whether it is by making opportunities available, providing training or establishing infrastructure. The existing contributions of SIA to social development therefore requires intervention and input in different forms from different role players to achieve social development goals. The multi-sector approach is a key aspect of social development, underlining the synergies between social development and SIA (Midgley, 2014:15). The empirical study confirms that SIA already contributes to social development outcomes through increasing people's capabilities, promoting their wellbeing, and contributing to social and economic development (Hawkins & Roa, 2008:33; Midgley, 2014:13-17) but it also indicates that it could be done more effectively, as will be discussed next.

7.2.1.3 More effective utilisation of SIA to ensure social development outcomes

More effective use of SIA is a crosscutting theme that relates to all the discussions in this chapter. Aucamp et al. (2011:48) state that the gap between SIA and sustainable development is often not in what is carried out in SIA, but in what is omitted. The findings of the quantitative study confirm this and indicated that SIA does what it is traditionally supposed to do – it assesses the social impacts of development projects and suggests mitigation and management measures in order to ensure environmental approvals from the regulatory authorities. The “what is omitted” argument (Aucamp et al., 2011:48) extends to the contribution that SIA can make to social development. Esteves et al. (2012:34) supports the argument that SIA should contribute to development in a paper about the state of the art in SIA where they assert that SIA is not only a field of research, but also an approach that can be used to achieve better development outcomes for communities. This resonates with the findings of the qualitative study, which indicates that SIA should be used on a strategic level to optimise its effectiveness. Participants indicated that the focus of SIA should not only be on the specific project, but also include broader development opportunities to ensure SIA is used in a more effective manner. Baines and Taylor (2002:3) point out that difficulties in project-related SIAs are often the result of the absence of strategic SIA on plans, policies and legislation. They added that it

would also be easier to address cumulative social impacts if SIA is approached in a strategic manner (Baines & Taylor, 2002:7).

One of the interviewed participants stressed that in order to be more effective, SIA should be conducted much earlier in the planning process and is of the opinion that the current approach is reactive and therefore undermines the role it can play in development. This is an accurate observation since social development is a proactive process of planned change (Midgley, 1995:25). Participants in the qualitative study indicated that important considerations to enhance the social development agenda include the potential links with existing initiatives, co-operative planning and the type and lifespan of the project. SIA outcomes will align more with social development practice, where economic, social and other interventions are linked and social investments are used to advance social wellbeing, if it is linked to existing initiatives (Midgley, 2014:14). These considerations involve several role players and earlier involvement in the planning process. The quantitative study confirmed that cooperation between several role players is required for the mitigation of impacts, with 100% of reports containing this recommendation. This resonates with social development, which encourages a multi-sector approach and partnerships (Patel, 2008:73).

Three of the most important role players that can contribute to the mitigation of social impacts are explored in the next three themes. These role players are the government, communities (or civil society), and the private sector.

7.2.2 Theme 2: Relationship between the practice of SIA and the government

Theme 2 examines the relationship between the practice of SIA and the government. SIA is predominately commissioned by the government as part of the EIA legislation (Du Pisani & Sandham, 2006:712). The results of the empirical study shed more light on the current relationship between the practice of SIA and the government. This relationship is twofold, namely the role that the government currently plays in the authorisation process, and issues with the existing authorisation system.

7.2.2.1 The role of the government in the authorisation of the SIA process

Results of the qualitative study indicate that government is a key role-player in the SIA field, being the partner that most often commissions SIA via the EIA process, in order to assist them with decision-making. The theoretical framework used for this study highlights the important role that the government plays to ensure social development outcomes, especially through the implementation of policy (see Chapter 3, Section 3.4), therefore it can be argued that the decision-making processes utilised by government is potentially an important factor in ensuring that social development outcomes can be achieved. One of the key findings of the qualitative study was that SIA fails to add value to the decision-making process because government neither has the resources to implement recommendations made in SIA studies, nor the technical personnel to review SIA reports. An article about “State of the Art SIA” cited the contribution of SIA to decision-making processes of authorities as one of the strengths of current SIA practice, but acknowledges that the limited capability of decision-makers and resources dedicated to quality control have an impact on the standard of SIA (Esteves et al., 2012:36). Capacity of decision-makers therefore seems to be a global challenge.

In a study that reviews the quality of SIA aspects included in EIA reports, Hildebrandt and Sandham (2014:24) confirm the shortage of skills amongst authorities to review SIA reports. The potential of EIA (of which SIA is an integral part) to integrate development and environmental issues to ensure sustainable outcomes has been eroded through over-complicated legislative amendments and weak capacity in South Africa (Bond et al., 2014:50).

Participants identified local government as a key role-player in the SIA process and indicated that SIA should feed into the planning and local economic development processes led by local government. Participants indicated that if these processes are not robust, it renders SIA ineffective. All the SIA reports that were reviewed as part of the quantitative study considered regional development issues. It can be argued that the intention for local government to be actively involved in processes regarding development such as SIA is clear from a policy perspective, as the White Paper for Local Government (RSA, 1998b) states that local government should work with citizens and

groups in the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives (Cooperative Governance and Traditional Affairs [CoGTA], 2009a:12). It is therefore appropriate that local government plays an important role in the SIA process and does not place an unrealistic expectation on the side of SIA practitioners.

Participants pointed out that there is a lack of capacity amongst municipal structures to engage with SIA practitioners, and a lack of integration between SIA and IDP. This is contrasted by the fact that IDPs were consulted in all 15 SIA reports studied in the quantitative study. The crisis in, and challenges faced by, local government is confirmed in a review conducted by the Department of Cooperative Governance and Traditional Affairs (CoGTA, 2009a:4) and the resulting five year plan to implement a Local Government Turnaround Strategy (CoGTA, 2009b:3). This crisis in local government causes an increase in inequality and human rights infringements which can potentially be exacerbated by development projects where social and environmental impacts are not managed carefully.

The formation of partnerships between government, civil society and the private sector is a logical vehicle to ensure sustainable outcomes, but the quantitative study found that this is not often enough suggested in current practice. A reason for this might be the complex nature of such a relationship. As pointed out by Gray (2006:S56) and Patel (2008:73), partnerships are vital to social development. A non-profit or non-government organisation is usually the vehicle through which civil society engages into a partnership with the government (Patel, 2003:5). Models associated with this kind of relationships are usually based on two aspects, namely the financing and authorisation of services, and the actual delivery of services (Patel, 2003:5). In the Government Dominant Model the government directly provides financing and services, and in the Third Sector-Dominant Model services are financed and delivered voluntarily (Patel, 2003:5). A fusion of the two models is called a Dual or Parallel-track Model where NPOs/NGOs could either supplement or complement public provision (Patel, 2003:5). The partnership approach to service delivery is hailed as one of the significant achievements of the social development approach in South Africa (Patel, 2003:5). Given that social development practitioners are

familiar with these models, it can be concluded that SIA practitioners would benefit from engaging with social development practitioners about the practical application of the models.

Participants in the qualitative study indicated that local government should be able to leverage social development initiatives using the SIA route, but as it does not happen, opportunity is lost. Social development can be expressed through different interventions, for example community-based sanitary and water supply interventions (Midgley, 2013:6), and it is here that SIA can provide a direct link between the government and communities with specific infrastructural needs, especially if their human rights are affected by the lack of infrastructure. Section 24 of the South African Constitution 1996 and the National Environmental Management Act 107 of 1998 unambiguously provide an opportunity for sustainability thinking by highlighting the connection between poverty, environmental degradation and quality of life issues (Bond et al., 2014:50). Some issues with the current authorisation system which will be discussed next build on the results discussed in this section.

7.2.2.2 Issues with the existing authorisation system for development projects that requires SIA studies

Currently the responsibility for evaluating and implementing SIA lies with the Department of Environmental Affairs (DEA), backed by the policies discussed in Chapter 4 (see Chapter 4, Section 4.3). The results of the qualitative study indicated that aspects unrelated to the DEA are often key issues in SIA and participants were of the opinion that other government departments should be involved, depending on the issues relevant to the project. The participants in the qualitative study indicated that the evaluation and implementation of SIA requires co-operative governance, a key requirement for social development (Midgley, 2014). Departments of Water Affairs; Health; Human Settlements; Labour; Social Development; Mineral Resources; Energy; Education; Agriculture, Forestry and Fisheries; Public Works; Trade and Industry and Rural Affairs and Land Reform were mentioned by participants as possible role-players in the SIA process. According to Patel (2003:5) social development in South Africa already features inter-sectorial collaboration between different government departments, but overcoming fragmentation and

replication remains challenging. SIA could therefore potentially learn from social development and coordinate rather than reinvent the practice.

Despite an expressed lack of faith in cooperative governance evident from the empirical study, fourteen (93%) out of the fifteen reports reviewed as part of the quantitative study suggested that a multi-sector approach is needed to mitigate impacts. Seven (47%) reports suggested partnerships between the government, civil society and the private sector. According to Patel (2008:73) a central attribute of social development is that it foresees a collaborative partnership approach between the government, civil society and the private sector, with the government playing an active leadership role, and therefore there is an obvious link between this finding and social development. The SIA reports suggested that partnerships were predominantly encouraged in the mining and energy sector. Only five (33%) reports recommended that the local government contribute to the cost of the mitigation measures, notably the assessments of projects with more significant capital outlay.

Involving different government departments may be a challenge given that in some instances like housing, all three spheres of government will be affected and there may be fragmentation, duplication and confusion about responsibilities (Cameron, 2012:4). It is not an unattainable challenge, however, as air pollution control is a function of cooperation between the spheres of government (Naiker, Diab, Zunckel & Hayes, 2012:63), meaning that there are existing examples of such cooperative governance. It must be considered that the Department of Environmental Affairs is already involved in programmes encouraging social development outcomes such as Working for Water, where it works with communities through job creation and skills development to protect the environment. Working for Water also addresses aspects such as HIV/Aids, Planned Parenthood, reproductive health and re-integration of ex-offenders in society in partnership with NGOs and the Department of Social Development (Department of Environmental Affairs (DEA), [sa]). This illustrates that it is possible for government departments and NGOs to work together in a cooperative manner, since the Working for Water project has been implemented since 1995 (DEA, [sa]).

Another finding of the qualitative study suggests that a body representing various disciplines and government departments should be established to regulate SIA. This resonates with the social development which encourage development through participation and partnerships (Midgley, 2014). Du Toit, Biggs and Pollard (2011:20) refer to such a decentralised, democratised approach to involve stakeholder groups in participatory decision-making as multi-stakeholder platforms. Although the researcher can see the advantages of such a body, it is important to consider that there will also be pitfalls. Multi-stakeholder platforms have the prospect of a holistic and cohesive approach to management of resources, but conflict, divergence and tension are also innate to processes bringing together different values, cultures, norms and views (Du Toit et al., 2011:20). There are existing examples and lessons learned of cooperative management that involve all stakeholders from grassroots levels upwards. Water management in South Africa is done in such a collaborative manner, using a multi-sector approach (Du Toit et al., 2011:20; Mirumachi & Van Wyk, 2010:26). This approach is in accordance with social development, which employs a multi-faceted and multi-stakeholder approach to ensure successful interventions (Gray, 1996:9; Patel et al., 2012:215). Multi-stakeholder platforms bring decision-making much closer to all the stakeholders. The role that SIA plays in decision-making processes will be discussed in the next theme.

7.2.3 Theme 3: Relationship between SIA practice and community involvement

The focus of theme 3 is on the relationship between SIA practice and community involvement. The aim of SIA is to assist all affected parties to understand the social consequences of proposed development on human populations and communities (Du Pisani & Sandham, 2006:708). The relationship between SIA and communities is therefore at the core of SIA. The findings of the study support this statement. SIA, like social development is people-centred (Gray, 2006:S56, Vanclay, 2003:9). The importance of community participation and involvement, and the potential of SIA to link different role-players with each other to ensure social development outcomes are discussed under this theme.

7.2.3.1 Importance of community participation and involvement in the SIA process

Participants in the qualitative study pointed out community relations and participation as key motivations for. Community participation is a key aspect of community development, which is a strategy of social development (Midgley, 1995). Parsons and Moffat (2014:275) confirm the importance of community participation in SIA by describing community engagement as a core element of a good SIA. As such, the participation of civil society plays an important role in SIA. Civil society in South Africa includes non-profit organisations, non-government organisations, humanitarian charities, trusts, faith-based organisations, ratepayers associations, philanthropic groups, advocacy groups, professional associations, community based organisations, woman's organisations, trade unions, credit and burial associations, self-help groups, neighbourhood associations, business and economic empowerment associations, youth organisations, farmers' organisations, coalitions, independent media, student unions and independent research institutes, but not political parties (Mukute & Taylor, 2013:610; Themudo, 2013:67). These stakeholders are typically consulted in an SIA process, and involve locally affected communities. These are also the stakeholders deemed important in the social development process. Harvey and Bice (2014:230) distinguish between stakeholders and communities by describing stakeholders as all individuals or groups that can affect a project or operation, and communities as those directly affected by a project or operation. The qualitative study confirms that SIA plays an important role in enabling communities to contribute to processes pertaining to physical development that may affect their lives, a key requirement in a human rights approach. This corresponds with social development, which promotes the active involvement of people in their own development and is also underpinned by human rights (Gray, 1996:9; Patel et al., 2012:215).

Participants in the qualitative study stated that SIA involvement in communities should be on grassroots and leadership levels and that communities should become more involved in SIA processes. They indicated that community participation from the onset, and following a comprehensive and representative process, are crucial to SIA. In addition, SIA must provide civil society with the opportunity to give their opinion, communicate their concerns and be used as a tool to empower communities. The right of people to be

involved in decision-making about planned interventions that will affect their lives, importance of local knowledge and experience, right to a healthy environment and consideration of intangible social dimensions of the environment are core values of SIA (Vanclay, 2003:9), and support human rights. The finding confirms that SIA practitioners associate with and implement the values of SIA practice. In addition, given that social development promotes the integration of social, political, economic, cultural, environmental, gender and other dimensions (Midgley, 2014:14), as well as promoting the active involvement of people in their own development (Gray, 1996:9; Patel et al., 2012:215), it can be argued that SIA practitioners inherently implement principles of social development in their SIA practice. This further confirms that there is a link between SIA and social development.

Participants indicated that SIA assists communities to understand major issues about potential development projects and the implications of these issues. According to the findings, communities can access information easier if a project has to do a SIA. This finding is supported by Buchan (2003:168) who indicates that community participation is a principle tool used as part of the SIA methodology with the objective of developing an informed community that can express its interests and make informed personal and shared decisions. From this perspective community participation can be used to increase the capabilities of the affected communities, which corresponds with the capabilities approach used in developmental social work (Lombard, 2011:237).

The participatory nature of SIA is reflected in the reports analysed as part of the study, where only one report did not follow a participatory process, but it did use information obtained via the public participation process done for the EIA. The analysis of the reports showed that SIA practitioners clearly make an effort to ensure the inclusion of civil society in the process and view it as an important part of the study. Some of the reports listed the inability to consult with certain groups in society due to factors outside their control, such as restricted timeframes for the study, as a specific limitation to the study, underlining the importance of an inclusive process. It must be noted that there is a risk of human rights infringements if an inclusive and participatory process is not followed. The short-term involvement of SIA practitioners was pointed out as a shortcoming in the

qualitative study, as this makes the participation process more challenging. Rowan and Streater (2011:225) are of the opinion that meaningful stakeholder engagement and consultation can act as a catalyst for community development in areas where vulnerable, disempowered communities with a lack of entitlement reside. From a social development perspective it must be noted that informal, community-based organisations are seen to have a reasonable advantage over formal organisations, as they are more accessible at the local level (Patel, 2003:4), and therefore it is important that SIA practitioners include these organisations in the participation process. Patel (2003:8) further states that local development partnerships strengthen democracy in the sense that communities can participate in their own development. If managed correctly it can also act as a watchdog to ensure no human rights infringements take place.

Participants deemed aspects such as social and community dynamics, social justice and power relationships important for every SIA. This corresponds with Lombard's (2014:43) statement that power and politics play an important role in development. The rights-based approach, which is embedded in social development (Patel, 2005), is reflected in SIA practice, as 100% of the reports studied as part of the qualitative study considered equity issues and social, environmental or restorative justice in the description of the environment and in the mitigation measures. This confirms that participants adhere to the specific principle of SIA that refers to equity considerations as a fundamental element of impact assessment and development planning (Vanclay, 2003:9). It is also compatible with social development practice of which social justice is one of the primary values (Hare, 2004:416; Lombard & Twikirize, 2014:316). The rights-based approach is frequently adopted by social development organisations and the language of rights is increasingly used in social development practice (Midgley, 2014:201).

Participants in the qualitative study indicated that a representative and participatory process is an important aspect to consider in SIA studies. They view SIA practitioners as advocates for the voiceless and for sustainability and emphasised the important role the public plays in SIA. Parsons and Moffat (2014:275) emphasise the importance of this finding by saying that if SIA is to be meaningful and useful, affected communities must be engaged in the process. Participants in the qualitative study identified a number of

participatory methods that are used in the SIA process in order to enhance participation. Participatory processes and creating spaces for purposeful discussions with communities to obtain their input in the SIA process is one of the activities identified as current good practice in the SIA field (Esteves et al., 2012:35) and this finding indicates that the practice of SIA is at least in some areas on par with international best practice. It must be considered, however, that a number of recent papers pointed out that SIA aspirations for community engagement often fall short in practice (compare Esteves et al., 2011:37; Harvey & Bice, 2014:328 and Parsons & Moffat, 2014:275). Although the findings of the empirical study confirm the importance of participatory processes, the execution of this in practice has not been investigated in this study. Participation in development, active citizenship, and individual and collective empowerment are essential to ensure social development outcomes (Patel & Hochfeld, 2012:692). However, the reality of community interventions is that it is time and resource intensive, and non-material goods such as participation and social capital adds little value if communities do not have access to resources, services and infrastructure (Gray, 2010:469). It is therefore important to enable communities to participate by providing the necessary material support such as transport to meetings and venues.

SIA is conducted as part of the EIA process in South Africa (Hildebrand & Sandham, 2014:21) and there are indications that the participatory roots of SIA might be at risk if this situation persists. Although the fundamental rights to participate in environmental processes in South Africa are in place, there are negative perceptions amongst the highest level of government about the time consultation takes and the perceived risk it poses to development (Bond et al., 2014:51). The Presidential Infrastructure Coordinating Commission (PICC) identified three major risks for bulk infrastructure development in South Africa, namely: delays due to the EIA process, expropriation, and procurement (PICC, 2012:29). Through experience in the field, the researcher knows that these risks factors all involve social aspects and have the potential to affect the rights and wellbeing of communities. The fact that the government views impact assessment as a burden that threatens economic development (Bond et al., 2014:52) does not bode well for the future of consultation processes in the environmental field. SIA is currently mostly conducted as part of the EIA process (Aucamp et al., 2011:48; Hildebrand & Sandham, 2014:21) and it

means that threats to the EIA process will filter through to SIA practice as long as it forms part of the same regulatory process. It can be argued that social development should promote the wellbeing of people and simultaneously allow for economic development (Midgley, 1995:25), therefore there should be a way to ensure that the environmental processes is not done at the cost of the economic processes if principles of social development are applied. However, this may be difficult in a regulatory situation where there are inflexible timeframes. The empirical study indicated a disjoint between the practice of SIA and where it is situated within the EIA process as discussed in Section 7.2.2.2 above. Harvey and Bice (2014:32) point out that regulatory SIA does not encourage the development of trust, for even when community outcomes are favourable, it is clear that developers only aim to achieve compliance and are not motivated by a commitment to build trust and join forces.

South African environmental legislation is becoming overly prescriptive and this will reduce opportunities for environmental and developmental requirements to be evaluated in an integrated manner (Bond et al., 2014:52). In turn, this may impact negatively on the rights and wellbeing of communities. The findings of the empirical study indicate that SIA has the potential to link stakeholders to ensure that environmental and developmental requirements are integrated. This potential will be discussed next.

7.2.3.2 Potential of SIA to link different parties to assist with social development outcomes

The empirical study confirms that SIA has an important role to play with regards to civil society. As discussed in paragraph 7.2.3.1 above, the essence of SIA is community participation. Participants in the qualitative study indicated that community participation conducted as part of the SIA process assists with identifying and establishing networks for further interaction. Networks, direct and indirect, provide ties to people and resources, which may assist with development efforts (Adler & Kwon, 2000:98). Networks forms part of social capital, which is defined as the norms and networks that facilitate action (Woolcock, 2001:13). Social capital can be used as an instrument to build the capabilities required to assist with addressing inequality (Ansari, Munir & Gregg, 2012:822). There are three primary forms of social capital, namely bonding, bridging and linking capital

(Woolcock, 2001:13). Bonding social capital refers to relations between close friends, family members and neighbours (Ansari et al., 2012:821; Woolcock, 2001:13), where the strengths of communities can be found in the stability and intensity of the social networks established between community members (Midgley, 2014:108). Bridging social capital is essentially a horizontal metaphor and refers to relations between more distant friends, associates and colleagues. It implies connections between people who share broadly similar characteristics (Ansari et al., 2012:821; Woolcock, 2001:13). Linking social capital has the capacity to leverage resources, ideas and information from formal institutions beyond the community, and allows the less powerful to access resources that otherwise might have been outside their reach, an essential requirement to ensure social development outcomes (Evans & Syrett, 2007:58; Woolcock, 2001:13). The poor often have good access to bonding social capital, less access to bridging social capital and almost no access to linking social capital (Woolcock, 2001:13). This is where there is a clear role for SIA to play as a form of linking social capital in a way to harness its potential as a tool for social development. The vehicle for this linking social capital could be the execution of the mitigation measures suggested in the SIA. In the quantitative study, 13 (87%) of the 15 reports required the active involvement of communities in the implementation of mitigation, and in all the reports mitigation required the active cooperation between several role players. The mitigation process brings all the relevant parties together to ensure equitable outcomes which could promote social development. Many of these parties would never form associations if there were no SIA process. Social capital is an integral part of social development theory (Midgley, 2014:102), and the link between SIA and social capital therefore links SIA with social development theory.

Participants in the qualitative study pointed out that SIA could provide valuable information about potential initiatives for long-term projects and could be an entry-point into the community. The qualitative study indicates that the types of projects subjected to SIA included large water infrastructure projects, dams, electricity infrastructure, nuclear reactors, wind farms, roads, airports, housing developments, golf estates, waste sites, mines, industrial development, land restitution and casinos. Most of the projects mentioned have a significant construction period, and may cause social impacts in the operation phase, meaning that there is potential for long-term community involvement.

Several of these developments address structural issues such as water and electricity supply, waste management, creation of infrastructure, housing and transport, all that impacts on equality of opportunity. The proponent for these studies is often the government, and it can be argued that the creation of the infrastructure is contributing to social development and the establishment of the social protection floor. This places SIA practitioners at the forefront of development and provides them with the opportunity to identify the relevant social development practitioners, such as social workers, working in the potentially affected areas early in the process. If no social development practitioners are active in the community, SIA practitioners can link the affected communities with the relevant professionals. Early involvement of social development practitioners will give them more leverage to manage the potential social change, enhance benefits, potentially address existing inequality and avoid future inequality. Managing social change and addressing inequality, especially if the proposed development project may result in cumulative impacts, requires SIA practitioners to engage with other professionals and to refer relevant aspects to the most appropriate profession to deal with the aspect in question, e.g. social workers. This resonates with the multi-faceted and multi-sector approach required to ensure social development (Gray, 1996:9; Patel et al., 2012:215).

Other projects mentioned by participants are focused more on pure economic development aimed at profit such as mining, industry and commercial developments. The empirical study indicated that such profit-driven projects are more inclined to contribute to economic development processes within communities, skills development and job creation than infrastructure projects. This may be attributed to legal and Corporate Social Investment (CSI) requirements for industry and to the fact that the proponent of the study is not a government department. SIA practitioners have the opportunity in these developments to assist developers to go beyond impact assessment and contribute to social development. In this way, SIA practitioners can ensure that economic development results in real positive improvements in the quality of life of the poor through initiating empowering social programmes and administrative arrangements (Gray, 2006:S56). SIA practitioners need to act as change agents to ensure that a sustainable way of thinking becomes engrained in project development in order to ensure social development outcomes (Aucamp et al., 2011:56).

Rowan and Streater (2011:218) state that there are benefits for developers in fostering mutually beneficial relationships with communities, and that measures to enhance social environment are more effective if they relate to project activities and objectives, for example if an electricity distribution project contributes to electrifying local villages as part of the project benefits. This again highlights the potential for SIA to act as a form of linking social capital and to address structural inequality. One of the areas with the most potential for successful connections is the linking of the private sector with communities. The relationship between SIA and the private sector, and the potential of harnessing this relationship will be discussed under Theme 4.

7.2.4 Theme 4: SIA practice and its relationship with the private sector

Theme 4 explores the relationship between SIA practice and its relationship with the private sector. The private sector includes all privately owned or controlled companies, organisations and entities (Agrawala, Carraro, Kingsmill, Lanzi, Mullen & Prudent-Richard, 2011:13). It does not include other private actors such as individuals or households (Agrawala et al., 2011:13), which form part of civil society. When used in this study, the term *private sector* therefore refers to large corporate organisations, mining, commercial, industrial and profit-generating organisations in general. The empirical study reveals some positive and negative aspects in the relationship between SIA and the private sector, relating to the value of SIA as a business tool, constraints affecting the relationship, and issues around the mitigation, monitoring and management of social impacts which will be discussed next.

7.2.4.1 Using SIA as business tool to benefit the private sector

Participants in the qualitative study indicated that SIA is a tool that can be used to benefit both business (private sector) and civil society in a number of ways. They viewed assisting developers to comply with legal requirements as one of the main functions of SIA. The quantitative study confirms that minimum legal standards are addressed in SIA reports. Legal requirements that pertain to the environmental management field in South Africa relate to the following acts: National Environmental Management Act 107 of 1998; National Water Act 36 of 1998; Mineral and Petroleum Resources Development Act 28 of

2002, and Development Facilitation Act 67 of 1995, inter alia (for a detailed discussion see Chapter 4, Section 4.3).

Although SIA assists developers to comply with legal requirements, participants indicated that it often ends up being little more than a rubber stamping process. Harvey and Bice (2014:328) support this finding by describing their experience of regulatory SIA as “a permitting hurdle rather than an integral part of operational planning and management, let alone a tool for democratic development”. Using SIA only for permitting purposes dilutes the potential positive contribution it can make to business and to social development. The data shows that SIA in South Africa does not seem to go much further than compliance with the minimum legal standards, despite many potential advantages. Esteves et al. (2012:36) list eight benefits for business if social impacts are assessed and managed efficiently:

- Better chance for project success and more certainty about project investments;
- Prevention and decrease of social and environmental risks and conflicts faced by proponents and communities;
- Early identification of issues reduces costs and allows unavoidable costs to be included in feasibility assessments and project planning;
- Enhanced planning for social and environmental infrastructure;
- Informing and including internal and external stakeholders and assisting in developing trust and mutually beneficial futures;
- Better quality of life for employees and attracting and retaining skilled workers;
- A positive legacy past the life of the project; and
- An improved competitive advantage through better social performance and corporate reputation.

The first two benefits referred to by Esteves et al. (2012:36), namely project investments and risk identification, were mentioned in the qualitative study. Participants linked SIA with CSI associated with project investments and indicated that the private sector could

use SIA to influence their CSI programmes and make an investment in sustainable community development. Apart from the aspects listed by Esteves et al. (2012:36) above, SIA can contribute to social and environmental justice by ensuring benefits and risks are distributed fairly through a society; local residents participate fully in environmental decision-making; local culture, traditions, knowledge and way of life are acknowledged; and local communities and individuals are assisted to make effective and successful choices (Dominelli, 2012:98; King, 2012:464).

Participants indicated that SIA can be used as a planning tool and inform the design of CSI initiatives, as the effectiveness of CSI projects are often diminished because they do not properly address the needs of communities. This highlights the importance of not only SIA practitioners, but also social workers to become involved in the process, since social workers are trained to promote active citizenship and assist communities with participation in development (Lombard & Twikirize, 2014:318; Patel & Hochfeld, 2013:692).

The participants identified certain challenges with linking SIA to CSI namely: there should be a clear distinction between mitigation of social impacts and CSI as the purpose of each concept is different; CSI are often handled by different departments within client organisations; SIA has a project-specific focus and is not well-equipped to deal with cumulative impacts, and CSI initiatives might be seen as a way to buy goodwill from communities which does not sit well with the independence requirement of SIA. Participants indicated that lines between CSI and SIA mitigation seem to blur from time to time, but with CSI being associated with a corporate function and SIA with a technical function, these processes are mostly handled separately. A social development approach to SIA, involving multiple stakeholders and a multi-sectorial approach (Midgley, 2014:14), could assist with addressing these issues, as it places people in the centre of development, focussing the outcomes to an increase of wellbeing and capabilities of impacted communities. By doing so, a number of secondary challenges such as addressing cumulative impacts, independence and ownership of initiatives would also be addressed.

The results of the quantitative study indicate that the energy and mining sectors are the main contributors to skills development, job creation and economic development initiatives. This can be ascribed to the regulatory requirements in the form of SLPs that are associated with these industries, as discussed in Section 7.2.1.2 above. Skills development, job creation and economic development initiatives are innate to social development and encourage the development of capabilities amongst the poor in order to secure livelihoods (Patel & Hochfeld, 2013:693). Given that this finding is based on the review of SIA reports, and not SLP reports, it can be concluded that SIA assists with compliance with the SLP requirements, which includes requirements for local economic development and investments in the host communities.

The role that SIA can play in risk assessment, a further benefit for business, was highlighted in the qualitative study. In an unequal society such as South Africa (see Chapter 3, Section 3.3) social risk and conflict may have severe implications for the private sector and communities alike, as can be seen in the frequent labour unrest in the mining sector, primarily fuelled by structural inequality. Participants indicated that SIA is an important tool in the management of risks to companies, since it assists with understanding the context where activities will take place and the dynamics of communities. This finding is supported in the literature. Vanclay and Esteves (2011a:10) describe SIA as an investment in risk management. Risk management does not only benefit business, but also ensures environmental and social justice in affected communities (Dominelli, 2012:98; King, 2012:464). Kemp (2011:27) underlines the importance of presenting SIA findings into risk management language to ensure the private sector can relate to SIA within their existing management frameworks. This concurs with one of the roles for the SIA practitioner that was identified in the qualitative study, namely the role of translator between communities and the private sector. However, the relationship between SIA practitioners and the private sector is not without its caveats, and the next key finding will discuss these constraints in more depth.

7.2.4.2 Constraints affecting the relationship between SIA and the private sector

The discussion under 7.2.4.1 above demonstrates that the private sector views legal compliance as one of the main purposes of SIA. The empirical study shows that this view from the private sector seems to be misguided. Participants were critical towards regulatory SIA and indicated that the private sector undermines SIA by doing it just for compliance purposes. It emerged from the data that SIA is sometimes not considered a useful tool, but done because it “looks good” and creates a perception that the developer cares about the people. Participants were of the opinion that the business objectives of meeting minimum requirements and SIA objectives of meeting international best practice and protecting the interest of the community are often in direct competition with each other. Harvey and Bice (2014:328) support this finding, stating that regulatory SIA focuses more on compliance with global practices than on focussing on exploring local concerns and objectives. Community members are often seen as environmental objects, assumed to be submissive and vulnerable (Harvey & Bice, 2014:328). The way the private sector acts towards communities in these situations is alienating; it takes away the community’s right to self-determination and marginalises them even further from the private sector (Harvey & Bice, 2014:328). This may result in human rights infringements, as the principles associated with environmental justice, namely full participation in decision-making and informed choices are affected (Dominelli, 2012:98). In contrast, if communities are recognised as key stakeholders, consulted regularly, and included in discussions about impacts, it results in better company-community relations and more sustainable long-term outcomes (Harvey & Bice, 2014:328).

There seems to be uncertainty about the boundaries between the involvement of the SIA practitioner and the involvement of the private sector in the impact assessment phase of development, as participants in the qualitative study indicated that proponents often expect SIA to deliver on aspects that are not the responsibility of the SIA practitioner, but that of the proponent or the government. Wong and Ho (2015:130) state that one of the roles of an SIA practitioner is to coordinate involvement between the different parties involved in the SIA process and facilitate conversations and negotiations. The qualitative study indicates that there seem to be challenges with the coordinating role that SIA practitioners are supposed to play in the practice of SIA in South Africa. Given the

importance of involving an assortment of role players and sectors, and partnerships between the state, provincial government and all other stakeholders in social development (Gray, 1996:9; Patel et al., 2012:215), it can be argued that challenges in the coordinating role of the SIA practitioner will stand in the way of social development outcomes.

Participants reported that communication amongst different role-players in SIA is problematic and the weak communication results in challenges such as role-confusion, timing issues, misuse of SIA, misinterpretation of scope and lack of integration between the different disciplines involved in the SIA field that can be avoided. This may be attributed to SIA being seen as the “lesser sibling” of EIA in South Africa, with the EIA system being greatly biased towards the biophysical environment in terms of regulations, guidance and practice (Hildebrandt & Sandham, 2014:21). Du Pisani and Sandham (2006:713) observe that integration of impact assessments may not be a big challenge in South Africa, since there are seldom several social scientists involved in an EIA, except in very large-scale projects. The researcher does not agree with this observation, since her experience in practice, having conducted more than 100 SIA studies in the past decade, has shown that there are usually at least three social scientists involved, namely the social specialist, the economist (usually specialising in socio-economic studies) and the heritage specialist. In addition, visual and health studies are also included as part of the specialist study bouquet from time to time. Experience in practice therefore supports the observations of the participants that integration is a challenge. The fact that most biophysical impacts have social dimensions must also be considered when integration of impacts is considered (Slootweg, Vanclay & Van Schooten, 2003:66).

The finding related to the misinterpretation of scope and timing issues resulting in challenges to the practice of SIA is confirmed in the literature. The focus or scope of SIA has been identified as a challenge in practice, with a too narrow scope being more common (Du Pisani & Sandham, 2006:714). The reasoning behind practitioners using a too narrow scope is the tendency to meet only regulatory requirements, and trying to minimise cost and time spent on assessments (Du Pisani & Sandham, 2006:714). Participants in the qualitative study expressed their concern about the limited time and

budgets allowed for SIA studies. They indicated that the long-term involvement of SIA practitioners is imperative to add more value and to contribute to the development agenda, something that the once-off SIA process could not do. Social development recognises development as an on-going process, and involving different phases, all of which need the input and participation of community members (Maistry, 2012:34). SIA practitioners are in a good position to facilitate the participation of the community, especially if they engage with NGOs and other organisations or professionals in the community that are already involved in social development initiatives, such as social workers.

The international community seems to share the concerns of the participants about timing and resources. It is reported that the resources devoted to SIA are relatively small in comparison to the biophysical assessment process (Esteves et al., 2012:36; Parsons & Moffat, 2014:275). Harvey and Bice (2014:328) argue that time and cost often constrain efforts to involve communities and technical people more in the SIA process. Parsons and Moffat (2014:275) elaborate further on the time-issue, by pointing out that traditionally SIA is conducted once prior to development taking place, and remains unchanged despite the unavoidable fluctuation associated with the development cycle, ignoring the fact that SIA, as social development, is both a process and an outcome (Midgley, 2014, Vanclay et al., 2015). Harvey (2011:xxxii) criticises SIA as presenting a point in time and failing to create a system that can consider changing conditions. However, longitudinal models for SIA that take the evaluation, monitoring and management of social impacts in consideration are emerging (Parsons & Moffat 2014:275) and this requires longer-term involvement of SIA practitioners. This is a clear opportunity to include social development outcomes in the SIA process. Du Pisani and Sandham (2006:716) recommend that SIA should adopt a strategy that can anticipate and adapt to change. When longer-term involvement of SIA is considered, the issues around the mitigation, monitoring and management of social impacts must be interrogated. Sub-heading 7.2.4.3 below will discuss the findings around these aspects.

7.2.4.3 Issues around mitigation, monitoring and management of social impacts that stands in the way of social development outcomes

Participants in the qualitative study acknowledged the importance of mitigation, monitoring and management of social impacts, but identified it as a particular weakness of current SIA practice in South Africa. Theoretically mitigation, management and monitoring are part of the SIA process, but management and monitoring specifically received little attention in practice until recently. SIA has historically been regulated as a once-off, point-in-time assessment document (Franks & Vanclay, 2013:41), rather than a process instated for the lifetime of a project. It is predominantly conducted in a regulatory context as part of the EIA process, which may explain the lack of focus on the management and monitoring of social impacts, as numerous social aspects seem to be diluted in the EIA studies (Hildebrandt & Sandham, 2014:21). This does not bode well for social and environmental justice, or social development, as the social patterning of costs and benefits would therefore not be explicitly managed and monitored from a social perspective throughout the project cycle (Walker, 2010:312). While SIA is still used and regulated as a point-in-time assessment, it will be limited in its usefulness to contribute to social development, which is both a process and an outcome, and can therefore not be achieved by a single short-term intervention (Estes, 1998:2; Lombard, 2008:159; McBride, Benitez & Danso, 2003:1).

Participants in the qualitative study pointed out that an SIA should recommend a management/monitoring tool that applies to the construction and operation phase. They indicated that a mitigation plan and monitoring and evaluation measures form part of the SIA process that they follow. This is a true reflection of SIA practice, as was confirmed in the quantitative study, where 11 (73%) of the reports referred to the monitoring of mitigation measures. However, this does not mean that it is always done efficiently, as Hildebrandt and Sandham (2014:23) found in a review conducted on SIA report quality in South Africa, that alternatives and mitigation were the areas with the poorest performance in SIA reports. This implies that the weakness of mitigation, monitoring and management of social impacts can at least partially be attributed to the manner in which it is communicated in reports, and that the private sector should not carry all the blame. SIA practitioners should therefore be made aware of the disconnect between their

intentions when they produce reports and the real potential of human rights infringements that may result due to weak mitigation, monitoring and social impact management measures.

Participants in the qualitative study were of the opinion that developers do not take ownership of social management plans. Franks et al. (2009:40) report that there is frequently a lack of integration between SIA and social impact management, often because the SIA is conducted by external consultants for regulatory purposes, and the management of social impacts falls within the ambit of the project developer and are managed in-house. The management of social impacts requires coordination across the operation, but this frequently fails to happen and remains the responsibility of a small section of the business (Franks et al. 2009:40). It can be argued that social impact management not only requires coordination across operations, but also across other role players such as local government. This coordination is especially important if the required outcome is social development, as a multi-faceted approach is intrinsic to social development (Midgley, 2014:14).

In contrast, Harvey (2014:11) warns against the one-sided delivery of programmes that are not related to the company's core business, and/or implemented by outsiders or company people who are isolated from the rest of the company. He recommends that internal business activities must be aligned with the achievement of human and social development goals to ensure greater success (Harvey, 2014:11). If Harvey's (2014:11) argument is accurate, it can be reasoned that unless the company buys in to a multi-party approach to mitigation, social development outcomes would be unlikely, since companies in question would only uphold initiatives while they are in business, and the end result would not be sustainable. It seems as if companies do not take ownership of social management plans because they are too far removed from their core business, and therefore they do not have the expertise or inclination to give attention to them, and they do not have the skills or receive the necessary guidance to assist them with achieving social development outcomes.

Participants in the qualitative study indicated that there is a definite lack of enforcement of social mitigation/enhancement measures. Du Pisani and Sandham (2006:716) confirm

that SIA does not form part of longer-term environmental processes in South Africa, and that post-implementation monitoring and auditing of social impacts are not legally enforced, although it is a legal requirement to appoint an environmental control officer (ECO) to ensure that the conditions of authorisation under the National Environmental Management Act 107 of 1998 as spelled out in Regulation 543, 37.1 d ii are met. Social aspects are seldom considered by ECOs as the focus is on the biophysical components of sustainability (Wessels, Morrison-Saunders & Retief, 2015:182). It appears that unless social management and monitoring is imposed in one way or another, or it is redirected towards explicit social development outcomes, it will continue to be a weakness in the SIA process.

The qualitative study shows that project proponents on their own are not well equipped to make sustainable contributions, except in large-scale projects. Participants indicated that it is therefore important to involve all parties in a collaborative planning process to ensure sustainable outcomes. The findings of the quantitative study confirm that this is implemented in practice, since collaborative planning involving multiple stakeholders are recommended in the majority of the reports (see Chapter 6, Section 6.4.2). This is in line with social development practice that requires a collective approach to planning involving several stakeholders (Gray, 1996:9; Patel et al., 2012:215). Despite this finding, the quantitative study shows that the weight of the responsibility for carrying the costs for the mitigation was on the proponent alone (see Chapter 6, Section 6.4.3). The quantitative results indicated that 11 (73%) of the studies recommended mitigation that will only be successful as long as the proponent funds it. Such an approach will not result in social development outcomes, and is not sustainable. The implications of giving the sole financial responsibility to project proponents are that these proponents are often left with significant financial obligations to implement mitigation measures that may not necessarily be their responsibility. Holm et al. (2013:219) stress that SIA should not require companies to provide or fund a service that is normally the function of government. In South Africa, it is often tempting to get these funds or services from external companies, since poor project planning, management and lack of capacity to execute plans leads to under- or over-spending of budgets on local municipal level, causing structural inequality. The result of this weak financial management is that the

funds allocated to service delivery and infrastructure are not spent astutely according to demand (Managa, 2012:3), and as a result the local communities suffer. Social impact management strategies could assist with reaffirming the role of government in providing these services (Franks & Vanclay, 2013:41; Holm et al., 2013:2019). The private sector needs a framework to identify, assess and manage social impacts in their control and sphere of responsibility (Franks & Vanclay, 2013:41; Holm et al., 2013:219). It is important to consider that social impact management is only one aspect of a company's social performance (Holm et al., 2013:219; Parsons & Moffat, 2014:273). Aspects such as community engagement, benefit sharing, social return on investment, social auditing, social licence to operate, stakeholder engagement and grievance management also form part of the social performance package and can potentially contribute to the social development of communities in project-affected areas as will be expanded on the paragraph below (Holm et al., 2013:219; Parsons & Moffat, 2014:273).

The on-going monitoring, management and evaluation processes encouraged by contemporary SIA promotes the nurturing of relationships with affected communities, which in turn assists with the achievement of a social licence to operate (Parsons & Moffat, 2014:276). It also contributes to other aspects included in the social performance packages as identified by Holm et al. (2013:219) and Parsons and Moffat (2014:273). On-going monitoring, management and evaluation processes will also contribute to social development outcomes, as it will allow for adaptive management as the project progresses, ensuring the wellbeing of people is promoted throughout the process (Midgley, 2014:17). Efficient monitoring and management processes will therefore be beneficial to the private sector to ensure positive outcomes for all parties concerned.

7.2.5 Theme 5: Professional development in the SIA field required to strengthen and improve SIA practice

Aspects around professional development in the SIA field required to strengthen and improve SIA practice featured strongly in the empirical study. The findings indicate that there is a need amongst SIA practitioners to engage with a community of professionals, and for more guidance about certain aspects of SIA. These findings will be next discussed under two key findings, namely the need for a professional body to advance SIA practice,

and the need for SIA guidelines to guide SIA practitioners, and inform other role players in the SIA field.

7.2.5.1 Need for a professional body to advance SIA practice

The participants in the qualitative study indicated that SIA practitioners need a professional body that can look after their interests and advance the practice of SIA. Du Pisani and Sandham (2006:713) support this finding and declare that as long as SIA practitioners are not legally required to register with a professional body there will always be ambiguities about who should take the lead in SIA. Key recommendations from Du Pisani and Sandham's assessment of the performance of SIA in the EIA context in South Africa include a system of mandatory registration for SIA practitioners and specialised accredited training programmes (Du Pisani & Sandham 2006:720). Aucamp et al. (2011:55) echo this view and identified an institutional home for SIA that includes professional registration and continual professional development, as changes required in SIA to ensure more sustainable outcomes. Barrow (2000:71) states that professional accreditation and monitoring of practitioners would improve the practice of SIA by establishing international standards, which will improve quality and consistency, and professional ethics. It will also assist with ensuring SIA results in social development outcomes, as there will be a dedicated body to develop this potential.

In order to attain professional certification, as is an aspiration of some participants in the qualitative study, SIA would need to be classified as a profession. Whether SIA can be classified as a profession is debatable and depends on the definition used to describe a profession, since interpretation of the concept is broad (compare Adams, 2010; Brante, 2011; Evetts, 2013; Saks, 2012 and Theletsane, 2013). The dominating definition of a profession seems to include a list of attributes such as a body of knowledge, extended education, examinations, licensing, a specific association or organisation, various types of control, community of practitioners, work for the common good, autonomy and confidentiality (Brante, 2011:5). Based on Brante's definition (2012:5) SIA does not meet all the requirements to be classified as a profession, but there are indications that SIA is moving in that direction. Esteves et al. (2012:34) describe SIA as "...a field of research and practice, a discourse, paradigm or sub-discipline in its own right". There is an established

body of knowledge about theory and methods, a collection of tools, accrued practical experience, insight and recorded case studies, as well as international principles describing the values of SIA, whilst the International Association for Impact Assessment provides SIA researchers and practitioners with a professional home (Esteves et al., 2012:34). Some of the attributes of a profession are therefore already present in SIA. It must also be considered that the definition and requirements to be a profession are changing, as the nature of professions vary across time, place and field and over-arching structural qualities might be more appropriate than a list of qualities (Adams, 2010:53). Creating closer linkages between SIA and social development may advance the aspirations of the SIA community to be classified as a profession, given that social development is already affiliated with social work, an existing profession with their own council, the South African Council for Social Service Professionals (Patel, 2008:74).

Another important consideration when investigating the professionalising of SIA is the fact that environmental assessment professionals (EAPs) in South Africa are busy with a process of regulation that includes certification (Mostert, 2014:26). The National Environmental Management Amended Act 25 of 2014 makes provision for a professional certification body in Section 24H. The only certification body that could possibly accommodate SIA practitioners is the Certification Board for Environmental Practitioners in South Africa (EAPSA), but the requirement for a degree in environmental practice (EAPSA, [sa]) will exclude many SIA practitioners. According to EASPA, [sa] registration will initially focus on the certification of environmental assessment practitioners, implying that it will later extend to the full spectrum of environmental practitioners, which includes SIA practitioners. It appears as if there may be future opportunities for SIA practitioners to be certified, but at the time of writing there are no registration opportunities available to practitioners, unless they can register with a professional body associated with their primary qualifications such as the South African Council for Social Service Professions in the case of social workers.

Participants indicated that there is a need for training and professional development opportunities amongst practitioners. This finding is supported in the literature (Aucamp et al., 2011:55; Du Pisani & Sandham 2006:713), but without a professional body or

association that champions these activities, such opportunities may not transpire. Given the links between SIA and social development such as people-centred development; participation; social and environmental justice; multiple role players; potential for partnerships; and the promotion of wellbeing that have been identified in this study, it can be deduced that SIA practitioners may benefit from training and professional development in the field of social development. The empirical study indicates that apart from the need for training and professional development, the practice of SIA would also benefit from guidelines as will be discussed next.

7.2.5.2 Need for SIA guidelines to inform all the role players in the SIA process

The empirical study reveals that SIA practitioners come from a variety of disciplines. Participants indicated that this adds depth to the field, but also underlines the need for guidelines that will ensure a consistent approach. Esteves et al. (2012:34) state that SIA is an inter- or trans-disciplinary social science that includes many fields such as psychology, sociology, anthropology, development studies, social and cultural geography, economics, human rights, law and political science, amongst others. The inter- or trans-disciplinary nature of SIA was reflected in the qualifications of the participants in the empirical study that included economists, lawyers, geographers, anthropologists, psychologists, town planners, sociologists, natural scientists, communication specialists, demographers, political scientists, statisticians, project management specialists, tourism specialists, heritage specialists and social workers. Given this assortment of occupations, the need for guidance to conduct SIA is clear.

Participants expressed a need for guidance on SIA on a number of levels. The first level is from a proponent's perspective that draws up a Terms of reference. Esteves et al. (2012:40) support the need for guidance about SIA for role players who commission SIA, as they identified limited understanding and skills amongst this group as a major barrier to innovative, positive development outcomes. Therefore, if a proponent comprehends what value SIA can add, and what its limitations are, it will be easier to direct funds and resources towards SIA and decide on desired outcomes.

The second level where participants indicated a need for guidance is from an EIA practitioner's perspective to ensure that consultants are aware of minimum

requirements. Hildebrandt and Sandham (2014:24) ascribe the poor performance of SIA reports in their study partially to the lack of understanding of the need for SIA by developers, EIA practitioners and authorities, and lack of skill for conducting and reviewing SIA. Better guidance about SIA amongst EIA practitioners should therefore lead to better quality SIA reports, as it will assist with focussing SIA studies within the EIA process.

The third level where participants indicated a need for guidance is at the level of SIA practitioners to guarantee that basic topics are included in reports. Du Pisani and Sandham (2006:720) indicate that a policy framework and guidelines are needed to improve the practice of SIA in South Africa. Aucamp et al. (2011:55) support this by recommending that there should be regulation for SIA – either through legal processes or international best practice standards. The quantitative study reveals that international best practice guidelines were seldom considered in SIA reports, and local guidelines were considered in about half of the studies. This is incongruent with the findings of the qualitative study where most of the participants in the interviews indicated that they focus on international literature and guidelines to direct their work.

The fourth level where participants indicated a need for guidance is for standard reviewing guidelines and a shared understanding of SIA. The participants in the qualitative study indicated two types of review, namely review by authorities and peer reviews. In this regard they said that peer review processes should be prescribed to remove bias. There are some inherent challenges in evaluating SIA, as it has to be considered that SIA takes place in different contexts and for different reasons (Vanclay, 2003:7). Reviewers evaluating SIA should consider the intended purpose of the specific SIA (Vanclay, 2003:7). As far as authority review is concerned, it is suggested that the limited capacity of authorities and resources available for quality control has a negative impact on the standard of SIA, resulting in SIA reports that meet only minimum requirements (Esteves et al., 2012:36).

The last level where participants indicated a need for guidance is for authorities to inform them what critical aspects should influence their decision-making. Esteves et al. (2012:37) state that authorities could assist with improving the quality of SIA by formulating the

terms of reference for SIA studies better, as it should include spatial, temporal and stakeholder distribution of impacts and benefits. Authorities should also enforce better integration amongst different specialist studies and ensure key issues are addressed (Esteves et al., 2012:37). The discussion under Theme 2 (see Sections 7.2.2.1 to 7.2.2.2) of this chapter indicates that South African authorities would not be able to fulfil this role unless they receive guidance and capacity building from external partners, such as SIA practitioners.

Participants interviewed for the qualitative study indicated that SIA guidelines would be preferred above regulations. This is in contrast with participants from the World Café, who could not reach consensus on whether SIA should be legislated. It should be considered that the establishment of a professional body would require regulation of the profession, therefore it seems as if the SIA practitioners would still need to conclude the debate about guidelines versus regulation before they can advance on the path towards registration. Hildebrandt and Sandham (2014:24) state that the lack of regulatory prescription regarding SIA has a positive side, as it forces SIA practitioners to develop their practice continually in striving to meet international best practice. Their research found that SIA performance has improved in spite of the absence of explicit regulatory requirements (Hildebrandt & Sandham, 2014: 24).

Participants in the qualitative study indicated the importance of a consistent approach to SIA in South Africa. A recently published (April 2015) international guideline for SIA under the auspices of the International Association for Impact Assessment may partially address this need (Vanclay et al., 2015:i). The purpose of this document is to provide advice to various stakeholders about good practice SIA and social impact management (Vanclay et al., 2015:i). This document aspires to provide a much-needed benchmark for SIA practice across the globe, and will address many of the concerns highlighted above. However, the new SIA guidance document (Vanclay et al., 2015) does not give explicit guidance on how to ensure social development outcomes as part of the SIA process, although human rights, the capabilities approach, sustainable social development and the post-2015 sustainable development goals are important considerations in the document (Vanclay et al., 2015:10-13). However, it must be noted that it is an international guideline, and

therefore many aspects are addressed generically. There is therefore scope for SIA practitioners in South Africa to adapt it to ensure it is locally relevant.

7.3 Summary

The key findings of the study were interpreted under five themes in this chapter, namely the potential contribution of SIA to social development outcomes; the relationship between SIA and the government, the relationship between SIA and communities; the relationship between SIA and the private sector; and professional development in the SIA field. The theoretical framework of the study, social development, was used as a lens to reflect on these five themes.

The findings indicate that SIA practitioners need to be capacitated in social development theory to ensure SIA contributes to social development outcomes. Although their understanding of areas of social development is lacking, there are clear connections between SIA practice and social development such as people-centred development; participation; social and environmental justice; multiple role players; potential for partnerships; and the promotion of wellbeing. Therefore, despite the limited understanding about social development theory, there are indications that SIA contributes to social development, and that there are opportunities to capitalise on these contributions to ensure even better outcomes. The findings indicate that in order for SIA to contribute to social development, some changes in the practice of SIA will be required.

The findings confirm that the government is a key role player in the SIA field, but that SIA does not reach its full potential as decision-making instrument. There are some challenges with capacity and skills amongst government officials. This is a matter of concern given South Africa's aspiration to be a developmental state, and the role that the government should play in social development as spelled out in the White Paper for Social Welfare (RSA, 1997) and the White Paper on Local Government (RSA, 1998b). The findings also point out that SIA requires corporative governance and the involvement of government departments other than just the Departments of Environmental Affairs or Mineral Resources, such as the Department of Social Development. The findings indicate that the existing authorisation process for SIAs is inadequate and is not likely to assist with social development outcomes.

The findings affirm the importance of community participation in the SIA process. It is at the centre of SIA practice and meaningful participation of communities was identified as imperative to ensure social development outcomes. The findings confirm that SIA has the potential to act as a link by connecting communities with other role players. Therefore, SIA can potentially contribute to the post 2015 development agenda.

The results of the study show that SIA has significant potential to act as a business tool, and that one of the main reasons for conducting SIA is to ensure legal compliance. Some constraints in the relationship between SIA and the private sector limit its usefulness as a social development tool. The findings indicate that these constraints can be attributed to SIA practitioners and the private sector alike. There are missed opportunities that can be mutually beneficial for both parties if they are embraced. Another important finding is that when SIA is used only as a point-in-time assessment, its value and usefulness as a tool for social development decreases. The study identified clear benefits in involving the private sector with evaluating, monitoring and managing social impacts in the long term, but warns against allowing the private sector becoming a “surrogate government” (see Chapter 6, Section 6.2.2).

The findings indicate that there is a need for professional development in the SIA field, with better guidance and regulation, although the exact nature is still a discourse. The guidance is required for all parties involved in the SIA field, from clients commissioning the studies to EIA consultants and authorities, and finally to SIA consultants themselves.

The next chapter concludes this study with a summary of the key findings in relation to how the goal and objectives of the study were obtained, conclusions and recommendations of the study.

Chapter 8. Conclusions and recommendations

8.1 Introduction

This chapter presents conclusions based on the key findings integrated from the literature review (Chapters 2, 3 and 4) and the empirical study (Chapters 6 and 7), and assesses whether the goal and objectives of the study have been reached using the theoretical framework (Chapter 2) of social development borrowing from theory underpinning poverty, human rights, the social protection floor and developmental social work as a lens. The chapter concludes with recommendations derived from the findings.

8.2 Goal and objectives of the study

The goal of the study was to explore SIA as a tool for social development in South Africa. The achievement of this goal was guided by the following research and sub-research questions:

- Could SIA be effectively used as a tool for social development in the South African context?

The sub-research questions that guided the researcher to answer the research question were the following:

- To what extent does the SIA methodology currently practiced in South Africa reflect social development?
- Could guidelines for SIA assist practitioners with achieving social development outcomes?

The goal was achieved through the following objectives:

- **Objective 1:** To contextualise SIA as a development tool within a social development framework.

This objective was achieved through a literature study presented in Chapter 2 that presented social development as a theoretical framework for the study, and Chapter 3 that presented SIA in the South African context. Chapter 2 commenced with a discussion

on the theory of poverty (Section 2.2) and included a section on poverty and inequality in the South African context (Section 2.2.2) to provide a background on the need for social development. Human rights (Section 2.3), developmental social work (Section 2.4), the social protection floor (Section 2.4.2) and the link between social work and the environment (Section 2.4.3) were used to inform the social development theoretical framework (Section 2.5). Chapter 3 introduced the South African context based on geography, demographics, migration and xenophobia (Section 3.3.1). It provided an overview of the importance of race and culture to provide insight in the context where SIA is conducted (Section 3.3.2). Chapter 3 included a brief orientation into the government and administration system where SIA is positioned (Section 3.4). Current international best practice in SIA was juxtaposed with the South African situation (Section 3.5). These chapters established that from a theoretical perspective SIA could potentially contribute to social development outcomes, since there are links between these fields.

- **Objective 2:** To explore the extent of the policy mandate to integrate social development issues in the environmental management field.

This objective was achieved through a literature review of the legal and institutional instruments promoting social sustainability presented in Chapter 4. The chapter presented a discussion on the Constitution of the Republic of South Africa 1996, establishing that there are constitutional rights pertaining to the social environment (Section 4.2). A review of South African environmental and social legislation confirmed the anthropocentric nature of these acts and firmly established a legal mandate to integrate social development issues in the environmental management field (Section 4.3). Other governance tools such as Local Agenda 21, Integrated Development Plans, Provincial Growth and Development Strategies, the National Development Plan and the Millennium Development Goals support the legal mandate (Section 4.4). The legal mandate is further strengthened by national and international standards (Section 4.5). This confirms that the mandate to include social development issues in the environmental field extends not only nationally, but also internationally and is supported by all spheres of government.

- **Objective 3:** To explore whether the SIA methodology currently practiced in South Africa reflects social development.

This objective was addressed through a qualitative study comprising three World Café's and 24 interviews that explored how SIA is conducted in South Africa, how effective it is as a tool for social development and how guidelines for SIA could improve the quality of SIA in South Africa (Chapter 6, Section 6.2). This was supported by a quantitative study of existing SIA reports to determine their effectiveness as a tool for social development. It establishes that there is potential for SIA to contribute to social development outcomes (Chapter 6, Section 6.3). It emerges that the relationships between communities, the government and the private sector could be leveraged to enhance the effectiveness of SIA as a tool for social development (Chapter 7, Sections 7.2.1 to 7.2.4).

- **Objective 4:** To determine whether SIA as currently practiced is effective as a tool for social development in the South African context.

This objective was achieved in Chapters 6 and 7 where the data obtained in the empirical study are presented and discussed (Chapter 6, Sections 6.1 to 6.3; Chapter 7, Sections 7.2.1. to 7.2.5). It indicates the need for guidance on different levels – proponents, EIA practitioners, authorities and SIA practitioners. The study indicated that SIA practitioners have limited knowledge about social development, therefore guidance on how to ensure social development outcomes would be required to ensure SIA reaches its full potential as a tool for social development (Chapter 7, Section 7.2.5).

- **Objective 5:** To give guidance to SIA practitioners on how to use SIA to ensure social development outcomes.

This objective is achieved in this chapter (see 8.4.1) where a strategy to implement SIA as a social development tool is suggested, based on the integrated research findings.

8.3 Key findings and conclusions

The key findings and conclusions that emerged from the study are summarised below:

- **Finding 1:** There is a link between SIA and social development which intersect strongly in the human rights arena. Social development is a desired outcome of the SIA process.

Conclusion: The link between SIA and social development has implications for the practice of SIA and social development practitioners. The practice of SIA requires some changes in order to enhance this link. SIA can potentially play a role in the protection of human rights and poverty alleviation. Business as usual will not result in strong social development outcomes. Social development practitioners such as social workers will be required to engage more with the SIA field in order to strengthen the link.

- **Finding 2:** SIA practitioners do not have sufficient knowledge about social development, and this is a hindrance to social development outcomes.

Conclusion: There is space for social development experts in the SIA field. Although some SIA practitioners have an understanding of social development, it is often theoretical. In order to enhance social development outcomes, SIA practitioners must get greater exposure to the practical side of social development. This will assist with ensuring SIA reaches its potential to contribute to social protection measures such as employment creation and infrastructure development. Training in and learning about social development with social development experts such as social workers must be encouraged to ensure SIA practitioners are aware of areas where they can be instrumental.

- **Finding 3:** SIA can strengthen the government's means to implement their social development strategies and provides a number of opportunities and access to stakeholders that can advance partnerships between role players.

Conclusion: The government needs assistance from other stakeholders to implement its social development strategies and address the inequalities in the South African society. Until now the potential of SIA to assist with this aspect has not been investigated. To

ensure sustainable outcomes the project proponent cannot work in isolation. Unless all the role-players contribute to the outcomes, success will only be guaranteed if the project proponent is involved. A single party cannot achieve sustainable outcomes that result in social development and therefore partnerships between different role-players are important. It is important that the participation and involvement of communities is not superficial or done only to meet legal requirements. Unless some power is given to communities, and their participation can influence decision-making, participation is artificial and can be seen as window dressing. Although the SIA process involves government, civil society and the private sector, it does not mean that it creates links between these role-players. Unless the SIA practitioner makes a concerted effort, no long-term relationships will be established and no partnerships will result from these links. This will be to the detriment of social development initiatives that may result from development projects.

- **Finding 4:** Using SIA only for regulatory purposes dilutes the potential value of SIA and does not enhance the social development agenda.

Conclusion: SIA is not in a position to prove its other benefits, as it remains a once-off, point-in-time assessment and is viewed as an outcome, not as a process. The current ineffective authorisation system for EIA does not allow SIA to come to its right as a tool for social development, therefore it does not contribute to sustainable development in its current format. Allowing SIA to reach its full potential will require a different type of commitment from the private sector, as it is necessary to use it outside the regulatory context as well, and in the longer term. There are financial, resourcing and timing implications. It is more likely that local economic development and community investment will be implemented if it is a legal requirement enforced for the life of the project, which it is not currently, except in the mining industry. SIA is an important tool that can assist with understanding communities better and informing development initiatives throughout the project cycle, leading to sustainable development. The government needs assistance with fulfilling their role as commissioning and reviewing partner of SIA studies. Unless government officials have a clear understanding of SIA and what they want to achieve by commissioning these studies, it is unlikely that it will be

seen as a contributor to social development outcomes. There is a need for skills development and capacity building amongst government officials. If this does not happen, the communities affected by industrial development will pay the price, as the necessary checks and balances may not be implemented, or only be implemented for a short period, due to a lack of expert knowledge on the side of the government.

- **Finding 5:** Community participation and involvement in the SIA procedure is crucial to ensure social development outcomes, equal opportunities and protect human rights.

Conclusion: Communities will not be able to participate on an equal level if they are not capacitated with the necessary training and platform from which to communicate. It is of no value if communities have the right to participate in decision-making processes, but their inputs are dismissed when they do not correspond with the agenda of the government or private sector. This may cause unintended human rights infringements on the community level. Community participation must be approached differently to ensure that the voice of communities are truly heard. This will require a shift in the power-balance and giving more agency to communities. It must be acknowledged that the innate power imbalance between civil society, government and the private sector must be accounted for.

- **Finding 6:** SIA should be used to address development challenges experienced in South Africa by applying it in a strategic manner rather than as a project-specific tool.

Conclusion: The contribution of SIA to social development outcomes are restricted by its current project-based format. In order to increase SIA's contribution to social development goals, the practice of SIA must be reconsidered. Doing SIA on a project-by-project basis is not effective and does not allow for the strategic management of social impacts. SIA will make a stronger contribution to social development if the social environment is not compartmentalised and approached in its entirety. To do this successfully, a strategic approach is required.

- **Finding 7:** Communication channels between civil society, government and the private sector in SIA processes must be improved and made more accessible to enable SIA to contribute to social development outcomes.

Conclusion: Communication issues between the different role-players in the SIA field might be attributed to the different outcomes these role-players expect of a SIA process. Unless these expectations can be aligned this issue will continue to plague SIA and be an obstacle to social development. The different receptors of SIA reports do not make this any easier, and the outcomes of an SIA is presented to different parties at different times and in different forums. This creates a breeding ground for mistrust and further miscommunication. Communities are the most severely affected in this process, since they are the receptors of the impacts. Mistrust and miscommunication on community level will hamper any attempt to social development, and can result in conflict leading to human rights infringements..

- **Finding 8:** Mitigation, monitoring and management of social impacts, is a particular weakness of current SIA practice in South Africa, and there is a definite lack of enforcement of social mitigation/enhancement measures.

Conclusion: Weakness in mitigating, monitoring and managing social impacts in South Africa can be linked to the limited capacity of the authorities, and the private sector using SIA only for regulatory purposes. The lack of capacity explains the lack of enforcement by the authorities. Given the financial implications of mitigating, managing and monitoring social impacts it is easy for the private sector to ignore this facet if there are no consequences for non-compliance. Coordinating development processes resulting from SIA will make it more practical and affordable for proponents while benefitting larger segments of communities. Social development outcomes are achieved when social impacts are mitigated and managed in a strategic manner.

- **Finding 9:** A professional body for SIA practitioners is needed to ensure practitioners are equipped to deal with issues around social development and social impacts. Training, qualifications, guidance and local best practice are some of the aspects that must receive consideration.

Conclusion: There is some ambiguity about the practice of SIA on many levels. Clearing up these ambiguities will advance the practice of SIA. As long as different role-players have different expectations it will continue to undermine the practice of SIA. It is essential that all parties involved in the different phases of the SIA process must have a communal goal regarding potential outcomes of the process, and not only promote their own agenda. International best practice must be adapted to suit the local context, without losing integrity. If best practice is applied without critically examining the local applicability, legal context and relevance, it can have negative non-intended impacts. This can be detrimental to the practice of SIA and to communities, and create a resistance to SIA in the eyes of proponents. A professional body for SIA practitioners will assist with addressing many of the issues identified in this study, such as local best practice, issues around legislation, communication issues, authorisation issues, issues with implementation of mitigation, monitoring, and management and negotiating partnerships at a high level. A professional body could assist practitioners with achieving social development outcomes by setting it as a goal for the profession.

Based on the integrated research findings (literature and empirical) the researcher concludes that in order for SIA to act as a tool for social development, changes in the practice and regulation of SIA are required.

8.4 Recommendations

The expected outcome of the study was to provide guidance on how to implement SIA as a social development tool. Based on the findings and conclusions of the study, the following strategy is proposed. The aim of the strategy is to contribute to social development, address inequality, contribute to the wellbeing of communities and assist with poverty alleviation. The strategy is presented first, followed by recommendations pertaining to the process followed by different stakeholders to implement the strategy. Section 8.4.3 presents recommendations relating to operational issues, and Section 8.4.4 closes the study with recommendations for future research.

8.4.1 Strategy to implement SIA as a tool for social development

The findings and conclusions indicate that in order for SIA to act as a tool for social development it must be approached strategically. The strategy that is recommended here defines a strategic form of SIA that also develops its potential as a planning tool for government, civil society and the private sector. This section identifies and describes the structures that should be established as part of the strategy, and briefly explain their functioning.

- **Establish a Strategic Social Impact Assessment Forum on District Municipal level to mitigate, manage and monitor social impacts.**

The findings confirm that social impacts must be mitigated, managed and monitored by multiple stakeholders on a strategic level. It further confirms that communication between the different role-players in the SIA process is problematic and that different outcomes are aspired to. Many of the challenges experienced in South Africa need high-level intervention from multiple stakeholders and as such there are government initiatives such as the National Development Plan and Millennium Development Goals that aim to address some of these challenges. The findings indicate that SIA can contribute, but there should be coordination between projects taking place in geographic areas. Initiatives must be synchronised on a broad scale to avoid the current practice of implementing mitigation measures on a project-by-project basis. The intention is that project-based SIA in its current format will fall away, with a much stronger focus on the implementation of management and monitoring measures. To allow this to happen, it is recommended that a forum that looks at SIA from a strategic level should be created. The forum should be aligned with current government structures to ensure easy integration. It is therefore recommended that the forum should be established on District Municipal level. For the purpose of the discussion the name given to the forum is the Strategic Social Impact Assessment Forum (SSIAF).

The aim of SSIAF would be to make strategic recommendations and oversee the implementation of these recommendations at District Municipality level. The roles and responsibilities of civil society, government and industry must be clearly defined to ensure each party takes responsibility for its core activities – this will prevent industry

acting as a surrogate government. The role of the forum is not to authorise development, but to make recommendations about social sustainability and impacts. It would ensure social impacts are managed on a strategic level and meet the long-term development goals of South Africa.

The SSIAF should be established as a legal entity, and all participants should have equal status. Specific outcomes of the proposed Forum should be to:

- Make strategic recommendations in line with developmental needs of the area;
- Ensure implementation of recommendations;
- Facilitate direct funding to appropriate projects;
- Act as a watchdog to ensure funds are used appropriately;
- Ensure political will to implement recommendations;
- Ensure alignment with the NDP, and therefore also with the Millennium Development Goals/ Sustainable Development Goals;
- Align similar initiatives to ensure sustainable outcomes;
- Coordinate development initiatives on a high level;
- Liaise with decision-making authorities about projects with a social impact in the geographical area;
- Review decisions of Technical Committee (see bullet below);
- Review role players contributions to the costs of mitigation of impacts;
- Review and approve Social and Labour Plans in consultation with the Department of Mineral Resources to ensure it fits with the strategic plan for the area.

The authorisation of developments would remain with the legally responsible parties in the relevant departments such as Mineral Resources and Environmental Affairs, but these departments should seek the input of the SSIAF as part of their decision making process. As such there will still be a consultation procedure with all interested and affected parties as prescribed by the relevant environmental acts (compare the National Environmental Management Act [NEMA] 107 of 1998, the National Water Act [NWA] 36 of 1998, the

National Heritage Resources Act [NHRA] 25 of 1999 and the Mineral and Petroleum Resources Development Act [MPRDA] Act 28 of 2002) to ensure legal compliance, transparency, equity and accountability. This consultation would be facilitated by the SSIAF. Social and Labour Plans, as required by the MPRDA Act 28 of 2002 should be reviewed and approved by the forum and included in the operational aspects managed by the technical committee.

- **Establish a Technical Committee to support the SSIAF with assessing impacts and implementing mitigation, management and monitoring measures.**

The members of the SSIAF will probably not be social development experts and will have other responsibilities, and therefore they may not have time to address the detailed technical requirements. It is proposed that a Technical Committee should be established to support the District Municipality SSIAF. Whereas the existing structure underpinning the SIA and EIA process holds the project proponents responsible to appoint SIA practitioners, the structure proposed here responds to the benefit of the SIA practitioners being unified under a single process with continuity and consistency between projects over time. The significant deviation in this strategy is that the SIA practitioners that were previously project specific appointments made by the proponent would now be a standing committee for the District Municipality appointed by the SSIAF.

The findings indicated that SIA practitioners do not have sufficient knowledge about social development, and that this is a hindrance to social development outcomes. The Technical Committee should therefore comprise social impact assessment specialists, social development specialists and economists, each with a portfolio that is responsible for their field of specialisation. This is to ensure that the necessary expertise required for social development is included in the Technical Committee. The committee members would be paid consultants and the funding for this would be redirected from the current spend on SIA through the EIA process and as such would be funded by both government and industry.

The role of this committee would be to identify social impacts in the geographic area it serves and this includes cumulative impacts. The Technical Committee would assess all new developments in the area and ensure that adequate consultation with affected

communities take place. The committee should suggest mitigation and management measures and monitor the implementation of these measures. The monitoring should focus on outcomes of the measures, rather than inputs in the process. The committee would also look at the unintended consequences of projects and include it in the mitigation process. The committee should be empowered to appoint implementation agents to ensure the best fit between the measures suggested and the capabilities of the party that must implement it. The best person for the particular job should be chosen and this would allow industry to focus on their core business.

This structure does not mean that industry is absolved from their responsibility to mitigate social impacts, merely that impacts will be mitigated in a more efficient and effective manner. Industry would still be able to appoint SIA practitioners for their projects to assist the Technical Committee, especially in the case of large developments that can potentially cause significant social impacts. The industry-based SIA practitioners would make presentations to the committee about project specific impacts and brainstorm with them about cumulative impacts. This should result in a short social impact assessment statement that can be appended to the EIA report and submitted to the decision-making authorities – this is in contrast with the current copious and technical reports. Before the statement is submitted it should be discussed with the local leaders and affected communities to ensure that the impacts are captured correctly. Community members may request to address the Technical Committee if they feel that the impact statement does not reflect fairly on them, and the committee may not refuse to be addressed by community members.

The Technical Committee would make recommendations about additional consultation required for the specific SIA processes. The intention is that consultation should focus on the directly affected communities to ensure that stakeholder fatigue does not impact on the participation process. The Technical Committee should work closely with the Integrated Development Planning managers in the affected municipalities.

- **Appoint a Community Relations Manager to interact directly with affected communities and act as a liaison between parties.**

The findings indicated that community participation and involvement in the SIA procedure is crucial to ensure social development outcomes. In order to facilitate this, every geographic area would appoint a community relations manager that would be a direct liaison between the communities, the Technical Committee, government and industry. If there is significant development in the area, or it is simply a large geographic area, a team of Community Relations Managers (CRM) could be appointed. The CRM must be independent, but they must have direct access to decision-makers in the private sector, government and communities to ensure that they can resolve issues quickly and efficiently. They should be relatively senior people with appropriate qualifications in the required development fields, as this is seen as a specialist function. Government and industry would fund their salaries.

- **Appoint implementation agents to implement mitigation, management and monitoring measures according to their expertise.**

The findings show that mitigation, monitoring and management of social impacts, is a particular weakness of current SIA practice in South Africa, and that there is a definite lack of enforcement of social mitigation/enhancement measures. This can be attributed to the fact that there are no champions to implement these measures. It is therefore suggested that implementation agents should implement the mitigation and monitoring measures. The Technical Committee should appoint these implementation agents. The SSI AF should approve implementation agents. The implementation agents would be non-profit organisations specialising in social and community services, members of civil society that present business plans and social businesses that have a long-term positive impact.

To ensure transparency, there should be requirements for registration as an implementation agent. The implementation agents would report to the Technical Committee. Requirements include an outcomes-based monitoring system that would enable the Technical Committee to track progress. The implementation agents would be audited on financial and practical matters once a year.

8.4.2 Recommendations regarding the processes followed by different stakeholders to implement the strategy

The proposed strategy requires reciprocal involvement of the affected stakeholders. It is not a bottom-down process or a bottom-up process, but a collaborative and participatory process. The processes required to implement the proposed strategy is illustrated as a flow diagram in Figure 8.1.

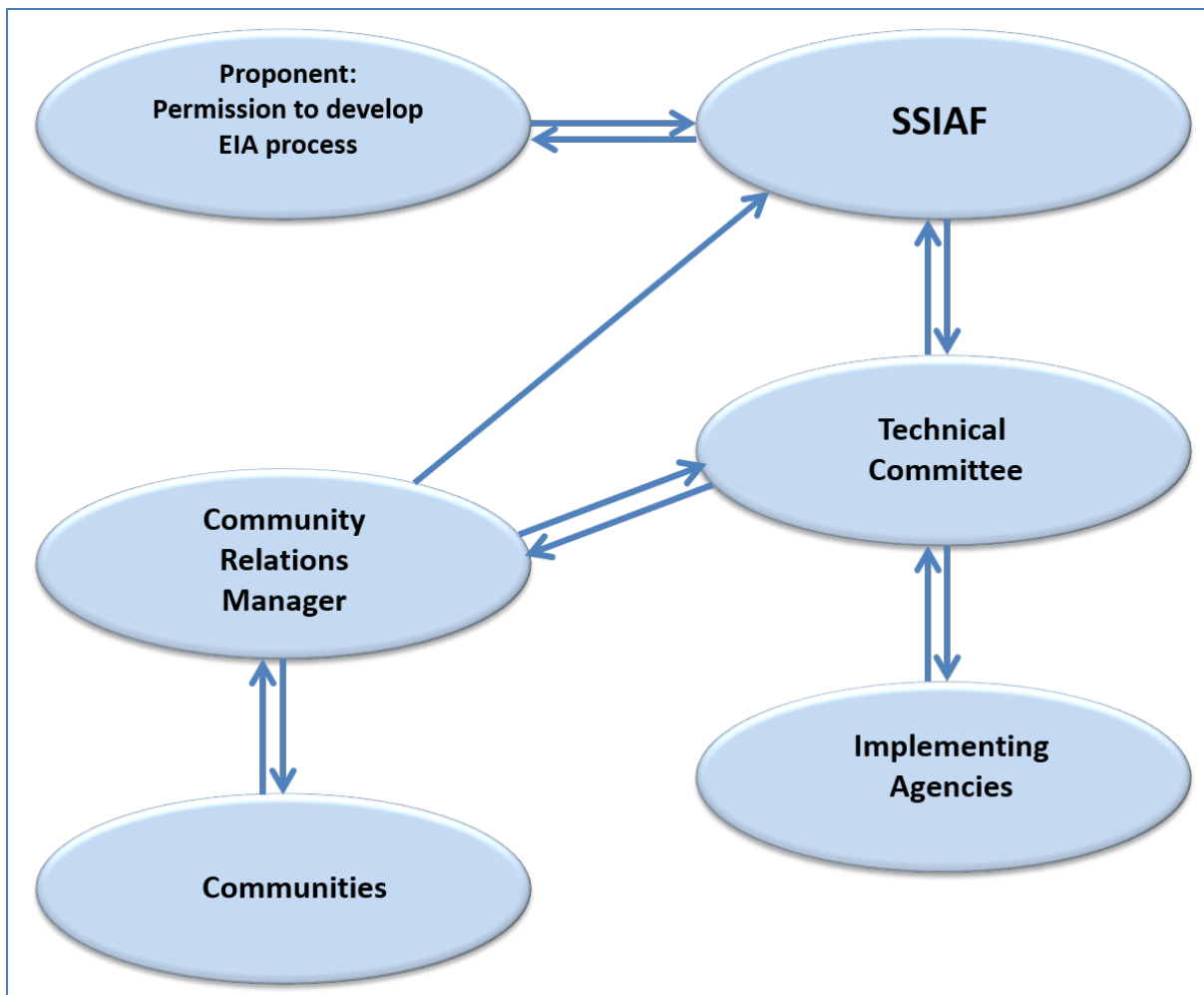


Figure 8.1: Flow diagram illustrating the implementation of the proposed SSIAF strategy

The following steps outline the processes envisaged in the proposed strategy for strategic SIA:

- A project proponent submits a proposal to the SSIAF for any development that they plan within the District Municipality.
- The SSIAF refers the project to the Technical Committee.

- The Technical Committee determines the impacts based on their insight into the cumulative impacts from other developments, as well as their experience in project implementation in the region. Community consultation forms part of this process.
- The Technical Committee makes a recommendation to the SSIAF regarding the approval or rejection of the proposal, and if the SSIAF supports a positive recommendation, the Technical Committee makes suggestions regarding mitigation, management and monitoring of social impacts.
- The SSIAF liaises with the project proponent. This is the equivalent of the EIA approval or rejection currently made by DEA, and should the project proponent dispute a negative outcome or contend the mitigation, management and monitoring terms, they would follow the appeal process described in NEMA (1998).
- Approved projects that progress to implementation would be referred back to the Technical Committee, which will inform the affected communities through the Community Relations Manager. The Technical Committee will appoint implementing agencies for the mitigation, management and monitoring functions.
- The Technical Committee informs the CRM responsible for information dissemination to, and feedback from, the communities about the implementation process. The CRM relays the information to the communities.
- Grievances arising from the community related to the implementation of the project and/or the mitigation, management and monitoring measures would be channelled through the CRM to the Technical Committee. Any grievances that cannot be resolved on this level are referred to the SSIAF. The CRM can also approach the government or private sector directly to resolve specific issues, but the Technical Committee must be informed about these interventions for the sake of continuity.

- Implementing agencies are identified by the Technical Committee and approved by the SSIAF. They report to the Technical Committee, which report to the SSIAF about the progress made by the implementing agencies.
- Once approved and appointed, implementing agencies deploy the necessary resources in order to meet the requirements set out by the Technical Committee.
- Implementing agencies report to the Technical Committee on progress on all aspects of their mandate via an outcomes-based monitoring system.
- The Technical Committee assess the performance of the implementing agencies and make recommendations to the SSIAF in this regard. The SSIAF must approve all payments, and has the right to manage the process through a judicious payment regime, as well as reserving the right to terminate the services of implementing agencies that fail to deliver.
- As decision-making is the mandate of the SSIAF all recommendations requiring changes to the agreed implementation of the project would be referred to the SSIAF for approval.
- The SSIAF formally reports to relevant stakeholders about achieving the desired outcomes set by each stakeholder group.

It is envisaged that the process outlined above will be followed when projects are initiated and when projects end, since many social impacts can occur as result of decommissioning. At the outset it is acknowledged that any change in the policy framework suggested here could only be achieved through a policy development process that would by its nature be participatory and would be led by government. Accordingly the strategy recommends a structure that responds to the project findings and might form the basis for government policy development. The outcome of the strategy envisages that SIA should evolve into a strategic process regarding social development and social impacts of developments that act in a similar way to Catchment Management Authorities that manage water issues at a regional level, as described in the National Water Act 36 of 1998 where members of the public can participate in the management of water resources that affects them.

8.4.3 Recommendations regarding operational issues

This section deals with recommendations regarding operational sustainability once the strategy is implemented. It includes recommendations regarding the governance of the SSIAF, a funding model, capacity building and a feedback system. It is acknowledged that recommendations regarding operational issues will evolve with the strategy and that it can be expanded.

- **Governance of the SSIAF**

The governance of the SSIAF would need to be done in a transparent and effective manner to ensure its credibility. This is particularly important in the light of challenges such as corruption and divisions in society and the current mistrust in the government (see Chapter 2, Section 2.2.2 and Chapter 3, Section 3.4). The SSIAF should be managed in a democratic manner to ensure that more powerful participants (e.g. government or industry) do not intimidate less powerful participants (community members or vulnerable parties).

The SSIAF should consist of representatives of the following groups:

- Civil society
 - NPOs
 - Community leaders or representatives
- Industry
 - SIA experts
 - CSI personnel
- Government
 - Provincial government
 - District government
 - Local government
 - Department of Social Development
 - Department of Environmental Affairs

- Department of Mineral Resources
- Department of Basic Education
- Department of Health
- Department of Energy
- Department of Labour
- Department of Human Settlements
- Department of Rural Development and Land Reform
- Include other relevant government departments according to the expertise needed to evaluate applications, e.g. Agriculture

The groups that are suggested above are those contributing in the existing EIA domain. Current positions may need to be redefined to ensure that the job description includes the responsibilities associated with the SSIAF. In some instances, new positions may need to be created in government and industry. Suitably qualified people with an understanding of social development and social impacts should be appointed to ensure the effective functioning of the SSIAF.

A transparent and accountable process should be followed to ensure that financial mismanagement does not take place. This is deemed important in the current South African context where corruption and crime are significant social challenges (see Chapter 3, Section 3.2.2). All finances should be audited and placed in the public domain.

Independent arbiters should be appointed to act in case of disputes, as there is not sufficient trust in the government to fulfil this role. The forum should be an instrument of governance, and it should form part of the responsibilities or job descriptions of the participants.

- **Funding model**

The findings indicate that the government does not have sufficient means to implement their social development strategies, and that partnerships with the private sector is required to achieve this. It is therefore recommended that a social development fund should be created for the social development initiatives. Government and industry should

contribute to the fund. Industry should be offered tax concessions on their contributions to the fund and should be able to use it to cover their CSI requirements. Industry should be required to contribute the cost of social mitigation in relation to their activities. The costs will be determined proportionately and agreed by the SSIAF. The responsibility to mitigate their impacts will remain with industry, but the implementation of the mitigation measures will be done by organisations whose core business is dealing with specific social impacts e.g. HIV/Aids. This will ensure that the money spend by an organisation is used more efficiently. The government should contribute their normal spending on aspects such as housing, schooling and health care. This means that all the money to address social development issues will go through one entity and there will be no duplications of spending, and where there are gaps, it could be supplemented.

- **Capacity development**

The findings indicate that there is a lack of capacity and a need for guidance on SIA on a number of levels. Capacity development should take place before any new model could be implemented. The capacity development would be required on different levels, and would need to take place continuously. Members of the SSIAF would need to be acquainted with the workings of the strategy and the philosophy behind the strategy. It is important that they all know what social impact assessment, social development and national priorities are to ensure that they work from the same premises and strive towards similar outcomes.

Capacity development should also take place on community level to ensure that civil society is familiar with the concept and enabled to use it to their advantage. This can be done via information sessions and awareness raising.

There should also be capacity building for the Technical Committee. The Technical Committee should be up to date with the latest developments in the fields of SIA and social development to ensure that they strive towards best practice. The Technical Committee should engage with education and training facilities and get involved with the training of social service professionals. The Technical Committee should have access to a panel of experts that can assist them with advice if required.

Marginalised members of society should be assisted to register as implementation agents and to gain access to training if required. There should be a mentorship system to provide on-going support. The mentorship system should utilise experts in industry, government and successful implementation agents to provide guidance.

The capacity building programme would evolve and develop through time to stay current. It should be reviewed on a yearly basis. Through capacity building all the role players in the field of SIA will be able to identify links between SIA and social development, and to use these links to advance sustainable outcomes and contribute to sustainable communities.

On a national scale an institute for SIA, potentially affiliated with a training institution should be established. The institute can champion aspects such as registration, training, career development and furthering SIA as a profession. Registration of SIA practitioners is a critical aspect that needs attention and could only be realised through legislation. NEMA 108 of 1998 makes provision for the registration of Environmental Assessment Practitioners, and SIA practitioners should continue to advocate for their inclusion in the process that is currently underway. Registration would enhance the credibility of the Technical Committee proposed in the strategy and SIA in general.

- **Feedback system**

Given the mistrust in the government and the communication issues between the different stakeholders identified as part of the findings, a feedback system that shares information about the activities of the SSIAF with all the role players is important. Government should be informed that its strategic targets are reached, the private sector must be ensured that their money is well-spent and that they benefit from the system, and civil society must experience the improvements on their quality of life on grassroots level.

It is proposed that the SSIAF produce annual reports and have annual meetings to give feedback to society in general. The monitoring results produced by the implementation agents must be shared with all the role players through a transparent reporting system.

The strategy must be implemented in a pragmatic manner. It can be compared to initiatives such as Water Users Associations and Catchment Management Agencies. An

important difference is that the responsibility for implementation of the SSIAF is not put solely on the government, but that the government is one of a number of role players. This clearly has some implications for the successful implementation of such a strategy.

8.4.4 Recommendations for the implementation of the strategy and future research

The implementation of the proposed strategy would create opportunities for future research. This section will commence with recommendations for the implementation of the strategy, followed by recommendations for future research. Based on the findings and recommendations made in this study, the following recommendations for the implementation of the strategy are made:

- The government should adopt the strategy as a model on how to use SIA as a tool for social development that could be piloted and refined. As such, it could be implemented in an area subjected to intense development such as the Waterberg Region, Emalahleni or the Saldanha Bay District Municipality to evaluate its practical applicability.
- Government should critically assess the contribution of implemented Social and Labour Plans to social development outcomes in the affected communities.
- The study indicated that there is a link between social development and SIA. Because there is a link between social work and social development it paves the way for social workers to become more involved in the SIA field. Social workers, as social development experts, could play an important role in the execution of the strategy. Their involvement would ensure that the strategy keeps its focus on social and sustainable development. From the study a number of opportunities for social workers in the SIA field emerged, especially in the implementation of the strategy:
 - Social workers specialising in social development can serve on the Technical Committee;
 - Non-profit organisations (NPOs), especially social service non-government organisations could play a key role as implementing agents;

- Social workers are experts on working at the grassroots, and could be entry-points into communities and assist with facilitating and presenting training and capacity building events to communities and to the other role players that is not familiar with social development.
- Involving NPOs with the appropriate skills to act as implementing agents will ensure that they will not be viewed as a drain on economic resources, but rather as an economic gain. This will open the door for social businesses/social entrepreneurship enabling the NPOs to become self-sustained in the end. The proposed strategy brings NPOs to the frontline of development and offers them opportunity to interact directly with other economic role players, a link that is often missing at grassroots level.

Based on the conclusions and recommendations made in this study, the following recommendations for future research are made:

- Government should initiate a review of the current environmental policies and recommend changes in policy to ensure social development outcomes are explicitly required as in the case of Social and Labour Plans in the mining sector.
- Pilot the involvement of different role players such as social workers, social development practitioners and SIA practitioners in the SIA strategy, and research the strengths and challenges of potential collaborations.
- Research on how to establish and maintain relationships between NPOs and other economic role players in the context of the SSIAF would produce useful insights to social development and SIA practitioners.

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Appendix A

Interview Schedule

Target group:

Social Impact Assessment Practitioners

Research Goal:

The goal of this study is to explore SIA as a tool for social development tool in South Africa.

Name:

Organisation:

Questions:

1. What is your involvement in the field of SIA?
2. How long have you been involved in the field of SIA?
3. How did you get involved in the field of SIA?
4. Do you have any formal training that equips you to conduct SIA's?
5. What do you think is the purpose and use of doing a SIA?
6. Who usually commission the SIA studies that you work on?
7. Do you think that SIA add value to the decision-making processes of the authorities and clients to whom the SIA's are submitted?
8. What methodologies do you use for SIA's?
9. Do you follow a specific process in conducting SIA's?
10. Are you familiar with SIA literature, legislation and policies and do you use it as a guideline for your assessments?
11. How do you think can the way of doing SIA in South Africa be improved?
12. Do you think that there is a need for SIA regulations/guidelines in South Africa?
Motivate.
13. What is your opinion regarding the quality of SIA reports in South Africa?

14. What kind of projects do you mostly work on (e.g. low cost housing, golf estates, power lines or others)
15. What government departments should be involved in the SIA process? Motivate.
16. Describe the characteristics (in your opinion) of the “perfect SIA”.
17. Do you think SIA can and should be used as a tool for sustainable and social development?
18. What do you think is the biggest obstacles, if any, preventing thorough SIA’s to be conducted in South Africa?
19. What do you think is the role of the SIA practitioner in general?
20. Any further comments?

Appendix B

		Study 1	Study 2	Study 3	Study 4	Study 5	Study 6	Study 7	Study 8	Study 9	Study 10	Study 11	Study 12	Study 13	Study 14	Study 15
Does the legislative environment give this project a mandate for SD?	Is there background information on the relevant legislation in the report?	Y	Y	Y	N	N	Y	N	N	N	Y	Y	Y	Y	Y	Y
	Is there reference to international standards?	N	Y	Y	N	N	N	N	N	N	Y	N	Y	N	N	N
	Is there reference to local guidelines?	Y	N	N	N	Y	N	Y	N	Y	Y	N	N	Y	Y	Y
	Are human rights considered?	Y	N	Y	N	N	N	N	N	N	N	N	N	N	N	N
	Are there any social, environmental or restorative justice issues?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
	Does the report make use of an explicit methodology?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
	Are there any equity issues? (Who pays the price vs who gets the benefits)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Can SIA be used as a tool for SD?	Was a participatory process followed?	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
	Was the process inclusive?	U	N	N	U	N	Y	U	U	N	U	U	U	U	U	U
	Is the wellbeing of the entire population considered and promoted?	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
	Does mitigation measures discourage dependency on proponent?	Y	N	N	N/A	N	N	N	N	N	Y	Y	N	N	N	N
	Does mitigation measures promote active involvement of people?	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y
	Is a multi-sector approach to mitigation promoted?	Y	Y	Y	N	Y	Y	Y	Y	N	Y	N	Y	Y	Y	Y
	Are any partnerships between civil society, govt, pvt sector suggested?	N	Y	Y	N	N	N	Y	N	N	Y	N	Y	Y	Y	N
	Does mitigation measures require cooperation between several role-players?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
	Will mitigation increase capabilities and productivity of people?	N	Y	Y	N	N	Y	Y	Y	N	Y	N	Y	Y	Y	N
	Are impacts on family stability mitigated?	N	N	N	N	N	N	N	N	N	N	N	N	N	N	Y
	Are mitigation on social service organisations included?	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N
	Will the outcomes be project-neutral?	Y	N+	N+	Y	Y	Y	N+	N+	Y	Y	Y	N+	Y	N+	N+
	Will mitigation contribute to poverty alleviation?	N	Y	Y	N	N	N	Y	N	N	N	N	Y	Y	Y	N
	Does mitigation address inequality issues?	N	Y	Y	N	N	Y	Y	N	N	Y	N	Y	Y	Y	Y
Will there be immigration?	Y	Y	Y	N	N	Y	Y	Y	Y	N	Y	Y	Y	N	Y	

Does this study go beyond the minimum requirements?	Is the mitigation specific to the South African context?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
	Is monitoring of mitigation measures suggested?	Y	Y	Y	N	Y	N	Y	Y	Y	Y	N	Y	N	Y	Y
	Who is proposed as the funder of ongoing monitoring?	U	P, LG	P	P	P	P, LG	P, LG	P	P	P, LG	P	P, LG	P	P	P
	Are impact benefit agreements proposed?	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N
	Are there any reference to FPIC?	N	N	N	N	N	N	N	N	N	N	N	Y	N	N	N
	Are there any proposals for economic development processes?	N	Y	Y	N	Y	N	Y	Y	N	Y	N	Y	Y	Y	N
	Will the outcomes enhance the social environment?	N	Y	Y	N	N	Y	Y	Y	N	Y	N	Y	Y	Y	Y
	Are the affected communities involved in the execution of the mitigation measures?	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y
	Do mitigation measures contribute to the social protection floor via suggestions regarding creation of employment?	N	Y	Y	N	N	Y	Y	Y	Y	Y	N	Y	Y	Y	Y
	Do mitigation measures contribute to the social protection floor via suggestions regarding contributing to education/skills development?	N	Y	Y	N	N	Y	Y	Y	Y	Y	N	Y	Y	Y	Y
	Do mitigation measures contribute to the social protection floor via potential establishment of infrastructure?	N	Y	Y	N	N	Y	Y	Y	N	N	N	Y	N	N	Y
	Is regional development issues considered in the study?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
Y	Yes															
N	No															
N+	Not neutral but better															
P	Proponent															
LG	Local government															
U	Uncertain															

Appendix C

Thank you very much for taking the time to read this letter. If you require any further information, please do not hesitate to contact me.

Ilse Aucamp

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E-mail: ilsea@lantic.net

If you agree to participate in the study, please sign as indicated below.

Kind regards

Ilse Aucamp

Expert (Print name)

Expert's signature

Signature of researcher

Date:

Appendix D



UNIVERSITEIT VAN PRETORIA
UNIVERSITY OF PRETORIA
YUNIBESITHI YA PRETORIA

Faculty of Humanities
Research Ethics Committee

18 March 2015

Dear Prof Lombard

Project: Social Impact Assessment as a tool for social development
in South Africa: an exploratory study (revised new title)
Researcher: IC Aucamp
Supervisor: Prof A Lombard
Department: Social Work and Criminology
Reference number: 91292949

Thank you for the your response to the Committee's correspondence.

I have pleasure in informing you that the Research Ethics Committee formally **approved** the above study at an *ad hoc* meeting held on 17 March 2015.

Please note that this approval is based on the assumption that the research will be carried out along the lines laid out in the proposal. Should your actual research depart significantly from the proposed research, it will be necessary to apply for a new research approval and ethical clearance.

The Committee requests you to convey this approval to the researcher.

We wish you success with the project.

Sincerely

Prof. Karen Harris
Acting Chair: Research Ethics Committee
Faculty of Humanities
UNIVERSITY OF PRETORIA
e-mail: karen.harris@up.ac.za

Research Ethics Committee Members: Prof KL Harris(Acting Chair); Dr L Blokland; Prof M-H Coetzee; Dr JEH Grobler; Prof B Hogmeyer; Ms H Klopper; Dr C Panebianco-Warrens; Dr C Puttergill; Prof GM Spies; Dr Y Spies; Prof E Taljard; Dr P Wood