

# Social responsibility agenda to promote community development: A case study of the Riverlea Community

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Dissertation submitted in partial fulfilment of the requirements for the degree *Master of Arts* in *Development and Management* at the North-West University

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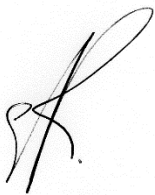
Graduation May 2018

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## DECLARATION

By submitting this mini-dissertation electronically, I solemnly declare that I authored work contained within. This mini-dissertation is submitted in partial fulfilment of the requirements for the degree *Masters in Development and Management: Corporate Social Responsibility* at the Potchefstroom Campus of the North-West University. The said university will determine reproduction and publication of this report, and I declare that this report or part thereof has not been submitted to any other tertiary institution to obtain any qualification.



.....  
Niel Vinitt Rooi

Date: 30 July 2017

I would like to thank the following people for their contribution in making the completion of this mini-dissertation a success:

Foremost I would like to thank My Heavenly Father for His Blessings.

Professor Eddie G. Bain, my supervisor, THANK YOU for your input, candid advice, and guidance during the research project. Your assistance and your time taken to guide me on this journey are appreciated beyond words. Ms S. G. Reyneke, my co-supervisor, thank you for the direction and assistance.

I would also like to thank my mother, Magrietha “Ella” Basson and my late father, Joseph “Babaluck” Basson for their tireless support and being the ever-loyal cheerleaders for my humble achievements through the years. For being in my corner, cheering me on and encouraging me on my endeavours while emphasising the need for honesty, humility and selflessness in my approach to challenges and tasks at hand.

To my siblings... thank you for your support, encouragement, and confidence in me.

To my children, Mellissa, Mariska and McNiel, thank you for never holding it against me when I chose to spend time with my research project instead of you.

To the Master’s Programme Coordinator, Farzana Loonate, you are a rock star.

Lastly, thank you to the community of Riverlea for your participation in the research project, and to my employer, the City of Johannesburg: Disaster Management Centre, management, Divisional Head, Mr Tshepo Motlhale and Director William Mazibuko, thank you for granting approval and permission for the study.

## **ABSTRACT**

With increased attention being given to the concept of corporate social responsibility by researchers and academics alike, it has become apparent that the focus had been on the business world. Less attention has been given to the social responsibility of governments. Within the South African context, the Constitution of the Republic of South Africa (Act 108 of 1996) provides an overall framework for the application of social responsibility, among others, by local governments.

The aim of the mini-dissertation was to explore and describe using a qualitative descriptive multi-site case study, how the social responsibility agenda is applied to promote community development in the town of Riverlea in Johannesburg (South Africa). Particular reference is made to the extent of deprivation and how this is dealt with in the social responsibility agenda of the City of Johannesburg (CoJ). Semi-structured interviews were conducted with scientifically selected respondents.

The key findings that follow from the empirical investigation revealed widespread poverty, driven by unemployment amongst employable adults, and young adults who turn to drugs, alcohol and gangsterism. The division of the geographical area of Riverlea by a physical barrier (railway lines), exacerbates the isolation between community members living on opposite sides of the lines. In the understanding of the concept “social responsibility”, the CoJ and its institutions admitted that they have a direct role to play in social responsibility, but that their understanding of the concept was lacking and, as a result, is not contributing appropriately to community development programmes. Also, the departments of the CoJ did highlight a lack of resources and dependency on third parties such as municipal-owned entities (MOEs), which constrain the effective implementation of community development programmes when their roles were reflected in the criteria of the interview questions. Although qualitative case study findings are not generalised, the researcher is of the opinion that through the rich and thorough contextualised descriptions of the research, other researchers will be able to transfer the findings to their living contexts or could replicate the study should they desire to do so.

**KEYWORDS:** Community; community development; community engagement; deprivation trap; local government; promote; social responsibility.

## OPSOMMING

Met die toenemende aandag wat daar aan die verskynsel korporatiewe sosiale verantwoordelikheid deur navorsers en akademici gegee is, het dit duidelik geword dat die fokus op die korporatiewe was. Minder aandag is gegee aan die verantwoordelikheid van die regerings se sosiale verantwoordelikheid. Binne die Suid-Afrikaanse konteks, bied die Grondwet van die Republiek van Suid-Afrika (Wet 108 van 1996) 'n oorhoofse raamwerk vir die toepassing van sosiale verantwoordelikheid deur, onder andere, plaaslike regerings.

Die doel van die mini-skripsie was om met behulp van 'n kwalitatiewe beskrywende gevallestudie by verskeie plekke te ondersoek en te beskryf hoe die sosiale verantwoordelikheid-agenda toegepas word om gemeenskapsontwikkeling in die dorp Riverlea in Johannesburg (Suid-Afrika) te bevorder. Spesifieke verwysings word gemaak na die mate van ontneming en hoe dit binne die sosiale verantwoordelikheid-agenda van die Stad van Johannesburg (SvJ) hanteer word. Semi-gestruktureerde onderhoude is met wetenskaplik-geselekteerde respondente gehou.

Die hoof gevolgtrekkings wat volg uit die empiriese ondersoek, het wydverspreide armoede getoon onder werkbare volwassenes, jong volwassenes wat dwelms en alkohol misbruik, en deur bendebedrywighede gedryf word. Die verdeling van die geografiese gebied van Riverlea deur die fisiese versperring ('n spoorlyn) vererger die vervreemding tussen gemeenskapslede wat aan die teenoorgestelde kante van die lyn woon. Met die verstaan van die begrip “sosiale verantwoordelikheid”, het die SvJ se nagevorste instellings erken dat hulle 'n direkte rol in sosiale verantwoordelikheid speel, maar dat hulle nie 'n volle begrip daarvan het nie, en as gevolg hiervan, nie toepaslik bydra tot gemeenskapsontwikkelingsprogramme nie. Daar is ook beklemtoon dat 'n gebrek aan hulpbronne en die afhanklikheid van derde partye soos munisipale besit entiteite (MBE) die effektiewe implementering van gemeenskapsontwikkelingsprogramme beperk wanneer hul rolle weerspieël word teen die kriteria van onderhoudsvrae. Alhoewel kwalitatiewe gevallestudie bevindinge nie veralgemeen kan word nie, is die navorser van mening dat, as gevolg van die ryk, deeglike en gekontekstualiseerde beskrywings van die navorsing, die gevolgtrekkings deur ander navorsers na hul kontekste oorgedra kan word. In die laaste hoofstuk het die studie gefokus op doelwitte en bevindinge, gevolg deur aanbevelings aan elke belanghebbende in die navorsing.

## TABLE OF CONTENTS

	DECLARATION	i
	ACKNOWLEDGEMENTS	ii
	ABSTRACT	iii
	OPSOMMING	iv
	LIST OF FIGURES AND TABLES	ix
	LIST OF ANNEXURES	x
	LIST OF ACRONYMS AND ABBREVIATIONS	xi
	<b>CHAPTER ONE</b>	
	<b>THEORETICAL BACKGROUND AND STATEMENT OF THE PROBLEM</b>	
<b>1.1</b>	<b>INTRODUCTION AND BACKGROUND.....</b>	<b>1</b>
<b>1.2</b>	<b>PROBLEM STATEMENT.....</b>	<b>3</b>
<b>1.3</b>	<b>RESEARCH QUESTIONS.....</b>	<b>5</b>
<b>1.4</b>	<b>RESEARCH OBJECTIVES.....</b>	<b>5</b>
<b>1.5</b>	<b>CENTRAL THEORETICAL STATEMENT.....</b>	<b>6</b>
<b>1.6</b>	<b>RESEARCH METHODOLOGY.....</b>	<b>9</b>
	<b>1.6.1. Research strategy.....</b>	<b>9</b>
	1.6.1.1. Multi-sites.....	11
	1.6.1.1.1. Riverlea.....	11
	1.6.1.1.2. Department of Community Development.....	11
	1.6.1.1.3. Department of Economic Development.....	12
	1.6.1.1.4. Department of Social Development.....	12
	1.6.1.1.5. Joburg Water.....	12
	1.6.1.1.6. City Power.....	13
	1.6.1.1.7. Johannesburg Development Agency.....	13
	1.6.1.1.8. Pikitup.....	13
	<b>1.6.2. The context of the study .....</b>	<b>14</b>
	<b>1.6.3. Research procedures.....</b>	<b>14</b>
	1.6.3.1. Sampling.....	15
	1.6.3.1.1. Sampling of participants.....	15
	<b>1.6.4. Data collection .....</b>	<b>17</b>
	1.6.4.1. Literature review .....	17
	1.6.4.2. Semi-structured interviews .....	18
	1.6.4.3. Field notes .....	19
	<b>1.6.5. Data analysis .....</b>	<b>19</b>
<b>1.7</b>	<b>CONTRIBUTION OF THE RESEARCH .....</b>	<b>21</b>
<b>1.8</b>	<b>TRUSTWORTHINESS .....</b>	<b>21</b>
<b>1.9</b>	<b>ETHICAL CONSIDERATIONS.....</b>	<b>22</b>
<b>1.10</b>	<b>OUTLINE OF CHAPTERS .....</b>	<b>24</b>
	<b>CHAPTER TWO</b>	
	<b>EXPLORING KEY CONCEPTS AND THEORIES</b>	
<b>2.1</b>	<b>INTRODUCTION .....</b>	<b>25</b>
<b>2.2</b>	<b>SOCIAL RESPONSIBILITY AND CORPORATE SOCIAL RESPONSIBILITY .....</b>	<b>26</b>
<b>2.3</b>	<b>SOCIAL CONTRACT THEORY.....</b>	<b>29</b>
<b>2.4</b>	<b>SOUTH AFRICA AS A CONSTITUTIONAL DEMOCRACY AND ITS SOCIAL RESPONSIBILITY .....</b>	<b>32</b>
	<b>2.4.1. Local government and social responsibility .....</b>	<b>33</b>

<b>2.5</b>	<b>COMMUNITY DEVELOPMENT .....</b>	<b>34</b>
<b>2.6</b>	<b>DEPRIVATION .....</b>	<b>37</b>
<b>2.7</b>	<b>NON-GOVERNMENTAL ORGANISATIONS.....</b>	<b>39</b>
<b>2.8</b>	<b>REFLECTION ON LITERATURE REVIEW .....</b>	<b>42</b>
<b>2.9</b>	<b>SUMMARY.....</b>	<b>42</b>

### CHAPTER THREE

#### RESEARCH FINDINGS: SOCIAL RESPONSIBILITY AND COMMUNITY DEVELOPMENT

<b>3.1</b>	<b>INTRODUCTION .....</b>	<b>45</b>
<b>3.2</b>	<b>DEMOGRAPHIC DATA .....</b>	<b>45</b>
	<b>3.2.1. Poverty Articulated .....</b>	<b>50</b>
	3.2.1.1. Households .....	51
	3.2.1.2. Non-governmental organisations .....	52
	3.2.1.3. CoJ Departments .....	52
	3.2.1.4. Municipal-owned Entities .....	53
	<b>3.2.2. Understanding Social Responsibility .....</b>	<b>53</b>
	3.2.2.1. Households.....	53
	3.2.2.2. Non-governmental organisations .....	53
	3.2.2.3. CoJ Departments .....	54
	3.2.2.4. Municipal-owned Entities .....	54
	<b>3.2.3. Understanding of community development .....</b>	<b>55</b>
	3.2.3.1. Households.....	56
	3.2.3.2. Non-governmental organisations .....	56
	3.2.3.3. CoJ Departments .....	57
	3.2.3.4. Municipal-owned Entities .....	58
	<b>3.2.4. Role in community development .....</b>	<b>58</b>
	3.2.4.1. Households.....	58
	3.2.4.2. Non-governmental organisations .....	59
	3.2.4.3. CoJ Departments .....	59
	3.2.4.4. Municipal-owned Entities .....	60
	<b>3.2.5. Effectiveness of role in community .....</b>	<b>60</b>
	3.2.5.1. Households.....	60
	3.2.5.2. Non-governmental organisations .....	61
	3.2.5.3. CoJ Departments .....	61
	3.2.5.4. Municipal-owned Entities .....	62
	<b>3.2.6. Limitations that hinder effective role execution .....</b>	<b>62</b>
	3.2.6.1. Households.....	62
	3.2.6.2. Non-governmental organisations .....	63
	3.2.6.3. CoJ Departments .....	63
	3.2.6.4. Municipal-owned Entities .....	64
	<b>3.2.7. Stakeholder interaction .....</b>	<b>64</b>
	3.2.7.1. Households.....	64
	3.2.7.2. Non-governmental organisations .....	65
	3.2.7.3. CoJ Departments .....	66
	3.2.7.4. Municipal-owned Entities .....	67
<b>3.3</b>	<b>CONCLUSION .....</b>	<b>67</b>

**CHAPTER FOUR**  
**CONCLUSIONS AND RECOMMENDATIONS**

<b>4.1</b>	<b>INTRODUCTION .....</b>	<b>70</b>
<b>4.2</b>	<b>OBJECTIVES AND FINDINGS.....</b>	<b>71</b>
	<b>4.2.1 Define Social Responsibility and Community Development in its</b>	
	<b>theoretical and operational terms .....</b>	<b>71</b>
	4.2.1.1. Define Social Responsibility in its theoretical and operational terms .....	72
	4.2.1.2. Define Community Development in its theoretical and operational terms .....	73
	<b>4.2.2 Define and describe deprivation in its theoretical and operational</b>	
	<b>contexts in the geographical area of Riverlea.....</b>	<b>74</b>
	<b>4.2.3 Determine how deprivation challenges and its contributing factors affect</b>	
	<b>Community Development, and provide an analysis on how selected CoJ</b>	
	<b>departments, its allied institutions, and NGOs apply social responsibility</b>	
	<b>challenges of the inhabitants of Riverlea.....</b>	<b>76</b>
	<b>4.2.4 Recommendations .....</b>	<b>79</b>
<b>4.3</b>	<b>FURTHER RESEARCH .....</b>	<b>83</b>
<b>4.4</b>	<b>FINAL CONCLUDING REMARKS .....</b>	<b>83</b>
<b>4.5</b>	<b>CONCLUSION .....</b>	<b>84</b>
	<b>REFERENCES .....</b>	<b>96</b>



## LIST OF FIGURES AND TABLES

### FIGURES

Figure 1.1	City of Johannesburg Regions/Riverlea	2
Figure 2.1	The deprivation trap	38
Figure 3.1	Riverlea 0	47
Figure 3.2	Riverlea Extension 1	47
Figure 3.3	Riverlea Extension 3	48
Figure 3.4	Riverlea Extension 9	48
Figure 3.5	Riverlea Extension 10	49

### TABLES

Table 3.1	Email Respondents Matrix	49
Table 3.2	Analytical Framework	50

## **LIST OF ANNEXURES**

<b>ANNEXURE</b>	<b>LETTERS, RESPONSES AND SURVEYS</b>	<b>PAGE</b>
ANNEXURE CLR – L	Request to Cllr Dazel Douglas	95
ANNEXURE DIR – R	Response from departmental director	96
ANNEXURE A	Household Interview Schedule	97
ANNEXURE B	Non-governmental Organisations Interview Schedule	98
ANNEXURE C	City of Johannesburg Department Interview Schedule	99
ANNEXURE D	Municipal-owned Entities Interview Schedule	100

## LIST OF ACRONYMS AND ABBREVIATIONS

AG	Auditor General
ANC	African National Congress
CBO	Community Based Organisation
CD	Community Development
CED	Committee for Economic Development
CoJ	City of Johannesburg
CoJDs	City of Johannesburg Departments
CP	City Power
CSR	Corporate Social Responsibility
DCD	Department of Community Development
DED	Department of Economic Development
DSD	Department of Social Development
FBO	Faith Based Organisation
GDP	Gross Domestic Product
GDS	Growth and Development Strategy
GDSPOP	Growth and Development Strategic Public Outreach Programme
HEAD	Health, Environment and Development
IAR	Integrated Annual Report
IDP	Integrated Development Plan
JDA	Johannesburg Development Agency
JSE	Johannesburg Stock Exchange
JW	Johannesburg Water
MOEs	Municipal-owned Entities
NDP	National Development Plan
NGOs	Non-governmental Organisations
NPO	Non-profit organisation
NWU	North-West University
PFMA	Public Finance Management Act
SARW	Southern African Resources Watch
SOP	State of the Province Report
UN	United Nations

## **CHAPTER ONE**

### **THEORETICAL BACKGROUND AND STATEMENT OF THE PROBLEM**

#### **1.1. INTRODUCTION AND BACKGROUND**

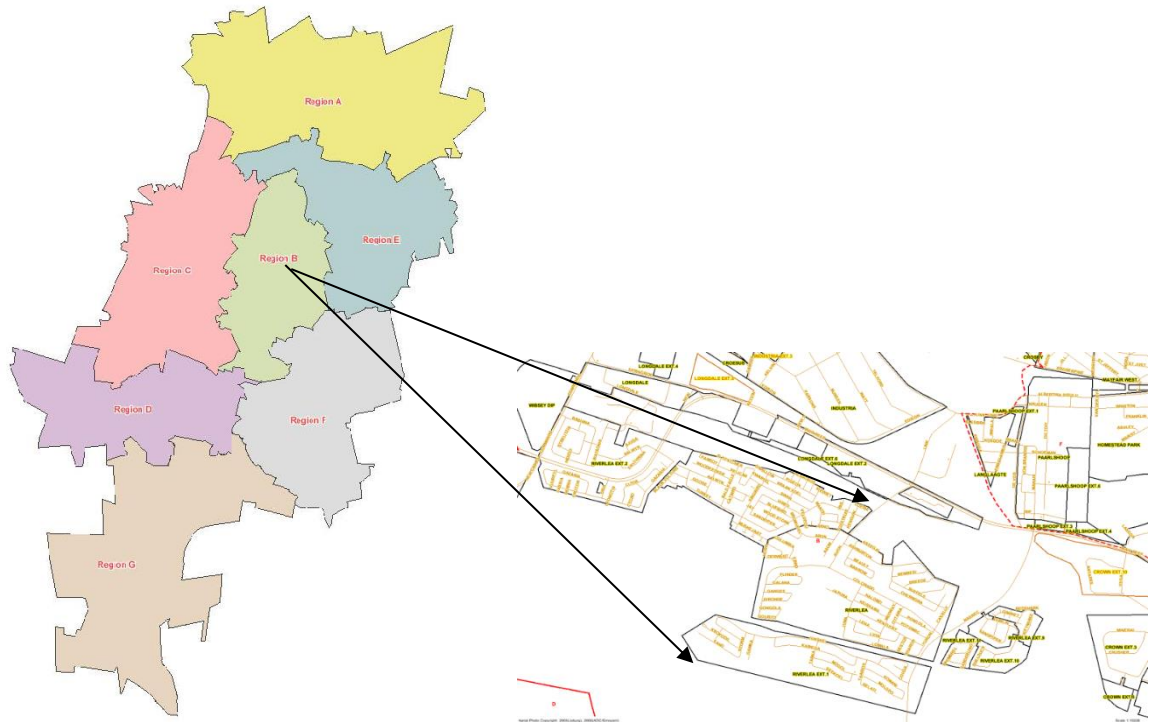
The Constitution of the Republic of South Africa, 1996 (Act 108 of 1996) (hereinafter referred to as “the Constitution”), which is the supreme law of the country and is regarded as a progressive piece of legislation, is the principal part of a set of rules that one refers to in determining acceptable conduct in South Africa.

The Constitution can also be regarded as a contract between the government and the country’s citizens. It can be deduced from the Constitution that the government at all three spheres (national, provincial and local) has a responsibility towards its citizens, not only in terms of the Bill of Rights (Chapter 2 of the Constitution), but also with regard to the provision of services through its structures, departments and agencies.

In terms of Section 151 of the Constitution, local governments must be established throughout the Republic of South Africa and have therefore had an important constitutional function. These functions include, but are not restricted to, the rights of human dignity, access to housing, healthcare, and food and education (RSA, 1996: Sections 7-39). In order for local governments to meet their constitutional obligations and social responsibilities, it is necessary to form partnerships with the private sector through the latter’s corporate social responsibility (CSR) agendas, and civil society represented by non-governmental organisations (NGOs). The term NGOs includes community-based organisations (CBOs), not-for-profit organizations (NPOs) and faith-based organisations (FBOs). They all occupy a significant position in building sustainable communities in local governments, such as the City of Johannesburg (CoJ).

The CoJ was built on the back of the gold-rush era in the latter part of the 19<sup>th</sup> century (1886). It has today (2017) grown into a metropole that has started around the gold mining camps. According to the Joburg 2040 Growth and Development Strategy, the city is the economic and commercial gateway of South Africa and contributes an average of 47% to the Gauteng economy (CoJ, 2011:48). To the south west of the city

(Region B) and below the hub of a range of industries, in the shadows of active and abandoned mine dumps of the gold industry, is a 1960's residential development, consisting mostly of Coloured people, called Riverlea.



**Figure 1.1**

The portion between the arrows' endings indicates the geographical area of Riverlea.

**Source:** Adapted from City of Johannesburg: GIS Website

Different research studies have been done in this community, and coincide in reporting that there is an assortment of social problems. These problems have their onset in one or more elements of the deprivation trap (Kruger, 2002; Kruger & Chalwa, 2005; Mandes *et al.*, 2011; Mathee *et al.*, 2009; Strong, 1996). It is, therefore, common cause that the youth, families, and communities feel economically and socially trapped. Although the community's actions and inactions might play a role in their downward social trend, research must still look beyond this trend, and examine how the existence of social responsibility in community development influences the potential prosperity of the individuals, family, and society of Riverlea at large.

Based on the above introduction and background, the remainder of this chapter will consist of the following items, namely, the problem statement, research questions and

objectives, central theoretical statement, research methodology, the contribution to the literature, trustworthiness and ethical considerations. The chapter will conclude with an outline of the remainder of the sections based on the research objectives.

## **1.2. PROBLEM STATEMENT**

According to Klopper (2008:64), when reviewing the literature to formulate a problem statement, researchers should focus on the limitations of previous research and critique and clarify or compensate those shortcomings through current research. An exploratory literature review brought to the fore the issue that if governments wish to be taken seriously regarding the promotion of social responsibility, they need to lead by example in their sphere of influence to be credible advocates of social responsibility (White, 2007:9).

In order to advance in the execution of its social responsibility obligations, the CoJ depends on specific departments that ought to be involved. These departments are the Department of Community Development (DCD), Department of Economic Development (DED), Department of Social Development (DSD), and municipal owned entities such as Joburg Water, City Power, Johannesburg Development Agency and Pikitup. The CoJ also recognises the importance of NGOs in its Community Development Charter in giving prominence to community needs, and the role NGOs can play in assisting the City in meeting its developmental objectives.

The geographical area of specific interest, Riverlea, has been identified by several research studies to have several degrees of social ills. Some studies found the area contains more than average levels of unemployment, health problems and feelings of deprivation (De Wet *et al.*, 2008; Strong, 1996). Research studies conducted by Health, Environment and Development (HEAD) in collaboration with the Medical Research Council, the Riverlea Development Trust, the CoJ, the University of Witwatersrand, and the University of Johannesburg between 2005 and 2015, found several social ills to be prevalent in the area. The collaborative longitudinal study found that Riverlea has a broad range of social, environmental and health problems. These problems are ranging from high levels of chronic illness due to elevated levels of smoking, alcoholism, and drug abuse, to mental illness, such as depression and

anxiety (HEAD, 2006; UJ, 2016). The quote by Nicolette Strong (1996:68), of Adam Small in her article, *Feminisation of poverty in Riverlea*, sums up this general feeling in the community: “*Die Here het gaskommel en die dice het verkeert geval vi’ ons, daai is maar al*” (Freely translated: “God threw the dice, and it fell wrongly for us, that’s all”).

Important as they are, the findings of the above research did not focus on the mentioned social ills from a local government’s social responsibility perspective or whether the CoJ is leading by example in this regard. It is, therefore, an identified shortcoming or limitation that was accommodated in the formulation of the problem statement (Klopper, 2008:64), and by which the research questions and objectives were formulated to be addressed by this research.

It is the primary responsibility of the CoJ and its relevant departments to provide a means for the community to develop and sustain itself. As mentioned above, there are different social ills in this community that need to be investigated from a social responsibility role of the CoJ.

Having regard to the preceding, the problem statement thus aims to establish by means of a qualitative descriptive multi-site case study (see item 1.6.1) how the social responsibility agenda of the CoJ is applied to promote community development in the geographical area of Riverlea, Johannesburg (South Africa). With reference to the extent of deprivation and how these are dealt with in the context of social responsibilities of/by the CoJ. (Deprivation in this study context, refers to the inability of people to meet their needs [Townsend, 1987]). See item 2.6 below for a discussion of the concept “deprivation”.

Relative to the above problem statement, the following questions become critical for this research.

### **1.3. RESEARCH QUESTIONS**

The problem statement guided the following questions:

- How are social responsibility and community development defined and describe in theoretical and operational terms?
- How is deprivation defined and described in theoretical and operational contexts in Riverlea?
- How do the deprivation challenges and its contributing factors affect community development and how do the selected CoJ departments, its allied institutions, and NGOs apply social responsibility to address the challenges of the inhabitants of Riverlea?
- What recommendations can be made to the CoJ to establish, improve, and/or accelerate efficient and effective implementation of the social responsibility agenda to promote community development in Riverlea?

Based on the above mentioned research questions, the research objectives are as follows:

### **1.4. RESEARCH OBJECTIVES**

The study aims to:

- Define and describe social responsibility and community development in theoretical and operational terms;
- define and describe deprivation in theoretical and operational contexts of Riverlea;
- determine how deprivation challenges and its contributing factors affect community development, and to provide an analysis of how selected CoJ departments, its allied institutions, and NGOs apply social responsibility to address the challenges of the inhabitants of Riverlea; and
- make recommendations to the CoJ based on the findings, to establish, improve and/or accelerate efficient and effective implementation of the social responsibility agenda to promote community development in Riverlea.



## **1.5. CENTRAL THEORETICAL STATEMENTS**

The Constitution, the super-ordinate Act of the country, is a progressive piece of legislation that reflects the social contract between the South African society and government. According to Morris (1999:ix), a social contract implies that human beings begin as individuals in a state of nature, and then form a society by instituting an agreement whereby they consent to live together in harmony for the benefit of all, and to bring about a state of society. A social contract involves the retention of some natural rights, the assumptions of some duties, an acceptance of some restrictions of autonomy, and a consortium of some powers to be implemented collectively (Morris, 1999).

Those human rights which the individual brings with him upon entering the social contract, are natural rights, and those rights arising from the social contract are contractual constitutional rights (see item 2.3). Human rights are given prominence in the Constitution (RSA, 1996:7-39). Among the rights stipulated in the Constitution, are those of human dignity, political and property rights, access to housing, healthcare, food, water, education, and the right to information. These rights must be provided for by the government and in terms of Section 195, in accordance with the values and principles guiding public administration. Chapters 3 to 7 of the Constitution detail the democratic system of government, in which the interface between the national, provincial and local government spheres are highlighted through the mechanism of co-operative governance.

In terms of Sections 151-152 of the Constitution (RSA, 1996), local governments consist of municipalities that must provide services to communities in an accountable and sustainable manner, and they are, therefore, by implication, responsible for coordinating social responsibility activities in local communities. Section 195(e) determines that “people’s needs must be responded to, and the public must be encouraged to participate in policy-making”. Section 152(e) further states that communities and community organisations must be encouraged to engage in the topics of local government. As far as development responsibilities are concerned, in terms of Section 153, the local government must “structure and manage its

administration and budgeting and planning process to give priority to the basic needs of the community and promote the social and economic development of the community”.

The former Mayor of Johannesburg, Cllr. Parks Tau in his 2013 State of the City Address, described Johannesburg as “a city that cares deeply for all its residents”, through its commitment to the provision of services (CoJ, 2013:1). The Mayor also highlighted the Growth and Development Strategic Public Outreach Programme (GDSPOP), in which the City embarked on a stakeholder consultation process, to consult with residents and discuss the vision they have for the city. The outcome of the public participation process resulted in the amalgamation of different strategies to form the Joburg 2040 Growth and Development Strategy (Joburg 2040 GDS), which envisions an economically inclusive City with “real quality of life” for all its citizens (CoJ, 2013:2-3). Joburg 2040 GDS emphasises a greater need for local governments to form partnerships with other sectors working towards the same objective(s) of promoting community development.

Community development must involve communities (Kotze & Swanepoel, 1983:2), be focussed on improving living conditions in local communities (De Beer & Swanepoel, 2002:128), and alleviate communities of deprivation (Swanepoel & De Beer, 2006:9). The alleviation of deprivation is one of the biggest challenges the modern world is facing (De Beer & Swanepoel, 2000:16; 2006:9) and the human beings entangled in the deprivation trap must be offered an opportunity to develop themselves and their communities, to enable them to take care of their individual and communal well-being in an autonomous way (De Beer & Swanepoel, 2000:16).

Concerns regarding the deprivation trap should be viewed as one of the cornerstones for communities’ development (De Beer & Swanepoel, 2006:4-10). For communities to be sustainable, it is imperative that businesses contribute towards community sustainability and that the elements of the deprivation trap form an integral part of their strategy (De Beer & Swanepoel, 2006:4-9). The latter might improve the way organisations consider, design, and report its performance and strategy in the context of its relevant social and environmental activities.

The CoJ social responsibility agenda to promote community development is set out in the Joburg 2040 GDS, which advances a vision, mission and a framework attached to principles, outputs, and indicators. (CoJ, 2011). It is, therefore, important to establish what contribution this agenda is making in promoting community development. This might potentially untangle the deprivation trap and assist towards the CoJ social contractual obligations to the residents of Riverlea, and by extension, the Municipal-owned Entities (MOEs).

The CoJ declared, through the Joburg 2040 GDS some predetermined developmental destinations, commitments and roles, namely (CoJ, 2011):

- “eradicating poverty;
- building diversified and inclusive community;
- building livable communities;
- ensuring resource, security, and environmental sustainability;
- achieving social inclusion;
- building social cohesion; and
- promoting good governance”.

The Joburg 2040 GDS outcomes (CoJ, 2011) will be highlighted below to provide the context for the objectives and findings of Chapter 4 under the heading Conclusion and Recommendations (see item 4.1.). The outcomes aim to:

- “Improve the quality of life and development-driven resilience for all.
- Provide a resilient liveable and sustainable environment.
- Provide an inclusive, job-intensive, resilient, and competitive economy, that harness the potential of citizens.
- Structure a high performing metropolitan government that pro-actively contributes to and builds a sustainable, socially inclusive, locally integrated and globally competitive city”.

The optimism of these outcomes endeavours to increase the resilience, livability and sustainability of the city and its residents through the continuous involvement of all stakeholders (including business, civil society, and government). Having regard to the

above research questions, objectives, and theoretical statements, the research methodology to be employed in this research will subsequently be discussed.

## **1.6. RESEARCH METHODOLOGY**

This study followed a qualitative research design. A unique characteristic of qualitative research and research strategy is that it is guided by the research problems and the research questions (Bothma *et al.*, 2010:209). A research strategy sets out the general alignment of the social research and the design/procedures set out a roadmap for the collection and analysis of the data collected (Bryman, 2012:715). In this mini-dissertation, each interviewee from each institution and each family represented a data collection unit.

An overview of the research strategy and the research procedures are discussed below.

### **1.6.1. Research strategy**

This study focused on a qualitative descriptive multi-site case study. According to Mouton (2008:55), to realise the research objectives the method of how the research would be conducted needs to be outlined. Mouton (2001:56) further states that the framework for research must focus on the results and the evidence required to answer the research questions.

There are different variations of research designs (Yin, 2011:15-18). The author considered the different options, namely: quantitative, qualitative and mix-method (Cresswell, 2009:3). According to Bless *et al.* (2006:119), quantitative research is weak in expressing participants' voices and the context within which they talk. Qualitative research, on the other hand, involves direct interaction with the participants studied (Bourdieu's, 2000; Creswell, 2009; Travers, 2001). The qualitative research method was better suited for what the researcher wanted to achieve in this study, as it allowed the participants to expand on their answers without being limited by the questions asked. Qualitative research focuses more on the quality of information obtained than on the number collected (Merriam, 2009). The qualitative research method allows for

the application of a holistic account by interlinking the different sections of the chapters and the relationship between elements (De Vos *et al.*, 2011:66). The qualitative research method further allowed the researcher to understand the real-life setting as described by participants in their natural language, and produced descriptive data (McRoy, 1995:209-215).

In order to explore and describe the case study phenomena, the researcher chose an interpretive descriptive approach (Thorne, 2008:35). This approach is not prescriptive or restrictive, and it provided the researcher with the potential to look differently at previously accrued knowledge to produce a new understanding that creates the potential for new investigations, as well as applications of “evidence” in practice (Thorne, 2008).

Due to the nature of the case under investigation, it advances to a multisite study as described by Creswell (2009:9-13). A multi-site study is a qualitative research approach which provides and allows the researcher to gain detailed knowledge of a phenomenon. Merriam (2009:49-50) defines the multi-site process as collecting and analysing data from several sources.

According to Yin (2008:14), a case study endeavours to gain an in-depth understanding within an organisation, geographic location, or group. The aim is to “...investigate a contemporary phenomenon within its real-life context; when the boundaries between phenomenon and context are not evident; and relies on multiple sources of evidence”. Creswell (2009:13) and Merriam (2009:40) describe a case study (single, multiple or multi-site) as a study that encompasses an exploration of a “bounded system” that is bounded by time, context or place, over a period through detailed in-depth data collection, involving multiple sources of information, such as reports, documents and interviews. This ensures that the case study is not explored only through one avenue, but multi-avenues, which permit for multiple factors of the phenomenon to be revealed and interpreted (Bryman, 2012:380-388). By gathering quality data from the different natural settings, the author’s findings can lend itself to an understanding, interpreting, and describing the experiences of participants within the multi-sites (Cresswell, 2007). The author’s decision to conduct a qualitative multi-

site descriptive case study will assist to describe, analyse, and interpret the phenomenon as it develops from the inductive process (Cresswell, 2007; Merriam, 2009). According to De Vos *et al.* (2011:49), the inductive process moves from “the particular to the general, from concrete observation to a general theoretical explanation”. In other words, the researcher observed a sample and drew conclusions about the population, department, or organisation from which the sample originates.

In defining the study, the first step was to describe the case design or bounded system. In organising the remainder of the study, the following steps will be described: identifying the sites chosen (place), data collection period (bounded by time), the research procedures, and the contribution of the research, trustworthiness, and ethical considerations.

#### *1.6.1.1. Multi-sites*

The sites are defined by their location in the CoJ, and a brief description is given of their relevance to the study (in no particular order). The different sites are “intrinsically interesting” (Merriam, 2009:42), meaning they form an important and natural part of social responsibility or community development.

##### *1.6.1.1.1. Riverlea*

In addition to what has been described in the introduction (see item 1.1), Riverlea is located in Region B to the south west of the capital district CoJ. According to Statistics South Africa - Census 2011 (RSA, 2011) Riverlea’s population stood at 16 226 spread over 4 208 households. According to the Johannesburg’s Official Website, Riverlea is one of the oldest residential areas in Region B (CoJ, 2007). According to Mr Vusi Mavuso, the regional director for Region B, the area has shown a great deal of decline in terms of community development over the years (CoJ, 2007). This study site had relevance to the researcher as it forms part of the case (Riverlea) and the phenomenon of deprivation.

##### *1.6.1.1.2. Department of Community Development (DCD)*

As the largest department in the CoJ, DCD is often referred to as the “heart of the city”. DCD and the Department of Social Development work closely together on several

projects and programmes (CoJ, 2016b). However, ultimately the DCD is responsible for overseeing the well-being of all residents within the boundaries of the metropolitan city. This can be achieved by making available resources or providing the means for inhabitants to meet their “physical, emotional, mental, artistic and cultural needs” (CoJ, 2016b). The department is located at Metro Centre - A Block, 158 Civic Boulevard, Braamfontein, Johannesburg.

#### 1.6.1.1.3. Department of Economic Development (DED)

The DED is commonly known as the “command centre” of the CoJ, due to the role it plays in its efforts to grow the economy of the city. The department’s vision is to enhance the CoJ role as the “economic hub on the continent, and a national economic-growth leader, by ensuring sustainable shared growth that benefits all” (CoJ, 2016c). The physical address of this department is 15th Floor, Jorissen Place, 66 Jorissen Street, Braamfontein, Johannesburg.

#### 1.6.1.1.4. Department of Social Development (DSD)

The DSD’s responsibility is to facilitate human and social development for all residents within the CoJ, through a “targeted focus on poverty, education, food security, development initiatives that enable self-sustainability, improving health...and real social inclusion” in line with the Joburg 2040-GDS. The department is responsible for providing support and promoting initiatives which amplify human capital and that expand the communities’ capacity (CoJ, 2016d). The department is located at Metro Centre - A Block, 158 Civic Boulevard in, Braamfontein, Johannesburg – with offices in all seven regions within the CoJ.

Those mentioned above are what the CoJ calls core departments, amongst others. Listed below are the CoJ entities known as municipal owned entities) which are wholly-owned companies of the City of Johannesburg.

#### 1.6.1.1.5. Joburg Water (JW)

The Head Office of Joburg Water (JW) is at 17 Harrison Street Marshalltown, Johannesburg. JW was established in November 2000, following the iGoli Transformation Plan. It is an independent company with the CoJ as a sole shareholder

(CoJ, 2016e). JW reports in its 2014/15 Integrated Annual Report, under Section 10, that the company “adopted” a CSR policy. This policy aims to align the company’s CSR efforts to that of the United Nations Global Compact principles which expect “companies to embrace, support and enact, within their sphere of influence, a set of core values in the areas of human rights, labour standards, the environment and anti-corruption”.

#### 1.6.1.1.6. City Power (CP)

According to City Power’s Integrated Annual Report (2015:46), it acknowledges the importance of CSR. The author of the report refers to CSR as an equivalent to the Socio-Economic Development (SED) plan. According to the City Power Integrated Annual Report, CSR “strictly speaking applies to the Private Sector” and that the Public Sector already has reporting requirements in terms of the Municipal Systems Act, 32 of 2000 and Integrated Development Plans (IDPs). It is for this reason that the researcher needs to establish how social responsibility is understood and interpreted by the entities, including City Power. City Power is located at 40 Heronmere Road, Reuven, Johannesburg.

#### 1.6.1.1.7. Johannesburg Development Agency (JDA)

Johannesburg Development Agency (JDA) is tasked to manage and facilitate developmental programmes to build an unbiased, sustainable, and resilient city. According to the JDA Integrated Annual Report (IAR) for the financial year 2014/15, the company had spent just over R200 000 on Corporate Social Investments projects during the year under review, through partnerships, initiatives, and support. The report also states (IAR, 2015:48) that the Joburg 2040 GDS informs JDA's programmes. JDA is located at The Bus Factory, No.3 Helen Joseph Street, Newtown, Johannesburg.

#### 1.6.1.1.8. Pikitup

Pikitup states in its Integrated Annual Report 2014/15 (IAR, 2015b) that it ran several youth development programmes. It is important to establish how Pikitup develops and implements these programmes and how these programmes function and aligns to the CoJ objectives. Pikitup is situated in Jorissen Place, 66 Jorissen Street, Braamfontein, Johannesburg.



### **1.6.2. *The context of the study***

The context of the cluster sample on which the research is focussed is the geographical area of Riverlea in Johannesburg, Gauteng Province of South Africa. The people residing in this area are mostly made up of Afrikaans and English-speaking individuals. They mostly reside in formal housing units with formal (brick) and informal (corrugated sheeting or wood) back-rooms. Research conducted since 1996 indicates that there is a feeling of isolation and deprivation (Strong, 1996:68), and recent indications are that the area has shown a great deal of social decline (CoJ, 2016a).

In contextualising the study further, the researcher has personal experience of deprivation. Growing up as a coloured child, the researcher knows how it feels to share the little food there was with six other siblings, being raised by a domestic worker mother and a seasonal-worker father who's passing away propelled the researcher into the father-figure role of six siblings at the age of 20 years. This introductory context of the researcher's life urged him to understand why some of his peers – male and female - are giving up on themselves and to search for possible adaptations that can be made to the current programmes of the CoJ to assist the community of Riverlea to develop and sustain themselves.

The following research procedures were deployed in order to realise the research objectives.

### **1.6.3. *Research Procedure***

The chosen research procedure should provide an unbiased response to the research questions, and measures need to be put in place to reduce the degree of bias, although it has been suggested that unbiased research is impossible (Tracy, 2013:229). The researcher had selected respondents purposefully and randomly, stuck to what the data shows, read reliable sources on how to prepare interview questions objectively, and ensured that questions were clear, and respondents were ready and willing to be interviewed. The researcher also allowed for privacy during personal interviews and prepared interview schedules that would not last longer than 45 minutes. The collected

data was collated in an effort to understand the overall case, and not the contributing factors that influenced the case.

A description of the sampling method, data collection and data analysis as applied in this study will follow:

#### *1.6.3.1. Sampling*

The main factors that affect sample accuracy as stated by Wimmer and Dominick (2006:80-109) are population parameters and the size of the sample. Wimmer and Dominick (2006) indicate that, depending on the objectives of the research, a homogeneous target population requires a smaller sample size, compared to heterogeneous populations. A larger sample needs to be drawn if the population is of a diverse socioeconomic standing, different language preferences, educational levels, and occupation.

As indicated earlier, the Riverlea community is a homogenous population, and a smaller sample was selected. The researcher was guided by the research questions on which units to sample and what method to use (Bryman, 2012:416).

##### *1.6.3.1.1. Sampling of participants*

Two sampling methods were chosen. The purposive sampling method was chosen for NGOs, CoJ and MOEs, and as the selection narrowed to the Riverlea residents, cluster sampling was used. **Purposive sampling** is reliant on the judgement of the researcher. The researcher selected individuals and sites for the study as they hold typical attributes that purposefully could inform and understand the research problem and the core phenomenon of the study (Bryman, 2012; Creswell, 2007:125; De Vos *et al.*, 2011:232; Yin, 2011:88) and allow for rich sources of data (Merriam, 2009). According to Creswell (2007:230), **cluster sampling** is mostly used when the researcher does not have a sample frame available but rely on a map of the geographical area. Cluster sampling also has a time and cost saving benefit (Creswell, 2007). According to Bryman (2012:709), this sampling method is applied when the researcher first identifies a specific area or cluster and then proceeds to sample units from the selected clusters.

The researcher made use of the CoJ Geographical Information Systems (GIS) map data base to retrieve an aerial map of Riverlea and used that map as a sample frame (Figure 1.1). The researcher then selected five out of the eleven extensions that make up Riverlea, followed by a random selection of six houses per extension. These houses were selected from the aerial map of that extension. One house per street was randomly selected and circled on the aerial map (see Figures 3.1-3.5 in Chapter Three). A pre-emptive decision was taken that if a household declined to be interviewed or not being at home, the researcher will move to the next circled address on the map. In total, the sample consisted of 30 households. The selected participants had to be over the age of 18 and of any gender; be a resident at the address; give informed consent to participate in the research; give consent for a recording to be made of the interview, and be able to understand English or Afrikaans.

The units selected for purposive sampling consist of three NGOs operational in Riverlea. These three NGOs were EnviroParks, Mission for Jesus and Hands of Compassion. The interviewee had to be a director and/or manager of the NGO. The same criteria applied to the four-selected MOEs (City Power, Johannesburg Development Agency, Johannesburg Water and Pikitup) and the three selected CoJ departments (Department of Community Development, the Department of Economic Development, and the Department of Social Development). The three interviewees in the CoJ departmental purposive sample had to occupy a position of authority and decision-making and had to provide consent for the interview and the recording of such.

According to Flick (2002:64), sampling is an important component when the researcher uses "...material which promise the greatest insight, viewed in the light of the material used and the knowledge drawn from it". Therefore, the interviewees and the case study area were selected as an inclusive strategy which grew with the emerging purposive sample. To ensure compliance with the universum parameters, a percentage of the population was selected as a representation of the sample.

Tracy (2013:134-138) warns that care needs to be taken not to collect surplus data, but a sense of balance needs to be maintained in order to guard the study against

superficial and out of date contributions. Therefore, a decision had been made by the researcher regarding the need for more interviews, meetings, and documentation if the researcher was of the view that the information gathered in any of the latter becomes saturated. Data collection was considered complete when sufficient information was gathered to support the broad interpretative argument.

#### **1.6.4. Data Collection**

The researcher always had during the data collection period, informed participants of the purpose of the research, the significance of the interview, how long the interview would last and the confidentiality of the information. The researcher also explained that the interviews would be recorded, that he would be taking notes during the interview, and that the participants were reminded that they could withdraw at any time during the interview.

The data collection methods included a literature review, semi-structured interviews, and field notes. These methods are discussed below:

##### **1.6.4.1. Literature review**

A literature review as described by Mouton (2008:81) is a review of the latest work/research already been done by scholars in a specific research field which provides the reviewer access to credible and relevant information. The literature review was conducted by studying primary and secondary sources. Primary sources that were consulted were the Constitution, the Gauteng State of the Province Report (SOP), annual integrated development reports, and strategic government documents of Gauteng Province. The literature review for this study also entailed the identification and analysis of secondary sources such as books, newspaper articles, relevant journals, and conference papers.

In order to ensure access to recent, relevant, and credible information, the researcher consulted:

- Different internet search engines such as Google Scholar and SAePublications.
- Related scientific reports and research studies (conducted by government, universities, and international organisations).

#### 1.6.4.2. *Semi-structured interviews*

Data was collected using semi-structured interviews over a six-month period (March 2016 to August 2016) in all the institutions mentioned above (1.6.1.1.). According to De Vos *et al.* (2011:245), the research period, measured in time and money, can be a primary concern in establishing the feasibility of a study. A pilot availability study was conducted of six randomly selected cluster sample units and two in the purposive sample unit to establish what would be the best time and manner to conduct the research. The researcher used two afternoons during the week and Saturdays to conduct the pilot data collection with the units in the cluster sample, and office hours with the units in the purposive samples. By conducting the pilot study, the researcher ensured that the interview schedules would provide the data needed for the study. Despite doing the pilot study the fieldwork took six months due to the fact that researcher's field work/data collection coincided with the build-up to the local government elections. This overlap resulted in several meeting postponements by local authority staff, stretching the timeline for fieldwork to six-months.

The pilot study, however, allowed the researcher to get an indication as to when most people would be available and willing to be interviewed. Based on the information gathered during the pilot study, the main research was then conducted and had minimal financial implications for the researcher.

The questions consisted of a semi-structured list of topics. Respondents for the semi-structured interviews included the following groups:

- Residents of Riverlea (20 houses, cluster sampling)
- Non-governmental organisations (NGOs) (3 purposive sampling)
- Purposefully selected local governmental departments (the Department of Community Development, Department of Economic Development, and the Department of Social Development).
- Municipal owned entities (MOEs), namely Joburg Water, City Power, Pikitup, and the Johannesburg Development Agency (purposive sampling)

According to De Vos (2000:297), interviewing as part of the research process “has been identified as the most common method of data collection by researchers” in the humanities, to inform them about social life since the 1950’s.

Two of the primary functions of the personal interview lies in the description and exploration thereof (Jarbandhan & De Wet Schutte, 2006). These authors also state that in order to understand the interview as part of the research process, the researcher must understand the purpose of the interview, that is, to get reliable and valid verbal information from respondents during face-to-face conversations regarding the research topic.

The semi-structured interviews allowed the researcher to gain a detailed picture of a participant’s understanding or perception of the research questions.

#### *1.6.4.3. Field notes*

According to Botma *et al.* (2010:218) and De Vos *et al.* (2011:359), in order to have a reflective overview of an interview process, it is important for the researcher to make full and accurate notes after an interview in order to minimise loss of data. Field notes serve as a written account of what the researcher observed, perceived, experienced, and thought during the interview (De Vos *et al.*, 2011:359). The researcher complied with these requirements during the interviews.

#### **1.6.5. Data analysis**

Qualitative data obtained was recorded, transcribed, and interpreted in order to draw conclusions from the findings. According to De Vos *et al.* (2005:334), researchers must observe their analytical processes, and report on such processes. How this reporting will be executed will be dependent on the purpose of the study. The best method to present the data analysis and interpretation are in a curved image (Cresswell, 1998:142-165). Instead of moving in a fixed linear ideology, the researcher moved in analytical circles, touched on several aspects of analysis, circled upwards and around towards completion of the process. This means that under each heading the researcher will touch on several aspects as identified by the respondents and link it in some instances to previously mentioned challenges or challenges not yet mentioned.

The researcher incorporated the nine-step analytical spiral by Cresswell (1998) as described by Marchall and Rossman (1999:152-159). This spiral is explained in no particular order, as these steps as described by Cresswell (1998) are merely guidelines, can sometimes overlap, move in circles, and some steps can be completed before others or omitted. These steps are:

1. "Planning for the recording of data.
2. Data collection and preliminary analysis.
3. Managing or organising the data.
4. Reading and writing memos.
5. Generating categories, themes, and patterns.
6. Coding the data.
7. Testing the emergent understandings.
8. Searching for alternative explanations.
9. Representing and visualising (writing the report)".

In summary, the above steps were achieved through collecting data from individual interviews with community members, managers of NGOs operational in Riverlea, directors/managers in the three selected CoJ departments, and directors or managers of MOEs. In order to identify challenges, the researcher needed to find patterns or themes in the collected data and extract the themes from the interviews. Throughout the coding of the data process, the research objectives guided the researcher. Testing the emergent understanding of the data with the aim to provide an overview of deprivation and its challenges in the context of community development, and how the CoJ and the other institutions address these identified challenges, was conducted using empirical analysis.

During the empirical analysis, the researcher explored the Integrated Reports of Johannesburg Water, City Power, Johannesburg Development Agency and Pikitup over the previous three financial years (2012/2013 to 2014/2015) and the integrated development reports of the CoJ over the same period. Integrated development reports are presented as merged accounts that contain Sections of corporate governance, financial performance, and social responsibility issues, amongst others (KPMG, 2011:3).

## **1.7. CONTRIBUTION OF THE RESEARCH**

In summarising the work of Hussein (2003), Strong (1996), Swanepoel and De Beer (1998, 2006, 2011), UJ (2016), and White (2007), today's societies, in general are facing severe challenges to adopt a more sustainable community development approach to sustain them over the long-term. However, most communities are not equipped to do it on their own and need the assistance of government and the private sector to support them in realising this approach. The conventional model of CSR in business does not effectively address the wider social responsibility agenda of a local municipality to promote sustainable community development. CSR as an obligation of business to civil society has emerged to be a strong contender alongside an increasing role for local governments in social responsibility. However, it is not clear yet what role, and how big local government's role must be in social responsibility through its institutions and allied organisations. The role of the business is dominated by philanthropic acts and in some instances, reputational objectives to maintain a favourable public image. The role of government, however, is dominated by the overarching principles of the Constitution.

It must be mentioned that literature in the specific field of study (social responsibility with regard to the local sphere of government) was severely limited. This study will, therefore, add to the deficit of literature in this field of study. This mini-dissertation is the first known general assessment of the social responsibility programmes in the Riverlea geographical area of the CoJ and aims to make recommendations on how the CoJ should harness the opportunity to engage the households, MOEs, and NGOs in promoting community development. Therefore, the contribution of this research to the literature is to find common ground between theory and practice, and how the CoJ is assisting the community of Riverlea to build a resilient and vibrant community that can sustain them in the long-term.

## **1.8. TRUSTWORTHINESS**

Trustworthiness of the qualitative approach was ensured through triangulation (Maxwell, 2009:244-245; Patton, 2002:553; Yin, 2011:81) and Guba's elements as described by Krefting (1991:215-222).



According to Guba's model, as described by Krefting (1991), four elements are important to ensure trustworthiness of qualitative research. Guba's model is based on:

- *“Truth value*: credibility in the truth of the findings and the context in which the study was undertaken.
- *Applicability*: the degree of transferability of the findings to other settings or with other groups.
- *Consistency*: dependability of the findings and would it be consistent if the enquiry were reproduced with the same informants or in a similar context.
- *Neutrality*: confirmability that the findings are not based on biases but only on the findings grounded on data from the informants and the conditions of the research”.

The above four elements were employed during the research and analysis processes.

According to Yin (2011) triangulation assists the researcher in reducing bias and allows for verification of the truthfulness of participants' responses, and seeks to verify or corroborate a particular event, fact or description. Several triangulation approaches are used by researchers (Maxwell, 2009; Patton, 2002; Yin, 2011) - only the informant's triangulation will be used and discussed. This technique uses different research instruments or sources of data, such as the utilisation of different informants to enhance the quality of the data from different sources or the use of interviews, focus group discussions or participant observation. The intention is to obtain various views on the phenomenon under investigation with the purpose to heighten the validity (Bryman, 2012).

## **1.9. ETHICAL CONSIDERATION**

Ethical conduct by researchers in the social science research field is of great importance (Bless *et al.*, 2006:139; Struwig & Stead, 2001:66; Yin, 2011:38-47). The researcher endeavoured to undertake the research with integrity by disclosing his identity to the participants. Firstly the researcher informed his work supervisor Director William Mazibuko (see Annexure DIR-R) and the community leader of Riverlea Cllr Dazel Douglas (see Annexure CLR-L) of the research. The researcher also took great

care when he disclosed the purpose of the research to the participants, as an introduction during the semi-structured interviews, not to create a perception that the research would result in a quick solution of all adverse experiences of the interviewees. The researcher always considered ethical considerations as highlighted by Tracy (2013:242-243) throughout the research process. These considerations are:

- Procedural ethics, as those standards prescribed by organisations or institutions. These standards are deemed to be universal and are intended to:  
a) do no harm, b) avoid deception, c) get informed consent, and d) ensure privacy and confidentiality.
- Situational ethics refer to those ethics that arise within the context of a specific situation such as:
  - a. Utilitarianism that concern itself with the greater good, and
  - b. The researcher is required to weigh the benefits of the study with the cost and implications of questionable practices.

At no point was anyone forced to participate, reveal information he/she was not comfortable to reveal, or reveal information that could cause harm. Participants were informed that if they wish to withdraw, that they are entitled to do so at any time during the process. Furthermore, the information gathered was voluntary and would be regarded as confidential. No participant's name was mentioned, other than the NGO's who requested during the interviews to be mentioned by organisation's name. All other participants were assigned a number based on the sample group. This ensured that participants' identity remained confidential. A question was included in the research, to be affirmed by the participant in order to confirm his/her voluntary participation and consent. This was evident when the researcher refused to interview two under-age young men at two of the sampled houses and accepted the request of an adult male not to be recorded as non-consent and consequently not interviewed (see item 3.2).

Research ethics is considered a high priority by the North-West University (NWU) which is administered by a Research Ethics Committee. This committee serves as gatekeepers of ethical considerations in research at this institution. Before commencing with the research project, a Research Ethics Application Form was completed and submitted. The nature of the form communicated the scope of the

research and to what extent ethical considerations would be taken into consideration. After the approval of the research proposal by the Research Ethics Committee of the NWU, the research commenced. This process ensured the ethical manner in which the proposed research would be conducted.

#### **1.10. OUTLINE OF CHAPTERS**

The research is arranged in a chronological form of chapters.

**Chapter 1** provides an introduction and background to the case study. This chapter also provides research questions and objectives based on the problem statement, followed by central theoretical statements, the research methodology, ethical considerations, and an outline of chapters.

**Chapter 2** sets out the theoretical basis of the research by defining and describing the key themes and theories of the study, such as social responsibility and corporate social responsibility, social contract theory, community development, deprivation, and non-governmental organisations. Specific emphasis is given to social responsibility and community development.

**Chapter 3** provides an overview of the deprivation in Riverlea and highlights the deprivation challenges in the context of community development and how the CoJ and its institutions, together with its allied institutions, are dealing with the challenges using empirical analysis.

**Chapter 4** consists of a summary of the empirical research relevant to the objectives of the study, followed by recommendations based on the findings to establish, improve and/or accelerate efficient and effective implementation of the social responsibility agenda to promote community development in Riverlea.

## **CHAPTER TWO**

### **EXPLORING KEY CONCEPTS AND THEORIES**

#### **2.1. INTRODUCTION**

Concepts and theories are terms used by researchers to communicate developments in research (Bryman, 2012; Hamdi, 1996). In this chapter, the conceptual and operational contexts of social responsibility, CSR and community development will be discussed in line with their theories which form the foundation of the study.

According to Bryman (2012:710), a concept is a term given to intangibles that represent a collection of objects or certain phenomena that possess similar characteristics. Each scientific discipline develops concepts or borrows concepts from other disciplines in order to smooth the progress of research and communication. According to Nachmias and Nachmias (1976:47), legitimate concepts should fulfil a basic requirement. It must provide clarity and precision through definition. Researchers identified two types of concepts, namely: conceptual and operational concepts. Theoretical concepts refer to the use of one concept to describe another concept, and operational concepts provide a sequence of steps the researcher must follow in order to express the empirical occurrence represented by a concept (Nachmias & Nachmias, 1976:47). In this research, the author made use of conceptual concepts.

Hamdi's theory (1996:28) can be used to direct one's actions and afford the researcher opportunities to explore new unrealised aspects of the world. The word theory comes from the Greek word *theoria*, "which means a speculative view or systems of ideas that explain something based on general principles independent of the things to be explained" (Oxford Dictionary, 1998:862). Theories provide an alternative view to the existing belief in everyday reality and speculate about the world in contemporary ways (Hamdi, 1996). What can be deduced from the above descriptions of a theory is that one can understand theory to be the nucleus of everything we speculate about and that theory aids researchers in thinking beyond what is, to what might be or what ought to be.

Concepts and theories, as stated above, give rise to the development of terms such as social responsibility, corporate social responsibility, and community development.

Chapter two will contextualise social responsibility in the context of local government with reference to CSR. Social responsibility is elaborated on from the basis of the social contract theory which in the South African context is based on Constitutional Democracy. The latter will be followed by a synopsis of community development and the elements of deprivation before concluding the chapter with an overview of the role of NGO's and a closing summary of the chapter.

## **2.2. SOCIAL RESPONSIBILITY AND CORPORATE SOCIAL RESPONSIBILITY**

According to Carrol (1999:269), the early terminology for CSR as it is known today (2017) was only social responsibility. Although the concept CSR became increasingly recognised over the years, the fundamental idea can be traced through history. As the Western World arose from the destruction of World War II (1939-1945) and confronted tensions of the Cold War (1947-1991), the West intensified its strategy on how to rebuild businesses and the direction of the economic system. For many decades, authors, researchers, and academics endeavoured through ongoing efforts to pronounce the responsibility of government and business, to provide a moral basis for those responsibilities, how to respond to those responsibilities and how to execute those responsibilities (Carrol, 1999:269-270).

Bernard Dempsey set out a rationale for responsible business practice in his 1949 article published in the Harvard Business Review, titled, "The Roots of Business Responsibility" (Carroll, 1999). Dempsey based his argument on four philosophical concepts of justice: *exchange justice* - based on the fundamental exchanges in the market; *destructive justice* - the unprejudiced relationship between the government and individuals; *general justice* – acceptance of ethical obligations; and *social justice* – the responsibility to contribute to the well-being and development of individuals and society (O'Boyle, 1998:21). In the same year (1949) Donald, K. David of Harvard Graduate School of Business Administration called upon leaders in business to become engaged in public affairs beyond its immediate economic function and offered a moral justification for engaging in ethical business (Sengupta, 2016:11). Both Dempsey and

David emphasised that business must respond to the responsibility of social justice. They unanimously agreed that no business could function in silos. They argued that business controls a considerable amount of resources and can contribute to the development and the well-being of individuals within society.

In the book “The Social Responsibilities of Business: Company and Community 1900-1960”, Morrell Heald analysed the policies and practices of business in order to give a synopsis of how business defined and experienced social responsibility. In his timeline, Heald states that in 1906, former president of Yale University, Arthur Hadley, told business leaders to recognise that they are also trustees of public interests and must, therefore, align their sense of responsibilities and ethics correspondingly. According to Heald, Young and Swop stated that shareholders were only one of the stakeholders to whom business leaders were responsible and that the public and employees are hierarchically placed higher than shareholders, and therefore business was responsible to them (Centre for Ethical Business Culture, 2010:10). As Heald concluded his timeline towards the 1950’s, he described how business embraced the concept of substantive cooperation and partnerships between business, labour, government and community on a selection of community activities beyond philanthropic acts (Carroll, 2000), but more towards executing businesses responsibility with a lasting positive impact.

Archie Carroll (1999:268-295) has provided the most comprehensive summary of the evolving nature and definitions of social responsibility and CSR in the business environment to date. Carroll gives recognition to Howard R. Bowen for his book “Social Responsibility of the Businessman”, authored in 1953, as one of the few books that dealt directly with the concept of social responsibility. According to Carroll (1999:268), Bowen proclaimed that social responsibility is the “...obligation of businessmen to pursue those policies, to make those decisions, or to follow those lines of action which are desirable in terms of the objectives and values of our society”. Business leaders also developed a definition in 1971 under the auspices of the Committee for Economic Development (CED), which defined CSR as the “business functions by public consent, and its basic purpose is to serve the needs of society constructively – to the satisfaction of society” (CED, 1971:11).

Carroll (1999:268-270) noted that this articulation of the definition perhaps emerged in part from the social, urban and political turbulence of the late 1960's. He proposed "...four kinds of social responsibilities [that] constitute total CSR: economic, legal, ethical and philanthropic" and continue by saying "the CSR firm should strive to make a profit, obey the law, be ethical, and be a good corporate citizen" (Carroll, 1991:40-43). Carroll noted increasing consideration among academics and business leaders to how the business responds to responsibility in his synopsis of the evolution of the CSR concept.

Amid the evolution, William Frederick challenged CSR scholars in 1986 to transect the underlying conflicts between business and changing societal expectations (Garriga & Mele, 2004:51-74). Fredericks continued to advocate for the connection of business ethics with CSR. This linking of the moral base of business ethics to CSR led to a third branch – which Frederick denotes corporate social rectitude (Frederick, 1996:126-141). As a result, according to the Centre for Ethical Business Culture (2010), business ethics sprouted as a field from the mid-1980's through to the 1990's. After the 1990's, the concept of corporate citizenship gained momentum, and in recent years, corporate accountability grew in prevalence as scholars, business and NGOs increasingly focused on which practices are needed to ensure companies are accountable to all stakeholders.

However, as can be seen from the above historical concept progression, social responsibility's onset in the business sector was not immediate, but an evolutionary process, which developed through theories.

For this mini-dissertation, the social contract theory is important in order to illustrate the development of social responsibility from a governmental perspective, as the focus of the study is the CoJ as a third sphere of government responsible for the rendering of a variety of social services in Riverlea.

### 2.3. SOCIAL CONTRACT THEORY

The social contract theory originated in the writings of Plato. However, the most well-known and written-about political philosophers were Thomas Hobbes (1588-1679), John Locke (1632-1704), Baron de Montesquieu (1689-1755) and Jean-Jacques Rousseau (1712-1778). According to Morris (1999), these political philosophers inaugurated the modern social contract. Morris (1999:ix) further states that they argued that “...the powers and privileges enjoyed by our rulers are conditional on the performance of their responsibilities. Rulers need to serve the interests of the governed if they are to elicit their consent”. During the time of these philosophers, it was believed “that the state only exists to serve the will of the people and that the people were the source of all political power enjoyed by the state. The people may choose to give or withhold this power based on their freedom and equality” (Morris, 1999:2-4).

This early background of freedom and equality originates from the government’s promise and the expectation that it would attend to the interests of the governed. This background is approached in different ways in social contract theories. **Thomas Hobbes** (1588-1679), wrote the *Leviathan* in response to the English Civil War (Kelly, 2003:163; Morris, 1999:3) to demonstrate that political sovereigns have supreme and unrestricted authority over subjects and that it keeps them safe from harm when they’re continued existence is at stake. Boucher and Kelly (2003:164) are of the view that the significance of Hobbes’ theory is found in his effort to express how a cooperative civil society can change and become larger and coexist in society, if humans are assumed to be harmful to the existing social order, and human nature was based on the view that the self is all that exists. This implies that the individual is self-centred and can only be certain of his/her own survival thoughts and ideas. The significance of Hobbes’ theory is greatly associated with the contemporary moral and political theory (Boucher & Kelly, 2003:164-165). After Hobbes, John Locke is best known to have made a significant contribution to the exponents of the social contract theory.

**John Locke** (1632-1704), an English political philosopher, advocated the social contract theory. He was perhaps the most widely read political philosopher during the eighteenth century (Sharma, 2002:19) and continues to have an impact on the



strategies of liberal philosophies in the modern political arena (Boucher & Kelly, 2003:181). Sharma (2002:19-20) states that Locke believed that governments exist through the consensus of governed people, who possessed certain natural rights to life, liberty, and property. For Locke, this reality was the funnel of human life and humans should be at liberty to seek their reality, within their means, with their own minds, and with respect for the individual rights of others and one's own individual rights (Faiella, 2006:9). Governments are there to protect these rights, and as long as they do that, people should obey them. Locke's theory as it developed was designed to protect the individual against absolute rulers; these include "...attempts at enslavement, unpredictable aggression, and a social atmosphere of miserable uncertainty" (Boucher & Kelly, 2003:184).

In regard to natural law, Locke advocated that the state of nature which paved the way for the social contract, was not one of anarchism as Hobbes had envisaged, but was a "state of liberty, not license" (Sharma 2002:19). Humans are born free, pardoned from the moral or legal onus of any social contract his/her parents, ancestors or fellow members of society has entered into (Boucher & Kelly, 2003:186). John Locke had a strong liberal view of society (Rossides, 1998:49). He believed that human nature allowed men to be selfish, to enjoy freedom, to own property and rulers had to obey those rules.

For rulers to obey the will of the people and to prevent the abuse of power, **Baron de Montesquieu** (1689-1755) is seen as the forefather for the idea of checks and balances or separation of powers in a government system (De Dijn, 2014:21-22). According to Montesquieu, there are three types of government systems: a government that is ruled by a king or queen (a monarchy), a government that is ruled by an elected leader (democracy), and a government that is ruled by a dictator (despotism). Montesquieu believed that democracy in which the people have the power is dependent upon maintaining the right balance between those who make the laws, those who enforce the laws and those who interpret the laws (De Dijn, 2014:25-41). Montesquieu further argued that an unsurpassed government would be one in which power was equalised among the three groups. That way, power would not be placed with one individual or group of individuals. According to Van der Vyver, as

observed in Mangu (1998:4), “the idea of separation of powers eventually developed into a norm comprising of three principles”. The principle of *trias politica*, that necessitates a disunion of the three branches of state authority (the judicial, legislative and executive branches); the separation of personnel serving in each; the separation of functions between people serving in each organ of state authority; and the checks and balances required by each organ on the others’ functions in order to reach symmetry.

As Montesquieu, **Jean-Jacques Rousseau** (1712-1778) expanded the social contract theory further in pursuit to change how the government of the day functioned. Mads Qvortrup (2003) presented Rousseau in his book, *The Political philosophy of Jean-Jacques Rousseau* as an author that approached the subject of social and political philosophy with an appealing broad foresight in the milieu of the development of modernity, including our existing concerns. Qvortrup (2003) portrays Rousseau as a revisionist and a sympathetic conformist who is one of the earliest and possibly the only political philosopher who presented a comprehensive political philosophy of nationalism. “Rousseau wrote *The Social Contract*, in which he explained that government is based on the idea of popular sovereignty; the will of the people as a whole gives power and direction to the state. The people rule and become the sovereign, and the government is merely their agent” (Morris, 1999:ix). Rousseau believed that the uprising was not merely fitting but a responsibility if the state abused their given power and endeavoured to find scientific rules that govern the operation of government.

What can be deduced from the above is that the social contract theory is an ancient philosophical debate that has been put forward as a theoretical basis upon which to explain the responsibility of government towards society. The social contract concept has been used, as summarised above, since the 17<sup>th</sup> century to justify human rights (see item 2.4). The concept implies that each human being’s political and ethical obligations related to a contract he/she has with every other human being within a societal system. This agreement can be an implied as an unspoken or unwritten agreement of customs and social norms or explicitly expressed when it is written in the form of legislation. In order to give assurance that the state does not abuse their given

power, checks and balances need to be filtered into the social contract concept. This gave rise to the separation of powers within the state and formed the basis for South Africa's Constitutional democracy.

#### **2.4. SOUTH AFRICA AS A CONSTITUTIONAL DEMOCRACY AND ITS SOCIAL RESPONSIBILITY**

South Africa formally made its constitutional transition when the country adopted the Interim Constitution – Constitution of the Republic of South Africa Act 200 of 1993. The Interim Constitution was replaced by the final Constitution, Act 108 of 1996. Imprints of the *trias politica* or doctrine of the separation of powers can be traced back to the Interim Constitution which formed the blueprint of the current Constitution (Mojapelo, 2012:39).

Although some argue that the Constitution does not make clear reference to the doctrine of separation of powers as was the case of the Interim Constitution (Schedule 4, Principle VI), which stated that “there shall be a separation of powers between the Legislature, Executive and Judiciary, with appropriate checks and balances to ensure accountability responsiveness and openness”, other authors and constitutional experts are of the view that the provision of *trias politica* is implied in or implicit in the current Constitution (Mojapelo, 2012; Rautenbach & Malherbe, 2009:75).

In the Constitution, legislative authority is entrusted to Parliament (Section 43), the executive authority is entrusted to the President of the Republic (Section 85), and judicial authority is entrusted to the courts (Section 165). This separation of powers is central to ensuring, preserving, and safeguarding the vision of the *trias politica* doctrine in the Constitution.

The South African Constitution envisages in Chapter 2 (Human Rights Charter) the attainment of substantive equality, human dignity, the protection of human rights and freedoms. The Human Rights Charter also guarantees that the state will not negatively infringe on citizens' civil and political rights. This includes the progressive realisation of socio-economic rights such as the right to education, rights to housing, the right to an adequate standard of living, among others (Scott & Gallenger, 2006:xvi). It is,

therefore, Parliament, as the custodian of democracy that has the responsibility to ensure that society realises and enjoy their democracy and freedoms as enshrined in the Constitution.

The Constitution also differentiates between the three spheres of government namely: national (Section 44), provincial (Section 104) and local spheres (Section 152) of authority (RSA, 1996). All these spheres have legislative and executive authority within their own spheres of government and are distinctive, interdependent, and interrelated and mutually dependent on each other.

The legislative and executive authority of all levels of government is determined according to the functional areas set out in Schedule 4 and 5 of the Constitution. The legislative proficiency involves the authority to pass legislation, and the executive proficiency involves the authority to give effect to legal procedures (Van Wyk, 2012:289). The role of national government in terms of its social responsibility in the cooperative governing system is that of the facilitation of the common good (Faulks, 2000:53-71; Jessop, 2009:50) and strengthening the capability and accountability of local government.

#### ***2.4.1. Local Government and its social responsibility***

Local governments are stated as a fundamental part of the constitutional system of cooperative governance in South Africa (RSA, 1996:75). In terms of Section 156(1) of the Constitution (1996:76), “a municipality has executive authority in respect of, and the right to administer the local government matters listed in Part B of Schedules 4 and 5, and any other matter assigned to it by national or provincial legislation”. To address these listed matters, individual local governments have to develop Integrated Development Plans (IDPs).

Each IDP is a five-year municipal strategic vision aimed at addressing the challenges identified in the National Development Plan (NDP) and aims at improving the quality of life of the deprived (RSA, 1998:27). The outcomes of the IDP are reviewed annually and adjusted accordingly. According to Thornhill (2008:492), local governments are ideally placed within communities to appropriately respond to societies’ developmental

needs and the expectations of communities. In the context of the Constitution, specifically Section 152, municipalities as part of their social responsibility and their roles in the developmental state, assume a role in economic and social development by establishing specific vehicles such as departments and MOEs to fulfil their constitutional obligation and give effect to the IDP.

MOEs in the CoJ were “set up to focus on delivering services to the inhabitants of Johannesburg. These range from the provision of basic services such as water and electricity and waste management, to the boosting of economic development, the provision of recreational facilities and the maintenance of the city’s roads. Some focus on housing, while other provide for entertainment” (CoJ, 2007).

In combination, the CoJ and its institutions are responsible for the enhancement of the quality of life of local communities, also referred to as community development.

## **2.5. COMMUNITY DEVELOPMENT**

Community development is not a new concept (De Beer & Swanepoel, 2011:1). According to Du Sautoy (1962:91), the concept has been around for centuries, since it has been part of human nature to strive and better their own living conditions and to improve the living conditions of their fellow human beings. Considering the timeline, one would have thought that a clear definition of community development has emerged. Through the literature review, it became apparent that a definition of community development is not obvious. Mendes (2008:3) defines community development as the utilisation of community structures to empower groups of people within the community or to address their social needs. According to Sharma (2002:183), community development is a process whereby the attempts of the populace are merged with those of government to better the cultural and socio-economic conditions of the community. Hussein (2003:274) argues that community development is not only the responsibility of the community but requires the collective effort of various institutions including all spheres of government and NGOs. According to Bhattacharyya (2004:6) “...how one interprets community development affects one’s orientation when initiating a development program”. Bradshaw (2007:7) believes community development is not applied homogeneously across communities. It is

mostly applied in poor communities with inadequate resources to meet their societal needs, or in communities who need support. Despite the disagreement on the definition and application of the concept, the common denominators should be the well-being and growth of the community.

Terms such as “community education” and “community participation” refer to the active involvement of community members to support or oppose a matter, a programme or phenomenon in which they have an interest or otherwise (Ravitz, 1982:1-2).

As mentioned above, community development has been around since the primitive civilisations (De Beer & Swanepoel, 2011:1; Du Sautoy 1962:91). Despite community development’s ancient history, community participation remains a challenge. According to Nour (2011:79), community participation in urban settings are moving at a snail’s pace or “lagged behind”. Sachs (1992:117) observed that the lack of involvement by the intended beneficiaries in development as one of the major limitations why international organisations failed as early as the 1970s in some community development initiatives. In South Africa, community development was not well received in the early 1980’s by then apartheid government and was most popular amongst evangelical missionaries and Black Consciousness Movements (De Beer & Swanepoel, 2011:10-13). According to the latter authors, this could be attributed to the doubt, and suspicion politicians had about its potential for political change at the time.

The new democratic dispensation through its model of co-operative governance, as one of several governmental instruments, have taken great leaps in its endeavour to develop and promote economic growth through legislation, regulations and action plans targeted at improving the general well-being of its citizens, especially deprived communities (Madumo, 2015:154). Municipalities are legally obligated in terms of both the Constitution (Section 153) and the Municipal System Act (Act 32 of 2000) (RSA, 2000), to develop short, medium, and long-term IDPs and align annual business plans and budgets accordingly. These IDPs serve as instruments for incremental planning, which must be revised or reviewed annually, in order to monitor and evaluate medium-term progress for the achievements of long-term goals.

Based on the above, community development must have as its base community involvement (Kotze & Swanepoel, 1983:2) and must be instituted to improve the well-being of communities, especially the poor and disadvantaged people (De Beer & Swanepoel, 2000:128). De Beer and Swanepoel (2000:128) further state that the outcome of community development is not what is indicated in the changes of the national economic growth figures, but it must present itself with a tangible difference in those communities, and ascertain if there are any real changes in people's lives living in those communities.

It is for this reason that the Joburg 2040: Growth and Development Strategy (2011:5) states that, by "...facilitating achievements of long-term goals through medium-term delivery, while individual departmental business plans support detailed operational planning for the financial year ahead, through the expression of deliverables per department. Establishing either of these without a long-term perspective, such as those expressed within the Growth and Development Strategy, could jeopardise delivery against far-reaching developmental goals". The goals that the CoJ had set in the form of seven principles are: (1) eradicating poverty; (2) building and growing an inclusive economy; (3) building livable communities; (4) ensuring resource security and environmental sustainability; (5) achieving social inclusion; (6) building social cohesion; and (7) promoting good governance. Together, these principles can be regarded as expressions of the CoJ social responsibility obligations in terms of the *trias politica* social contract theory of Jean-Jaques Rousseau. What is important for this study is the focus on principle one, namely, eradicating poverty.

As per the self-defined role of the CoJ (2011:33-41), in order to develop "the most marginalised communities" within the city, it must:

- "enable the poor to access basic livelihoods (social grants, skills development, basic employment opportunities and community-based cooperatives);
- empower the poor politically through meaningful participatory governance, and enable them to feel part of the city, using a range of measures – including sports, recreation, arts, and culture – to minimise the experience of social exclusion;
- and

- make allowances for the poor in terms of the regulation and management of the built environment and the use of public space (through developing more innovative, supportive regulatory approaches for the management of informal trading, spaza shops and backyard dwellings)”.

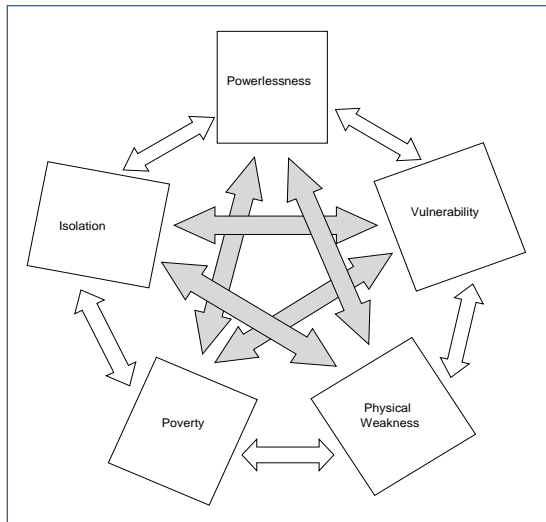
These self-defined roles are aimed at fostering human, social and economic development in the city in the long-term and reducing deprivation in the medium-term within the city, including in Riverlea.

According to De Beer and Swanepoel (2011:1), there are recurrent words that have been central throughout history in community development. Words such as “participation, institutions, training, community, coordination, politics and funding” have been central to community development. The facilitation of community development and the reduction of deprivation are greatly influenced by these recurring words.

## **2.6. DEPRIVATION**

The “deprivation trap” is affecting many communities in South Africa. Martin and Osberg (2007:35) define the deprivation trap as the “unjust equilibrium that causes the exclusion, marginalisation, or suffering of a segment of humanity that lacks financial means or political clout to achieve any transformative benefit on its own”. According to De Beer and Swanepoel (2007:5-9) not only are the affected communities trapped in deprivation, but these communities are in most instances also poor. To understand the deprivation trap, one needs to put the conditions under which some of the deprived communities live under the magnifying glass. The figure below, adapted from Chambers (1983:112) identifies five clusters which interrelate with each other to form a trap. The researcher is focusing on all five for clarity; however, the elements will not be discussed individually, but rather how they interlink with poverty as the main driver of deprivation.





**Figure 2.1** The deprivation trap

**Source:** Chambers, 1983:112

When analysing the links (arrows) among the five clusters depicted in Figure 2.1, it came across that each cluster of the deprivation trap originates in one or more elements of the depicted clusters. According to O'Hare (2014:10), Benjamin Seebohm Rowntree developed the first representation of a poverty line in 1901. Based on this representation if a family at the time did not have the money to purchase the "minimum necessities" such family was deemed poor. This, however, was a different era as the deprived had no safety net (government grants) and poverty mitigation was actioned by philanthropists rather than governments (O'Hare, 2014). Today (2018) several organisations, such as United Nations (UN) and the World Bank has entered the fray. The latter organisations quantified the minimum necessities into a monetary value of what constitute a poverty line and by implication exacerbate deprivation. According to Kenny (2014:4) the Open Working Group made up of Head of States or their representatives of UN member states altered the poverty line from \$1 US to \$1.25 US a day in 2015. This is in sharp contrast to the World Bank's optimistic outlook of \$1.25 in 2005 adjusted upwards to \$1.90 a day in 2011 (Jolliffe & Prydz, 2016:1).

Despite the above adjustments, when people, due to lack of resources and limitations, have difficulty in drawing the attention of the government to such limitation of resources or competing for employment, they start to feel powerless (De Beer & Swanepoel, 2000:11-13). Robert Chambers in his book *Rural Development: putting the last first*

(1983:111-112) illustrate that powerlessness (when the community, for example, enduring high crime levels and feel that the police are of little assistance) can lead to physical weakness (adults unable to work due to illness or disability), vulnerability (households become poorer due to sickness and/or funerals), poverty (lack of income or assets) and isolation (lack of access to markets/information or lack of communal cohesion). Furthermore, the community is vulnerable to illness due to their surrounding environment, specifically the dust from the surrounding mine dumps. To find and keep employment as a physically weak person, can be complex (De Beer & Swanepoel, 2007:5). When people are unemployed, they cannot, in most cases, pay for their medical care and education, among other needs.

The alleviation of poverty is one of the biggest challenges the modern world is facing (De Beer & Swanepoel, 2000). Human beings ensnared in the deprivation trap must be offered a chance to develop themselves and their communities, to enable them to take care of their individual and communal well-being in an autonomous way (Narayan, *et al.*, 2000:25-28), and through the assistance of relevant functioning NGOs.

## **2.7. NON-GOVERNMENTAL ORGANISATIONS (NGOS)**

NGOs form an important link when local governments interact with communities to address social challenges (Ibembe, 2007:2-5). According to Padron (1987:72), the background and role within which NGOs serve communities are made up of four interrelated dimensions. These dimensions are subsequently mentioned and explained as they have relevance to the research.

- “The popular sector (community) and the historical context;
- Institutional relations of the NGO;
- The internal dynamics of the NGO; and
- The project itself”.

The role of NGOs varies depending on the needs and the environment they operate in. Sibanda and Mtapuri (2013:117) are of the view that the role of NGO's should be more transformative and less protective and caring. Swanepoel and De Beer (2011:22) again, acknowledge the protective and caring nature of society through community-based organisations (CBOs) whose role it is to focus on women, youth, faith-based

and traditional issues. Swanepoel and De Beer (2006:18) also argue that as with CBOs, NGOs exist to address specific problems that are prominent in a specific community or area, which can be divided into:

- *Developmental institutions*: these are development banks, microfinance institutions, community development financial institutions which assist communities to access finances for developmental projects. Such as the Development Bank of South Africa.
- *International, national, and local organisations*: International organisations in most instances collaborate with national and local NGO's as the latter has a better understanding of the needs within a setting. These are only some of the international organisations: OXFAM, The Royal Foundation, Save the Children, Doctors without Borders, Gift of the Givers, BRAC and World Wildlife Fund, amongst others.
- *Developmental organisations*: are those NGOs who (a) are characterized by self-help projects where resident people are involved, particularly in the employment of a project by contributing cash, materials, land, labour, and tools etc.; and (b) aims to develop people and provide knowledge in order to better understand the socio-economic and political factors affecting their lives, and to reinforce their self-awareness and potential power to control their lives.
- *Advocacy organisations*: these are organisations that devote their time and efforts to fight and advocate for human rights through the arts, by contributing to policy discussions or legal representation - such as Section 27, Helen Suzman Foundation, Art for Humanity, and Lawyers for Human Rights, amongst others.

On the other hand, Padron (1987:72-73) argues that NGOs "...exist by establishing a working relationship with the popular sector, which also functions within a historical context. The historical context is of importance as it defines the specific nature of the given social reality within which both the NGO and the popular sector/community function". What is also of significance, in regard to communities taking part in development, is that communities will be able to express their conception of what development entails through NGOs. Communities comprehend development "...in terms of participation in their societies and expression of what development means for

them; in their understanding of participation, and the way they define their role in the development process” (De Beer & Swanepoel, 2000:114).

NGOs are crucial to a disadvantaged society, as, in most instances, they do the daily work of giving a voice to communities and providing support, ability and resources (Seidman, 2008:274). They highlight in most instances the plight for change, but it is communities that provide the direction for change (Freund & Witt, 2010:174). In addition, NGOs provide a channel for development and tend to be more successful than state organisations in enjoying acceptance from communities (De Beer & Swanepoel, 2002:22). However, often NGOs operating in communities may be unsophisticated, have weak management, are fragmented, or have limited resources (Cernea, 1991:495; CoJ, 2015).

According to the CoJ website, NGOs in several areas within CoJ perform their role in communities with limited resources and support from government and “as a result, they are often fragmented and sometimes end up competing for status in the community and for small pools of available funding” (CoJ, 2008a). Not all NGOs are suitable for formal development programmes (Cernea, 1991). However, NGOs’ processes of development should be a learning one so that they become well-trained and empowered to successfully address their problems themselves (De Beer & Swanepoel, 2002:23). According to a statement released by Jak Koseff, Director of Social Assistance in the Department of Health and Social Development on the CoJ website, “the City [of Johannesburg] wants to strengthen its relationship with non-profit organisations (NPO’s)<sup>1</sup> in an effort to improve services for its poor and vulnerable residents” (CoJ, 2012) by assisting them with proper offices and communications infrastructure, so that they can access resources and use them more efficiently. Koseff also states that NGOs in the CoJ have been recognised as “collaborators”, and their humanitarian efforts within disadvantaged communities are valued. The city acknowledges the shortcomings in the city’s funding model to NGOs which he states, “must change”.

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<sup>1</sup> NGOs include Community Based Organizations, Non-profit Organizations and Faith Based Organisations – see item 1.1

## **2.8. REFLECTION ON LITERATURE REVIEW**

A great deal of CSR research exists that can guide CSR practices in the private sector. Nevertheless, much more focussed research is needed in the South African public sector setting to establish the social responsibility practices in all three spheres of governments and government enterprises in order to close the knowledge gap in this regard. Although the social contract theory has a long history going back to the 1500s, more research needs to be done to establish its contemporary application and linkage to current developments. As underscored above, several researchers are of the view that the social contract theory has contributed greatly to the South African Constitution, though more research is needed to establish the social responsibility strategies of government (local, provincial, and national spheres) and government-owned enterprises, and how they contribute to community development. Empirical evidence is needed to provide scientific proof that these strategies are working or not and what can be recommended based on research findings to improve such strategies. Thus, this study suggests potential study objectives to contribute to the knowledge gap in local government (municipal owned entities) social responsibility practices.

## **2.9. SUMMARY**

The emerging issues in this chapter are that concepts such as social responsibility, which evolved over many years, for which there is still no clear definition have been theorised since the latter part of the 1500's by political philosophers.

The concept of social responsibility has its roots in World War II (1939-1945) and the subsequent Cold War (1947-1991). Since the end of World War II, the academic world intensified its efforts to pronounce on the responsibilities of governments and business. These intensified efforts by the academia were paralleled with the emergence of several definitions. Carroll (1999) has provided a comprehensive timeline of the evolving nature of the definitions. Although social responsibility has been differently outlined over the years by authors, a common linkage is that governments and business must do their dealings with the best interests of humanity at heart. The common theme of the responsibility of governments is grounded in social contract theory.

The origins of the social contract theory can be traced back to the writings of philosophers such as Thomas Hobbes (1588-1679), John Locke (1632-1704), Baron de Montesquieu (1689-1755) and Jean-Jacques Rousseau (1712-1778). These authors, with the exception of Thomas Hobbes, argued that consent granted to rulers is conditional based on the execution of their responsibilities. The state therefore only exists to serve the will of the people who are the source of the political power. According to these philosophers, the political power enjoyed by the state may be withheld by the populace based on the peoples' freedom and equality and on whether such given powers are abused. Baron de Montesquieu (1689-1755) is seen as the forefather for the idea of checks and balances or the *trias politica* (the doctrine of the separation of the three powers – legislative, executive and judiciary - in a government system).

The South Africa Constitution imprinted the *trias politica* doctrine to safeguard against the abuse of political power. The Constitution also differentiates between the three spheres of government namely: national, provincial, and local spheres of authority. The three spheres of government have specific social responsibility authority over their geographical areas but must work together through the mechanism of cooperative governance.

Local government as the face of government and the first point of call when communities need government services are stated as a fundamental part of the constitutional system and its social responsibility. In order to provide services to society and to develop communities, local governments should develop policies and plans which are informed by the needs of the people. In order to outline and prioritise the needs of the people, municipalities must consult society, and develop and implement IDPs with special consideration to the poor and disadvantaged. In order to address the societal needs effectively and efficiently, in addition to the traditional departments, the CoJ established MOEs to assist in the provision of services and the development of its communities.

Community development as a concept is not new. However, no clear definition exists. Despite the disagreement on a community development definition, addressing

deprivation through community development remains a priority of local government together with the cooperation and involvement of NGOs. Many communities that cannot access government services, most often make use of the services of NGOs to serve as the “middle man” between themselves and the government. In most instances, NGOs themselves also go through difficulties (e.g., financial) but continue to endeavour to serve the humanitarian cause. Community development and service delivery are integral obligations of a local government within its social responsibility agenda. Although concepts are important as part of theory development, their function evolves over time. In this way concepts and their application stay current with the time and setting.

The next chapter (Chapter 3) provides an overview of the deprivation in Riverlea and highlights the deprivation challenges in the context of community development and how the CoJ and its institutions, and allied institutions are dealing with these challenges in line with their social responsibility agenda by means of empirical analysis.

## **CHAPTER THREE**

### **RESEARCH FINDINGS: SOCIAL RESPONSIBILITY AND COMMUNITY DEVELOPMENT IN RIVERLEA**

#### **3.1. INTRODUCTION**

In the previous chapter, the theoretical basis of the study was explored using the description of key concepts and theories. Specific emphasis was given to the social contract theory, social responsibility, and community development. In this chapter, the researcher describes and interprets the collected empirical data using a qualitative analysis in order to address the problem statement and achieve the research objectives. In presenting the analysis, this chapter commences with an overview of the demographic data and provides a synopsis of poverty and its challenges as observed, expressed and experienced by members of the Riverlea community, NGOs operating in the area, and CoJ departments and MOEs. The analysis continues with a description of what the participants mentioned above understand social responsibility to be, what their roles are in community development, as well as stakeholder interaction.

In order to protect the identity of respondents where *verbatim* references had to be made, the names and surnames of community members were abbreviated to Resident R1, R2, R3, etc. All the NGOs gave permission for their names to be used in the research. Respondents of the CoJ departments and MOEs were described by abbreviating the departments to CoJD1, CoJD2, CoJD3 and MOEs as MOE1, MOE2, and MOE3.

#### **3.2. DEMOGRAPHIC DATA**

A cluster sample of 30 households was selected from addresses on an aerial map (see Figures 3.1 to 3.5 below). The researcher obtained the aerial maps from the Geographic Information System (GIS) department of the CoJ. These maps were then used to select five out of the eleven extensions that make up Riverlea, followed by a random selection of six houses per extension, marked with a circle on the map. Only one interviewee per household who gave consent for the interview for that extension was interviewed. Two respondents interviewed at the circled addresses were not at



their permanent residences but are residents of Riverlea who agreed to respond to the interview questions at the addresses where they were at. These two residents were at their life partner's houses who gave permission to answer questions on behalf of the household. A total of sixteen (including the latter two) respondents agreed to participate in the research from the different extensions and nine houses from the different extensions declined to participate in the research. Four of the nine houses only had domestic helpers home who stay outside Riverlea and therefore did not meet the respondent criteria (must be a resident at the address). At two households two individuals (one female one male respectively) refused to come out of the house and only peeped through the window and showed hand gestures for the researcher to go away – the researcher could not hear what there were saying from behind the close windows. At another two houses only under-age young men were home and at a third the respondent declined to be recorded. The latter respondent was then thanked for his time and not interviewed as his request constitute a rejection of the research consent requirement (see item 1.6.3.1.1 for requirements). The researcher analysed the data as it became available and came to the realisation that no new information was coming to the fore, signalling data saturation. As indicated in Chapter 1 (see item 1.6.3.1.1), a decision was taken to cease further interviews after interviewing the sixteenth respondents, based on the saturation of data obtained.

The extension in figure 3.1 does not have any number and is henceforth referred to as Riverlea 0. All other extensions do have numbers and are referred to by their numbers as assigned by CoJ GIS.

The researcher has indicated the selected houses for the research study by encircling them.



**Figure 3.1: Riverlea 0**

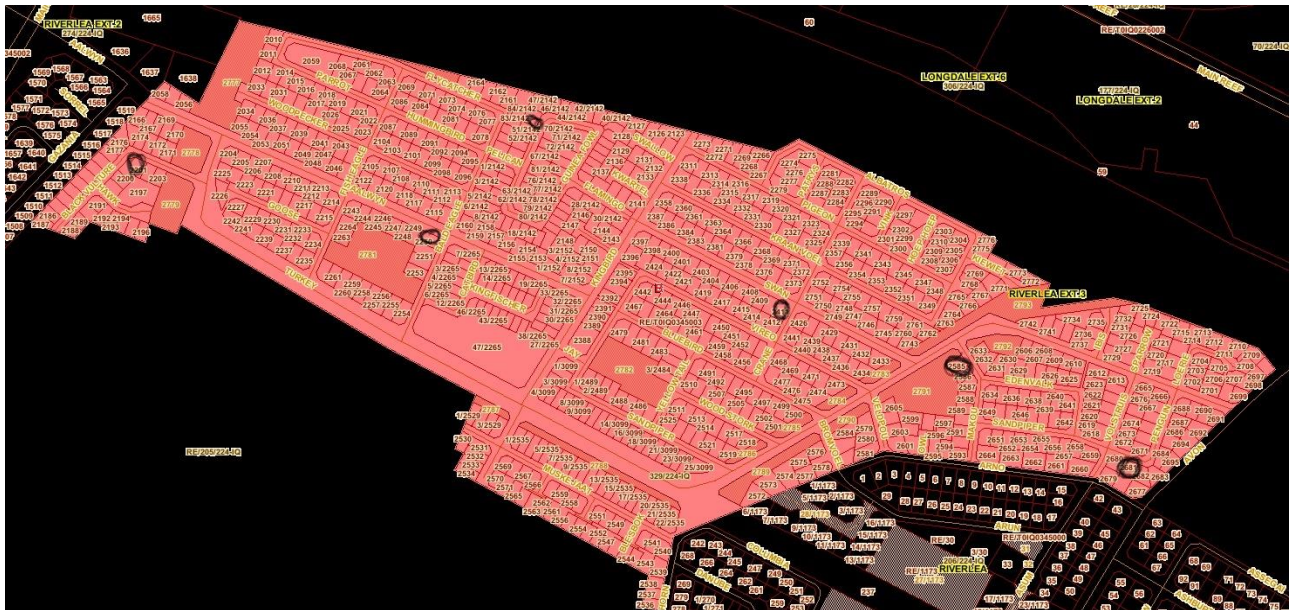
Source: CoJ, 2016



**Figure 3.2: Riverlea Extension 1**

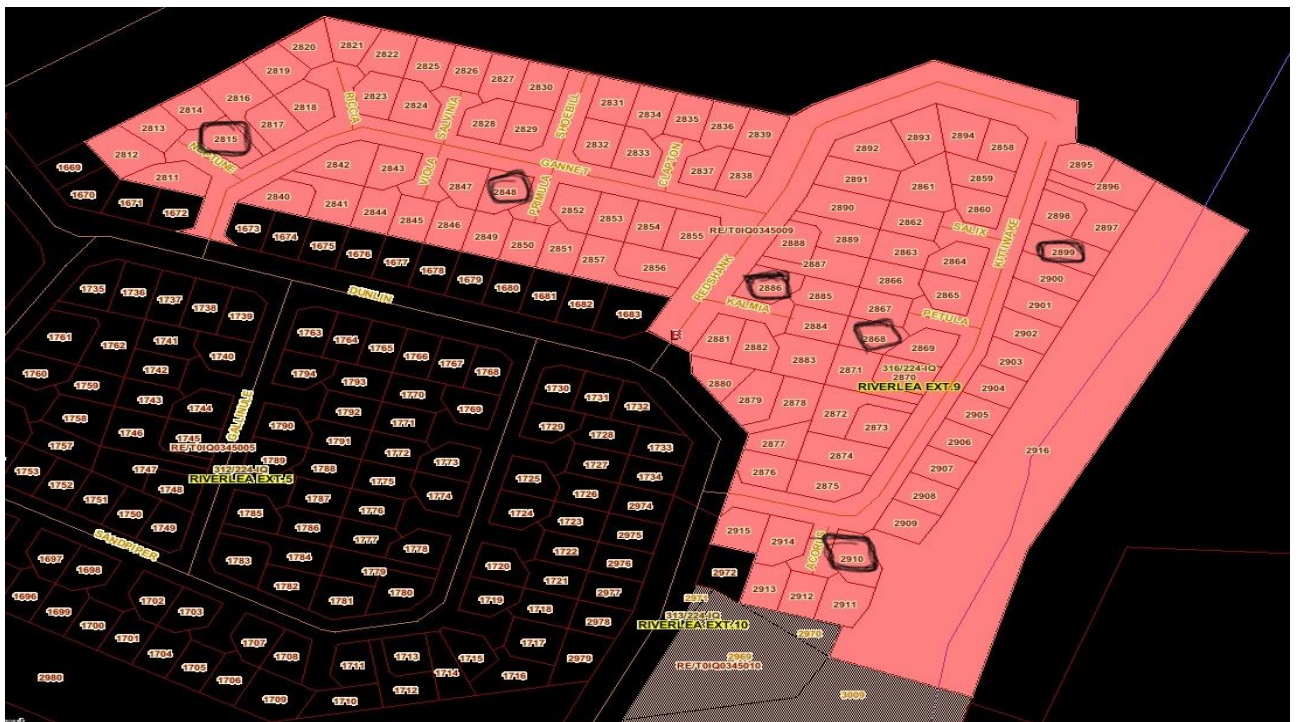
Source: CoJ, 2016





**Figure 3.3: Riverlea Extension 3**

Source: CoJ, 2016



**Figure 3.4: Riverlea Extension 9**

Source: CoJ, 2016



**Figure 3.5:** Riverlea Extension 10

**Source:** CoJ, 2016

Characteristic data were collected to form a general overview of the most prominent interlinking factors of poverty, namely: duration of stay, the level of education and source of income.

It proved difficult to secure appointments with some CoJ Departments, NGOs and MOEs after several face-to-face interview postponements and cancelled appointments by some of the respondents. No specific reasons were given by the respondents for the constant postponements and cancellations other than a request to reschedule due to their work activities linked to the local government elections. A decision was then made to email the semi-structured interview questions to the respondents - which proved to be productive. (see Table 3.1 below).

**Table 3.1:** Email Respondents' Matrix

Respondent	Total Emails	Populated Returned Emails	No Reply
NGOs	5	3	2
CoJDs	3	3	0
MOEs	4	3	1

### 3.2.1. Poverty articulated

The Riverlea community is located in Region B of the seven regions in the geographical area of the CoJ. The CoJ is within the Gauteng Province, and the municipality is the biggest contributor to Gauteng's GDP (CoJ, 2011:48). Despite the City being the biggest contributor to the GDP, the data showed unemployment remains one of the biggest challenges within Riverlea. According to Swanepoel and De Beer (2011:7) unemployment cause poverty and, similarly, a result of being poor could lead to vulnerability. The analysed data draw attention to respondents contributing the high levels of drug use due to unemployment, and in turn linking the combination of unemployment and drug use to crime.

Table 3.2 contains data obtained from populated written responses, through interview recordings and transcriptions, to observe the analytical process as stipulated in Chapter 1 (see item 1.6.5). The researcher incorporated Creswell's (1998) nine steps as elucidated in Chapter 1 (see item 1.6.5) as a guideline. The researcher generated categories and patterns from the data. After an understanding had emerged, the data was coded and divided into themes. Throughout the coding process, the researcher was guided by the research objectives and continuously tested and re-tested the emerging understanding of the data with the aim to provide a synopsis of the research topic.

**Table 3.2:** Analytical framework

<b>Topic:</b> Deprivation <b>Key Theme:</b> Poverty	
<b>Sub-themes</b>	<b>Codes</b>
Powerlessness	Without Power Without Strength Without ability Unable to act Unable to influence Helpless Impotent Lack of effectiveness Lacking the power to act
Vulnerability	Inability to withstand adverse impact Susceptible to emotional or physical harm or attack



Isolation	Being isolated Remote Little in common with others Minimal contact Separation from other persons
Poverty	State of being inferior State of being poor Lack of basic needs (food, clothing, and shelter) Not enjoying minimum living standards

**Source:** Compiled by author

As stated in Chapter 2 (see item 2.3.1), this research did not discuss the elements of the deprivation trap as individual elements or sub-themes but rather gave a synopsis of the codes as a condensed collective and how they interlink as challenges and contributing factors to the lack of community development. The researcher started the data collection process by asking all respondents, namely the households, NGOs, CoJ departments and MOEs the questions as per the interview schedule presented in Annexure A. The questions and the interpretation thereof are presented in the following paragraphs.

*What do you think are the levels of poverty in Riverlea?*

#### *3.2.1.1. Households*

Riverlea is divided into eleven extensions. The divisions are from Riverlea 0, Riverlea Extension 1, and Riverlea Extension 2 and so on up to Riverlea Extension 11. As far as the sampled households are concerned, respondents living in Riverlea 0, which is also commonly known as “Zombie” (emphasising the undesirable, common and widespread occurrence of poverty in the area), reported that unemployment across all ages of employable people is rife. Thus, people find themselves in situations where they are unable to positively influence their circumstances, leaving them vulnerable and with feelings of powerlessness.

In Riverlea Extensions 1, 3, 9 and 10, a nearly similar situation was described by 56% of the respondents. Respondents R1 and R8 from Extension 1 described poverty as “rife” and “beyond repair”. Respondent R6 who resides in Riverlea Extension 3, describes poverty in his area and the more affluent extensions as “moderate” and the

poverty levels “on the other side of the line” (referring and pointing to Riverlea 0) as “critical”. Respondent 6 based the response on the fact that one sees children with no shoes during cold winter days and children who walk around barefoot and with ripped clothes throughout the year. Respondent R3 from Extension 9 concurs with this sentiment as he divorces the problems of Riverlea 0 from Riverlea Ext 9 when the respondent compares the extensions to one another. In the comparison, Respondent R3 said that Extension 9 and 10 have little in common with Riverlea 0 with regard to poverty. Respondent R3 states that people in the extensions are more “middle class” and “high class”, whereas Riverlea 0 is seen as poor, dangerous and unsafe due to the high levels of poverty and unemployment amongst its residents. Respondent R10 residing in Extension 9 agreed by saying most residents in Riverlea 0 are not working and therefore not enjoying minimum living standards. Both respondents R3 and R10 are of the view that unemployment and poverty in Riverlea 0 cause intra-communal (i.e. within this particular community in Riverlea 0) conflict. Residents within Extension 9 accuse some residents of Riverlea 0, as stated by respondents R3 and R10, of robberies and home invasions.

#### *3.2.1.2. Non-governmental organisations (NGOs)*

The researcher put the same question to the NGOs (Hands of Compassion, EnviroParks and Mission for Jesus) operational in the area. Hands of Compassion described the poverty levels in Riverlea 0 as being at a “critical stage”, while EnviroParks put the employment rate according to the organisation's data at 35%, and the remaining 65% living “below the breadline”. Mission for Jesus stated that many young people turn to drugs, alcohol and gangsterism due to their inability to withstand the adverse impact caused by being unemployed and poor.

#### *3.2.1.3. CoJ Departments (CoJDs)*

The researcher identified the Department of Community Development (DCD), the Department of Economic Development (DED) and the Department of Social Development (DSD) – henceforth the combination of departments is abbreviated as CoJDs – as the driving pillars of community development on behalf of the CoJ. The CoJDs attribute the levels of poverty in Riverlea “to the lack of arts, culture and heritage facilities”. The CoJDs also echo the sentiments as highlighted by some of the

household respondents, by saying that the whole of Riverlea “is divided into two” by the railway line. There is Riverlea 0 on the one side of the railway line and the extensions on the other side. According to one CoJD, the majority of substance abuse cases reported in the area emanate from Riverlea 0, and what makes matters worse according to the same department, is that Riverlea 0 is “poverty stricken, and drug infested”.

#### *3.2.1.4. Municipal owned entities (MOEs)*

Three MOEs, City Power, Johannesburg Development Agency, and Pikitup, responded via electronic interviews. The MOEs indicated that they are rarely dealing with communities in their line of business but deal with individual households on a case to case basis or with specific projects within a community. They are therefore not able to comment with certitude on the specific socio-economic conditions within a particular community.

### **3.2.2. Understanding of social responsibility**

The researcher asked all respondents: *What is your understanding of social responsibility?*

#### *3.2.2.1. Households*

Households interviewed, in general, had little to no understanding of the term. Respondents R1 and R8 described social responsibility as “people must be self-sustainable” and must be less dependent on “social hand-outs”. Respondents R2 and R9 described it as “people that help themselves” and “do good for others”. Thirty-eight per cent (38%) of the respondents directly said that they do not know what it means and 19% described the term as a project to create jobs.

#### *3.2.2.2. NGOs*

*Verbatim* responses by the three NGOs on their understanding of social responsibility are presented in the following three boxes:

<b>EnviroParks</b>	<b>Mission for Jesus</b>	<b>Hands of Compassion</b>
“To provide services according to the needs of our community. In the form of skills and bringing awareness of e.g.: substance	“If we can get our men to start thinking like men we will be able to eliminate the drug problems. Our problem here is drugs but	“It involves the moral and legal obligation of the more affluent members of society to uplift the marginalised in



abuse, job opportunities, and learnerships. Also, assisting in poverty alleviation and being supportive”.	the thing is this; it is one thing to point out that we have a problem with drugs but what are we going to do about it. What I am saying if we can get the men to start thinking and, we get youngsters now that are coming to our events. I have what we call a men day meeting every Monday. Where I just meet with men to discuss these issues”.	a sustainable manner that ultimately leads to their independence”.
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Taken from the above extracts one can deduce that NGOs operational in the Riverlea area has a general understanding and awareness of the social responsibility concept as described in Chapter 2 (see item 2.2), namely that social responsibility is an ethical framework and duty that obligates the individual or organisation to maintain a balance between business and the ecosystem for the benefit of the society at large through sustainable development programmes.

#### 3.2.2.3. CoJDs

It was important to establish how the three identified CoJ departments interpret their responsibilities in terms of what they understand their social responsibilities to be.

The data shows that the CoJDs distanced themselves from social responsibility in their understanding of the concept and instead refer to it as the obligation of business to conduct their activities responsibly through shared responsibility in order to make a meaningful contribution to society by “acting in the best interest of the environment and the society...focussing on achieving sustainability” through individual and corporate social responsibility. None of the CoJDs’ respondents mentioned or alluded to their department’s social responsibility obligations in their understanding of the concept and what their departmental responsibilities are as representatives and custodians of the Constitution (Sections 151 and 152) on behalf of the CoJ and as diplomats of the social contract.

#### 3.2.2.4. MOEs

Before referring to the MOEs responses to the question of their understanding of social responsibility, their relationship with the CoJ is described briefly.

MOEs such as City Power (CP), Johannesburg Development Agency (JDA) and Johannesburg Water (JW) form part of the CoJ Metropolitan Council's efforts in providing services to local communities. The CoJ is the sole shareholder of the MOEs. Even though the MOEs were established to enhance service delivery but not for profit, their services have been commercialised, and that denotes that even if these MOEs are not for profit, at least they aim to break-even or recover the cost of services provided. By virtue of the structure of MOEs (shareholder, a board consisting of a chairperson, non-executive directors and directors, and a Chief Executive Officer who reports to the board etc.) they do have some obligation(s) towards the Companies Act (No 71 of 2008) in terms of Section 72 of the said Act read with Companies Regulation 43 (King III Report, 2009:22; RSA, 2008:142). It is therefore important for this research to seek an understanding of the role and responsibilities of MOEs as articulated by them and how they understand their social responsibility to be in terms of the Constitution and the social contract.

Respondent MOE1 understood social responsibility to be a moral obligation to improve and develop a society. Respondent MOE2 was of the view that social responsibility is an understanding to support the "needy", and respondent MOE3 understood the term to be a "concept whereby companies decide voluntarily to contribute to a better society and a cleaner environment" by linking it to the CSR contributions that companies make through "social investments". In the MOEs' understanding of social responsibility in the context of community development, their views in accordance with the empirical data are that tangible investments by companies and organisations need to be made towards the development of society by supporting community projects that will sustainably benefit society.

### **3.2.3. Understanding of community development**

The responses to the question: *What is your understanding of community development in the context of social responsibility?* Elicited the following responses from the four selected groups of respondents:

### 3.2.3.1. Households

More than 18.8% of the respondents did not know what was meant by the question, 25% described community development as the creation of job opportunities within the community and to develop the youth to become future leaders and to create a self-sustainable community. Another 13% do not see any community development. As respondent R11 puts it “everybody just minds their own business. There is no togetherness; there is no community...”.

### 3.2.3.2. NGOs

The three NGOs’ *verbatim* responses to the question of community development and social responsibility are as follows:

EnviroParks	Mission for Jesus	Hands of Compassion
“We do an assessment on family needs e.g.: indigent funerals, food parcels and access to City of Johannesburg Services (Service delivery)”.	“There again we bringing our men together. We teaching them how they should function in their homes. What they should do? And we finding a lot of progress because we got youngsters now that were 9 years, 18 years on drugs that are clean. For years, 2 years, 3 years now. We got this kind of scenario so ahhhha and we open, we not saying you we not selecting we taking anybody so in other words, the dronkies are coming, the druggies are coming because if we get our men right we get our community right”.	“Nothing”. (No response)

It is evident from the above responses that NGOs operating in the area have limited understanding of community development in terms of focussing on skills development to effect change in the community. Community development in the context of social responsibility as described in Chapter 2 (see item 2.3) can be explained as initiatives undertaken by a community with the assistance, or in partnership with external organisations or corporations, to empower individuals or groups of people in the community by providing them with the skills they need to effect change in their own lives and those of other community members.

### 3.2.3.3. CoJDs

The CoJDs agree that community development is the participation of, and investing in, communities that affect change through collaborations and skills development. It is evident from the departmental replies that the CoJDs know what is expected and what needs to be done to realise community development. In their responses, as to how they understand community development in the context of social responsibility, one department accepts that social responsibility is an obligation, but implies that the obligation is to business and not to the CoJ. Another admits that social responsibility is a shared responsibility by all human beings but deflects the responsibility to the corporate environment through the latter's corporate strategies and programmes. Thus, in their responses, they attached the social responsibilities and community development responsibilities to the individual and business corporations to develop the communities. Taking into account the responses to previous questions by the CoJDs and the above responses, it is apparent that the relationship between social responsibility and community development is misunderstood by the departments. Social responsibility and community development are significant matters for the CoJ because the CoJDs is crucial for the execution of its social responsibility obligations in terms of the Constitution. As alluded to in item 2.4.1 in terms of the Constitution (Section 152), municipalities as part of their social responsibility and their roles in the developmental state assumes a role in the economic and social development and the improvement of the quality of life of local communities also referred to as community development.

As referred to earlier (see item 2.5), community development in the context of social responsibility refers to initiatives undertaken by the community, with or without partnership(s) with external organisations, corporations or local government to empower individuals or groups of people in the community, by providing these individuals or groups with the skills they need to effect change in their communities. The CoJDs responses agree with this definition by stating that community development "should be about participation of people, maximising opportunities for social change and collaboration on key interventions". The CoJDs also acknowledge that the City needs to "invest in or contribute to the welfare of specific communities" to achieve

communal objectives and empower individuals through skills development “to influence/effect change in their communities”.

#### 3.2.3.4. MOEs

In its understanding of community development, two MOEs state that “proper investments by companies and organisations” in communities are imperative in order to support and benefit communities sustainably. One MOE agrees with the accepted definition of community development in that “Community development refers to initiatives undertaken by the community in partnership with external organisations or corporations to empower individuals and groups of people by providing these groups with the skills they need to effect change in their communities”. Based on the data, 67% of the respondents assume the investment responsibility to be that of corporations. The remaining 33% agrees with the theoretical description that community development refers to programmes initiated by the community with the collaboration of business and/or corporations to empower individuals and groups of people through the provision of skills to effect change in their communities. It can therefore be said that based on the data, MOEs generally have a poor understanding of community development.

#### **3.2.4. Role in community development**

The researcher asked all respondents: *What do you think is the community’s role in community development?* The responses from the respective respondents will also be reflected against the effectiveness criterion to be dealt with in the next Section (see item 3.2.5).

##### 3.2.4.1. Households

In answering the question, respondent R1 states that the community’s role should be to “support” and “motivate” each other. However, this she says, is not possible as there is no “Ubuntu”<sup>2</sup> in Riverlea. This is supported by 13% of the respondents who urged the community members to take responsibility for their well-being. As respondent R4 and R12 put it “the community must also take responsibility to better their own lives, to

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<sup>2</sup> Ubuntu is the humane way in which we should treat each other; a shared and common humanity.

help the community grow” and to assist those who are not working. From the analysis, it is evident that 69% of the respondents believe Riverlea is a fragmented community with community members who live in fear of their neighbours (R3), and a community where members live “each one for themselves (sic)” (R5). Respondents R2, R3, R10, R11 and R14 all emphasised the narrative that the community is not standing together and according to R4 and R9, the community of Riverlea must strive to reduce the dependence on handouts.

#### *3.2.4.2. NGOs*

While EnviroParks sees itself as the intermediary between society and social service providers in the area, Mission for Jesus sees itself as a vehicle of humanitarian aid and Hands of Compassion sees itself as a provider of physical, emotional and mental support. Of significance is that the NGOs sampled do not seem to duplicate each other’s functions and therefore do not cloud each other’s space.

#### *3.2.4.3. CoJDs*

The roles articulated in the responses from CoJDs highlight the supporting, assisting and enabling function the departments should fulfil. The articulated roles correlate with the CoJDs individual objectives guided by the City’s 2040 Growth and Development Strategic Objectives and with the Community Development Charter of the City. The empirical study attempted to show how effective these roles are and what their limitations are. In achieving these responsibilities, it was important to highlight what the self-assigned roles of the CoJDs were in terms of the Strategy and the Charter in community development.

Respondent CoJD1 defined its role to be the guarantor that “social change happens... through various programmes” within communities. Respondent CoJD2 understood its role as the implementers of “programmes that support entrepreneurs and small businesses... through [its] business support hubs”. While Respondent CoJD3 understood the facilitation of community profiling, stakeholder engagement, empowerment of the poor, skills development, elderly support, early childhood development, substance abuse prevention and social burial as its mandate and role in community development.

#### 3.2.4.4. MOEs

When asked what their understanding of community development in the context of social responsibility was, none of the MOEs articulated a clear current role in community development. Respondent MOE1 highlighted an earlier project in stating that “previously [we] played a very important role by funding and developing projects in NGOs”. Respondent MOE2 refers to “a CSI policy that guides how (we) [they] support such [community development] initiatives” if and when they implement projects. Respondent MOE3 states that their community development role focused on the youth. The latter respondent then continued to highlight the government sponsored Expanded Public Works Programme (EPWP) as the flagship youth development programme of the MOE. These responses emphasised what was stated previously (see item 3.2.3.4) that, based on the data, MOEs generally have an inadequate understanding of community development in the context of social responsibility.

#### **3.2.5. Effectiveness of role in community development**

The question asked to the community was: *How effective do you think you are in executing your role in community development?*

##### 3.2.5.1. Households

While 63% of the respondents felt there was little to no cooperation amongst community members, 31% were hopeful that although at a snail’s pace, there was some form of development. This became evident in replies such as that of respondents R1 and R2, who each reside in the area for more than 35 years. They said that “...it is very sad [to say] ...but there is no to very little” effectiveness in the attempts of the community to execute their role of self-sustainability. Respondent R9 states that the community is trying “their best even though it seems that they are not trying..., there is something that they do. But people always focus on the negative”.

How effective or not the community is in executing their role will be explored against what the limitations are that hinder the execution of communal roles (see item 3.2.6 below).

### 3.2.5.2. NGOs

The NGOs responded as follows to the question of the effectiveness of their organisations in their role in community development: EnviroParks stated that due to financial constraints they could only effectively execute 60% of their role in community development. Mission for Jesus and Hands of Compassion put forward the lack of resources and lack of project prioritisation on the part of government agencies as the reason for their lack of executing their community development role effectively.

Based on the above NGOs' responses, they concur with the 31% of household respondents who felt that something is being done in Riverlea. As with many NGOs, the respondents in this sector have similar concerns, such as lack of resources and financial limitations as highlighted in Chapter 1 (see item 1.2).

### 3.2.5.3. CoJDs

The following responses were received on the question: *How effective do you think the department is executing its role in community development?*

Respondent CoJD1 was of the view that "...programme interventions contribute towards development where they are implemented". These "...programmes target specific areas of development in a life of a community". According to respondent CoJD2 departments continuously received feedback from the community members that "...they are currently in jobs and received skills training" due to the programmes implemented in that community. Respondent CoJD3 echoed the same positive results from communities in regard to their appreciation of the Small Medium Enterprise Hubs (SMEHs). In order to provide clarity, SMEHs were introduced by the CoJ to assist, support and nurture entrepreneurs to build their businesses and to contribute to the development of their communities, ultimately contributing to the economic development of Johannesburg. These hubs are designed to house, under one roof, a network of small service providers and community-based organisations.

In addition, respondent CoJD3 puts the execution of its role in community development and the effectiveness or the lack thereof, on the reliance on each other and other MOEs. The interdependence of departments and MOEs according to CoJD3, results



in challenges due to the individual MOEs internal processes and legislative frameworks which are not aligned to those of the CoJDs.

#### **3.2.5.4. MOEs**

While asking the MOEs: *How effective do you think your organisation is with executing its role in community development?* It came across that some of the implemented community projects had longevity. Respondent MOE1 and MOE3 reported that they based their effectiveness on the fact that one “...invested in sustainability projects” and these projects were still running “...years after we have moved out”. Respondent MOE3 added that they pride themselves on the fact that when they implement a project, they employ local labourers. Respondent MOE2 could not categorically state how effective or not they are in executing their role in community development other than to say “...we support community projects where we develop”.

#### **3.2.6. Limitations that hinder effective role execution**

From the above analysis, the effectiveness of the households, NGOs, CoJDs and MOEs in community development was established. The question was then asked to respondents: *What do you see as limitations to community development?*

##### **3.2.6.1. Households**

As alluded to earlier (see item 2.5), when establishing the effectiveness or otherwise of the community's role in community development it would be appropriate to establish the limitations, if any, that hinders the effective execution of the community's roles.

Low levels of education, unemployment, fear of intimidation, drug abuse and lack of community participation are reported by 81% of the respondents as some of the limitations in the community that hinders its development, whereas 13% of the respondents did not know what the limitations are. Respondent R2 stated that when community meetings are called, there are no attendants and the community “...do not assist cops [the South African Police Services] to close down drug houses”. Respondent R11 suggested that for the community to overcome the “mind your own business” mindset; the community must “...come together as one and come up with suggestions” as to how to develop the community.

### 3.2.6.2. NGOs

*Verbatim* responses by the three NGOs on their understanding of what the limitations are to community development in Riverlea are presented in the following three boxes:

<b>EnviroParks</b>	<b>Mission for Jesus</b>	<b>Hands of Compassion</b>
"Not having enough funds available to fulfil our desired objectives".	"I think we do not have enough leaders to come on board to come and assist because why you know aaahhhh if everybody comes on board we will be able to see a greater measure of success. But we are not allowing that to stop us from doing something. Because why a little bit can still go along way if we serious".	"Drugs poses a serious problem, educational levels are low, skills are lacking, dysfunctional families require support, and children are particularly vulnerable".

Hands of Compassion echoed the limitations described by household respondents in that drug abuse, and low levels of education are some of the limitations hindering community development in Riverlea. Lack of financial resources (EnviroParks) and mentors (Mission for Jesus) in the community were flagged as limitations to community development by the NGOs.

### 3.2.6.3. CoJDs

Participants CoJD1, CoJD2 and CoJD3 highlighted similar concerns that contribute to the limitations to effectively execute their departmental roles; the key to these limitations are budget constraints, poor interdepartmental relations between CoJDs and MOEs, lack of community participation and indifferences amongst beneficiaries. Although respondent CoJD3 received positive feedback about the small and medium enterprise hubs (see item 3.2.5.3), the biggest limitations to an otherwise successful project are the problematic accessibility to the hubs and the services they offer. In the case of Riverlea, the closest hub is in Soweto and Marshalltown. Currently only one of the seven small business hubs is large enough to accommodate several small businesses under one roof. The services that the other hubs provide are information about businesses, business training seminars, assistance in company registration, tax compliance, and information on access to funding.

#### 3.2.6.4. MOEs

The majority (67%) of the MOEs put forward the lack of social responsibility policies as a limitation. Respondents MOE1 and MOE3's social responsibility policies are in draft phase, and they can only fully commit to social responsibility once the policies have been approved and the projects have been funded. Respondent MOE1 wished to transform its limitation into an aspiration by saying that he "...wishes to see an interdepartmental cohesion on community development and social responsibility projects" in order for the CoJ "...to go into communities and speak with one voice" in establishing the social needs of each community and how the communities could be assisted in addressing the social needs identified through stakeholder alliances. Respondent MOE2 stated that they were restricted by their corporate social investment policy, which only allows for funding awarded to predetermined community development projects and does not allow for flexibility.

#### 3.2.7. Stakeholder interaction

The researcher asked the different respondents how they interacted with their primary stakeholders responsible for the realisation of the development of the Riverlea community. The households were asked: *Describe how you interact with NGOs operational in Riverlea in terms of community development?* and: *Describe how you interact with CoJDs on issues of community development?* The questions elicited the following responses:

##### 3.2.7.1. Households

**Interaction with NGOs:** 25% of respondents agreed that NGOs are helpful. Respondents R3, R6, and R15 agreed that the NGOs are very supportive and that NGOs, according to respondent R4 are trying their best to develop the community. On the other hand, 31% do not know of any NGOs operational in the area, whereas 25% choose not to associate or interact with NGOs. According to respondents R1 and R13, other reasons why there was poor interaction were the "back stabbing" and "infighting" between NGOs over the financial rewards associated with the services they render. Despite all the contention, 69% of the respondents were hopeful that the NGOs would find some direction as there is "so much that can be done" to assist the community.

**Interaction with CoJDs:** 25% of community members felt that even though South Africa became a democratic country, there is no democracy in Riverlea with no interaction between the community and the CoJDs, other than food parcels during elections (respondents R7 & R14). Respondent R1 independently reiterated the latter sentiment by responding that the CoJDs are only visible during elections and that Riverlea is "...gone and forgotten". According to respondent R13, the CoJDs are "hopeless", and do not interact with the community. Hence the community feels neglected (R14).

### 3.2.7.2. NGOs

The responses from NGOs elicited the following: *Describe how you interact with the community of Riverlea in terms of community development?* and: *Describe how you interact with CoJDs on issues of community development?*

**Interaction with community:** NGOs responded by saying that they "...have an open-door walk-in...interpersonal face-to-face relationship with the community" (EnviroParks). Hands of Compassion's interaction with the community occurs when the community approaches them to provide "...support services to families". What is evident in their responses is that none of the NGOs made mention of community meetings. It can be deduced from this omission in the data that community members approach the NGOs individually, and that is the only interaction the NGOs have with the community.

**Interaction with other NGOs:** NGOs have little interaction with each other. EnviroParks and Hands of Compassion stated that they are in the process of meeting with other NGOs in the area but still need to initiate the process. Mission for Jesus responded that they only recently (2016) moved their base to Riverlea and are in the process of meeting with the political leader in the area and other NGOs.

**Interaction with CoJDs:** Mission for Jesus has yet to formulate relations with the CoJDs and has therefore not dealt with any of the CoJDs. Hands of Compassion deal mostly with CoJD1 and see them as a strategic partner. They have no other relations with any of the other CoJDs. EnviroParks seems to have greater relations with the

CoJDs. They interact with CoJDs on a regular basis, receive their operational resources from CoJD1, operational funding from CoJD3, and are assisted by CoJD2 to provide training and opportunities for the community to get involved in Jozi@Work programmes. There is evidently skewed support and interaction between CoJDs and some NGOs. What was not in the scope of this study was to establish why this skewed support and interaction exists. What is surprising from the data is that there are programmes and or projects initiated by and between NGOs and CoJDs based on the frequent interaction alluded to above by NGOs. If the information provided by the NGOs respondents is correct and the data is compared to the responses from households in item 3.2.7.1, it seems that for some reason the information regarding these programmes and projects do not filter down to the community.

#### 3.2.7.3. CoJDs

When asked: *Describe how you interact with the community of Riverlea in terms of community development?* and: *Describe how you interact with NGOs operational in Riverlea in terms of community development?* Their responses to the above questions were very similar. For the responses, not to read as a repetition, the researcher decided to combine the responses on the two questions above to provide more clarity on the findings. The questions elicited the following responses from the CoJDs:

According to respondent CoJD1 “...community consultation with CoJ follows a prescribed process outlined in the legislation. Consultation usually happens during the compilation of the IDP wherein the community inputs are solicited”. Respondent CoJD1 acknowledges that “...there are other channels through which communities can be reached”, but they observed “...heightened community participation” during the IDP process. Respondent CoJD2 has limited direct interaction with communities but has “...in the past participated in workshops and dialogues organised by other CoJDs”. Respondent CoJD3 does not deal directly with the community but makes use of stakeholders such as NGOs and the ward councillor to address issues within the community. Respondent CoJD3 highlighted that Riverlea 0 is “...mostly poverty stricken, and drug infested...”. They, therefore, work closely with NGOs to assist and identify poor and low-income families that need intervention through monthly meetings addressing “...substance abuse, poverty and unemployment” among others. The latter

data is conflicting with the 67% of NGOs operational in Riverlea, who responded that they have no interaction with respondent CoJD3 (see item 3.2.7.2).

#### 3.2.7.4. MOEs

*Describe how you interact with the community of Riverlea in terms of community development?* and: *Describe how you interact with NGOs operational in Riverlea in terms of community development?* The questions elicited the following responses:

**Interaction with the community:** The interaction between the MOEs and the community range from the writing of their “wish list” (areas that need development) to developing “...a database of organisations, child-headed families and disadvantaged schools”. MOEs also call public meetings and stakeholder consultation sessions at which they interact with community members.

**Interaction with NGOs:** As projects are specific to an area, MOEs state that they only interact with the area where they have an upcoming or existing project. 33% of the MOEs work with “...NGOs on water and sanitation related issues” whereas 67% of the MOEs respectively replied to the question “N/A [not applicable]” to them or have no interaction with the community of Riverlea at the time of the interview.

### 3.3. CONCLUSION

In this chapter, the collected empirical data was described and interpreted by means of qualitative analysis. Where *verbatim* references were made, care was taken to protect respondents by abbreviating households to respondent R1, R2, R3 and so forth. The different City departmental responses were combined as one unit and abbreviated to CoJDs, and individually referred to as CoJD1, CoJD2 and CoJD3, and the same was done with MOEs.

The empirical geographical data from the households were used to form a general overview of the demographic area of the respondents. The additional data of the households and the data from the NGOs, CoJDs and MOEs were incorporated into Creswell’s (1998) nine steps to generate categories and patterns from the data to be coded and divided into themes.

All things considered, it seems reasonable to assume that based on interview question one, the widespread poverty in Riverlea is fuelled by unemployment concentrated in a specific area (Riverlea 0). It also emerged from the findings that unemployment and poverty are attributed to the intra-communal conflict. Young people turn to drugs, alcohol and gangsterism in their vulnerable state, due to them being unable to withstand the adverse impact caused by being poor and unemployed. The division of Riverlea by the physical barrier (railway line) exacerbated the situation insofar as Riverlea 0 is being seen as the poverty stricken and drug infested area on the “other side of the railway line”, whereas the rest of the extensions on the one side of the railway line are seen as relatively affluent.

In understanding social responsibility, responses to interview question two found that the majority (62%) of households had some form of understanding what the term entails and 38 % of households did not know what was meant by social responsibility. Another notable finding was that NGOs have limited understanding of the concept, whereas CoJDs and MOEs were not sure that they have a role to play in social responsibility in their understanding of the concept.

In answering interview question three, the findings give insight into the understanding of community development by all the respondents (Households, NGOs, COJDs and MOEs). Thirty-two per cent (32%) of the household respondents did not know what the concept denotes and 68% attribute the lack of development to the division and fragmentation of the community. The research responses also revealed that the CoJDs misunderstand the relationship between social responsibility and community development. This is a serious matter for the CoJ because CoJDs in its totality is primarily responsible for social responsibility. The same can be said for the poor understanding the MOEs have of social responsibility in relation to community development.

In relation to interview question four, due to the fragmentation and division of the community, 63% of households highlighted that the community lacked support and motivation from each other. Although the other respondents (NGOs, CoJDs and MOEs) knew what their roles were in community development, when these are

reflected against the effectiveness criterion of interview question five, it emerged that NGOs could not effectively execute their roles due to financial constraints and lack of resources. CoJDs also highlighted a lack of resources and being dependent on third parties such as MOEs, as constraints to effective implementation of community development programmes.

However, what is encouraging was that, through interview question seven, the research established that there are some forms of stakeholder interaction especially between CoJD1 and 67% of the NGOs operating in Riverlea. The latter interaction is a step in the right direction and needs to be used as a blueprint to build and improve relations between CoJDs and more NGOs operational in Riverlea.

In the next chapter (Chapter 4) the author will give concluding remarks followed by recommendations to the respective researched stakeholders based on the findings, to establish, improve and/or accelerate efficient and effective implementation of the social responsibility agenda.



## **CHAPTER FOUR**

### **DATA INTERPRETATION, CONCLUSIONS AND RECOMMENDATIONS**

#### **4.1. INTRODUCTION**

The Constitution of the Republic of South Africa (1996) is the principle part of a set of legislation that one refers to in determining acceptable conduct for the South African government, applicable to three spheres, namely, national, provincial, and local government. In terms of the constitutional obligations, local governments have important roles to play in social responsibility. The issue of how governments can be taken seriously concerning the promotion of social responsibility is that governments should lead by example in their own sphere of influence in order to be credible advocates of social responsibility (White, 2007:9).

The scope of this mini-dissertation was not to advocate for or against a certain approach to social responsibility, rather, to explore the social responsibility agenda of the CoJ to promote community development. The study explored the case of the geographical area of Riverlea, a residential area in Region B in the southwestern part of the City of Johannesburg Metropolitan Municipality. Different research studies have been done in the community of Riverlea, which coincide in their reporting that there is a variety of social problems. Although the community's actions, whether individually or collectively, might play a role in their downward social trend, this research attempts to look beyond these limitations and examine how the importance of social responsibility in community development influence the well-being of the Riverlea community at large.

Thus, the focus of this study was to establish how social responsibility, community development and deprivation (deprivation in this study context refers to the inability of people to meet their needs) is defined in their theoretical contexts, and how the challenges and its contributing factors affect community development, and how households, NGOs and the CoJ and its institutions (CoJDs and MOEs) apply social responsibility to address these challenges.

The purpose of the research was to explore and describe by means of a qualitative descriptive, multi-site case study, how the local government of the CoJ social

responsibility agenda is applied to promote community development in a specific geographical area, namely the township of Riverlea. Chapter two commenced with exploring key concepts and theories, namely: social responsibility and CSR, social contract theory, community development, deprivation, and NGOs. After that, in Chapter three, the empirical findings were analysed.

Chapter four will provide an overview of the theoretical and empirical findings as documented in Chapters two and three with reference to the three objectives set for this study in Chapter one. In the Sections to follow, conclusions are drawn in order to report on the exploration of the social responsibility agenda of the CoJ to promote community development in general, with specific reference to selected areas of the Riverlea community. Recommendations will also be made to propose how the CoJ could continue to promote and improve community development through its social responsibility agenda.

## **4.2. OBJECTIVES AND FINDINGS**

The primary objective of this study was to explore the social responsibility agenda to promote community development within the CoJ context. In order to meet the primary objective, the researcher explored the concepts social responsibility, social contract theory, community development, deprivation, and NGOs. This established the groundwork from which the concepts and potential correlation between the concepts were empirically explored. In the following Sections, the researcher considers the findings of each objective having regard to the theory from Chapter two and the empirical findings from Chapter three.

### ***4.2.1. Findings of Objective one***

**Define social responsibility and community development in its theoretical and operational terms.**

The first objective of this study was to define and describe the concepts social responsibility and community development in their theoretical and operational contexts in the geographical area of Riverlea, as part of the responsibilities of the CoJ. The

concepts will be addressed individually by first giving a summary of the theoretical context followed by its operational context based on the empirical findings.

#### *4.2.1.1. Define social responsibility in theoretical and operational terms*

In defining social responsibility theoretically, it was found that academics have endeavoured for decades through ongoing efforts to articulate the responsibility of government. Government through the cooperative governance system has the capacity to contribute to the development and well-being of civilisation. Although there is no agreed definition of social responsibility to date (2017), the onset of the term according to Carrol (1999) was not immediate, but a revolutionary process developed through theory (see item 2.3).

As was observed in the writings of early philosophers (Thomas Hobbes, 1588-1679; John Locke, 1632-1704; Baron de Montesquieu, 1689-1755; Jacques Rousseau, 1712-1778), in articulating the social contract theory, governments play a central role in rendering a variety of services to the inhabitants of states. Most of the social contract theorists (except Thomas Hobbes) argued that government or the state, only exists to serve the will of the people and the power and privileges are conditional for as long as the government perform their roles and responsibilities. People may apply this power retrospectively based on the freedom and equality. The core of Hobbes' social contract philosophy is that the lives of the individuals in the state of nature were deprived and desolate and that political sovereigns have supreme and unrestricted authority over subjects.

John Lock and Jacques Rousseau were of the view that governments exist through the consensus of the governed. The governed possessed certain natural rights to life, liberty and property (called the "general will" by Rousseau). When governments abuse their powers or fail to secure the natural rights/general will or satisfy the needs of society, the citizens can withdraw their obligation to obey or change the leadership through elections, as governments, according to Rousseau, are based on popular sovereignty.

According to de Montesquieu in order for rulers to obey the will of the people, power and privileges were bestowed not only on one individual, but different “pillars” of state also called the *trias politica*. De Montesquieu believed that democracy in which people have the power is dependent upon maintaining the right balance between the pillars of the *trias politica*, consisting of the legislature, the executive, and the judiciary.

Although the concept of social responsibility has become increasingly recognised over the years, as alluded to in Chapter two, the research in Riverlea revealed that the term or concept in today’s (2017) society is not fully understood by households, NGOs, CoJDs, and MOEs. The research also revealed a self-centered nature of the respondents of Riverlea. This was made known in responses given by respondents such as to mind your own business mentality (see item 3.2.6.1), a community that is not standing together and has a lack of Ubuntu (see item 3.2.4.1).

The research findings showed that certain extensions in Riverlea has pockets of low levels of education, areas of high level of drug abuse and unemployment, and certain community members live in fear of intimidation. This is contrary to the core of the social contract as prescribed in the Constitution, that all individual actions, including that of government, must benefit the population in a way that it realizes societal development, safety, well-being, and sustainability.

#### *4.2.1.2. Define Community Development in theoretical and operational terms*

Theoretically, community development as a field of study has been around for centuries. Despite this, no agreed definition exists. The nucleus of the term, in theory, is that it is not a concept that is applied in isolation or homogeneously across communities. Special attention should be given to the poor, disadvantaged and communities with inadequate resources to meet their needs. Notwithstanding the ancient history of community development, and its challenging start in South Africa during the early 1980s (see item 2.5), the introduction of co-operative governance instruments, in theory, have provided a glimpse of hope to deprived communities. Co-operation between the three spheres of government must endeavour to develop and promote economic growth through legislation, regulations and action plans targeted at community development.

Through the Joburg 2040 Growth and Development Strategy, the CoJ promise to develop communities within its boundaries and aims to improve, through its institutions, the quality of life and development-driven resilience for all; provide a resilient livable and sustainable environment; provide an inclusive job-intensive, resilient and competitive economy that harness the potential of citizens; and structure a high performing metropolitan government that pro-actively contributes to and builds a sustainable, socially inclusive, locally integrated and globally competitive City. These outcomes endeavour to increase the resilience, livability and sustainability of the City and its residents (CoJ, 2011:89-101). This coincides with the definitions of social responsibility given by Howard R. Bowen in 1953 (Carrol, 1999:268-295), in which he proclaimed that social responsibility is the "...obligation of businessmen to pursue those policies, to make those decisions, or to follow those lines of action which are desirable in terms of the objectives and values of the society". In terms of the Constitution, upholding the values of society, in the case of this research, is the responsibility of the CoJ in cooperation with the provincial and national government spheres.

The practical applications through the research found that the term community development is not fully understood by the residents of, and NGOs operational in, Riverlea. CoJDs agree with the theoretical definition of community development, whereas the majority (67%) of the MOEs understand the investment responsibility towards community development to be that of business.

#### ***4.2.2. Findings of Objective two***

**Define and describe deprivation in theoretical and operational contexts in the geographical area of Riverlea.**

Deprivation is theoretically associated with the poor and result in a bias balance that triggers the distress or omission of a segment of society, from the mainstream economic activities, and that lacks the means or resources to achieve meaningful beneficial change or transformative benefit by itself. Chambers (1983) and De Beer and Swanepoel (2000, 2007, 2011) identified the definition of deprivation around five clusters which interrelate with each other to form a trap. The five clusters are

powerlessness, vulnerability, physical weakness, poverty, and isolation. In Riverlea the five clusters were experienced as follows by the community:

- *Powerlessness*: Community members, for example, endure high levels of crime and believe the South African Police Services are of little assistance when called upon to assist in combatting petty theft crime and shut down of drug houses.
- *Vulnerability*: Vulnerable people often feel excluded and marginalised. As in the case of Riverlea Extension 0 many feel excluded and looked down upon by residents of other extensions due to their poverty levels.
- *Physical weakness*: The body is for many humans their major resource. According to the data elicited in Riverlea, many residents are unemployed, using drugs and or live in poverty-stricken households. These deprived people depend on weakened bodies either by drugs or malnutrition due to lack of financial resources to obtain the necessary nutrition.
- *Poverty*: Lack of a regular income, resources, or assets.
- *Isolation*: Refer to the lack of access to markets/information or lack of communal cohesion. Poor people can be overwhelmed by what might seem to be the smallest of barriers. In the case of Riverlea, a lack of support and access to social services and economic opportunities such as the proximity of the economic initiatives by CoJD are seen as challenges to the community. Respondents put forward the lack of financial resources as a barrier to access to the SMEHs.

In the operational context, the reality of the CoJ landscape, as is evident in the geographical area of Riverlea, is a community battling numerous socioeconomic challenges that give rise to deprivation, poverty, intra-communal conflict, and unemployment. As such, social responsibility programmes relevant to the Joburg 2040 Growth and Development Strategy (CoJ, 2011), endeavour to contribute positively towards the reduction of deprivation, poverty, conflict, and unemployment. The Human Rights Charter in the Constitution also guarantees that the state must progressively ensure that socio-economic rights are realised (Scott & Gallenger, 2006:xvi) (see item 2.2.2).

Despite the efforts of the CoJ through its Joburg 2040 Growth and Development Strategy, the qualitative research data shows that household respondents emphasised the undesirable, common and widespread occurrence of poverty, fuelled by unemployment across all ages of employable people, and intra-communal conflict. NGOs echoed these sentiments with responses that poverty levels are at a “critical stage” and that many young people turn to drugs, alcohol and gangsterism in their vulnerable state due to the adverse impact caused by unemployment and poverty. Intra-communal conflict is intensified by the notion of isolation as described by several respondents in that Riverlea is divided into two parts by the railway line, leaving the residents of Riverlea 0, who are “...poverty stricken and drug invested” (see item 3.2.1.3) isolated from the more affluent extensions.

#### ***4.2.3. Findings of Objective three***

**Determine how deprivation challenges and its contributing factors affect community development and provide an analysis on how selected CoJ departments, its allied institutions, and NGOs apply social responsibility to address the challenges of the inhabitants of Riverlea.**

The five clusters in Figure 2.1 as depicted by Chambers (1983:112), illustrate that the deprivation challenges in Riverlea have their origin in one or more elements of the deprivation trap. Lack of cooperation and communal cohesion among the different community members and residential extensions of Riverlea could be described as a major challenge that debilitates community development. Other challenges that were identified are the critical levels of poverty, high level of drug use amongst young adults, gangsterism and alcoholism, intra-communal conflict and the notion of isolation and separation by the railway line. The revelation of the above determination directs attention to how CoJ Departments, MOEs and NGOs apply social responsibility to address the challenges of the community of Riverlea.

**The CoJ Departments** are legally expected to be key role players in the pursuit of deprivation reduction in the community of Riverlea. Based on the theoretical background of this research, it is accepted that local governments and its institutions have a distinct and crucial social responsibility role to play in assisting communities to

develop. The CoJ role in this context is defined as the function and position associated with the assumed constitutional obligation to develop the communities, especially the most marginalised within the CoJ. The CoJs declared commitment and role are informed by the Joburg 2040 Growth and Development Strategy principles and outcomes. These principles are:

- “Eradicating poverty;
- Building diversified and inclusive community;
- Building livable communities;
- Ensuring resource, security, and environmental sustainability;
- Achieving social inclusion;
- Building social cohesion;
- Promoting good governance”; and

The outcomes aim to:

- “Improve the quality of life and development-driven resilience for all.
- Provide a resilient liveable and sustainable environment.
- Provide an inclusive, job-intensive, resilient, and competitive economy that harness the potential of citizens.
- Structure a high performing metropolitan government that pro-actively contributes to and builds a sustainable, socially inclusive, locally integrated and globally competitive city”.

These principles and outcomes derive from the Constitution which prescribes, through the Bill of Rights, inclusive citizenship, equality, employment, human dignity, freedom and security of the person, environment, health care, food, water, and social security, among other rights. Thus, if the elements of deprivation are a barrier to realise the above principles, it also potentially denies residents of Riverlea the full citizenship rights as enshrined in the Constitution.

Notwithstanding the findings of objectives one and two, the research found that the CoJDs distance themselves from the social responsibility insofar as their understanding of the concept is concerned. Their understanding of their departmental responsibilities as representatives and custodians of the Constitution, in particular



Sections 151 and 152, on behalf of the CoJ, and as envoys of the social contract concept, is therefore misguided.

Insofar as the understanding of the CoJDs role in community development, based on their responses is concerned, all CoJD respondents had a clear understanding of what their departmental roles are in community development. However, in their articulation of how they understand community development in the context of social responsibility, the CoJDs' respondents assigned, through their responses, the social responsibility and community development to the individual and business corporations to develop communities. Considering the responses by CoJDs on their understanding of social responsibility, it indicates that departments misunderstand the relationship between the individual concepts (social responsibility and community development). This finding is significant because a clear understanding of these concepts by the CoJDs is critical for the execution of their Constitutional obligations and their role in the social contract.

In taking the findings of objectives one and two into account, it can be deduced, based on the empirical data that the CoJ Departments do not understand the concept of social responsibility to address the deprivation challenges faced by the CoJ in Riverlea. Because of this misunderstanding, they are potentially directly weakening the chances of achieving the Joburg 2040 Growth and Development Strategy outcomes set for the municipality.

**Municipal-owned entities (MOEs):** MOEs gave the same misunderstanding response to the same questions (*What is your understanding of social responsibility?* and *What is your understanding of community development in the context of social responsibility?*). None of the MOEs respondents accepted or alluded to their responsibilities as MOEs towards social responsibility and or community development but linked it to the social investments made by private companies and organisations as part of their CSR. MOEs' understanding of these concepts, therefore, omit that the MOEs too also have an obligation towards social responsibility and community development. Even if the dual obligation of MOEs are considered (see item 3.2.2.4), MOEs' primary obligation remains towards the Constitution and the social contract.

The same conclusion could be drawn that considering the findings of objectives one and two, it can be deduced, based on the empirical data that the MOEs do not have a clear understanding of the concept of social responsibility to address the deprivation challenges faced by the CoJ in Riverlea, and in so doing misunderstand its constitutional obligations with the result of indirectly weakening its chances to achieve the Joburg 2040 Growth and Development Strategy outcomes set by the CoJ.

**Non-governmental organisations (NGOs)** operational in Riverlea have a clear understanding of the poverty levels and social responsibility concept in Riverlea. Despite their understanding of the social responsibility concept, the NGOs have limited understanding of the community development concept. Specifically, where the latter has to be aligned to skills development.

The empirical findings found no duplication of functions among the researched NGOs but due to financial constraints and lack of resources they cannot effectively address the deprivation challenges and its contributing factors in the Riverlea community.

#### **4.2.4. Objective Four: Recommendations**

The undermentioned recommendations are made with regard to the findings of the study, divided into the researched stakeholders (community, NGOs, CoJDs, and MOEs).

##### ***Community***

- Communal harmony is imperative for any initiative to be embraced by such a community. It is recommended that the community, through an NGO, introduces cost effective communal recreational centre activities such as, a brass band of which members are selected from all interested community members from the different extensions, chess tournaments between individuals of the same age groups, and/or scrabble word game competitions. These games could potentially not only teach community members tolerance towards each other but could also teach them that all of them have equal potential to succeed no matter their circumstances.

- The programme “Music for Life” of the Musicworks organisation (or similar types of programmes) can be considered to be implemented (as a result of gangsterism and drug abuse) in Riverlea. This programme is an international acclaimed after-school programme using music therapy to assist traumatised children to speak out about their circumstances.
- A greater sense of community “togetherness” need to be established to eliminate the notion of “minding your own business” and establish a greater sense of empathy and Ubuntu through community initiated and led projects.
- Most people are happy to be benefactors. Real and meaningful social responsibility is not about receiving hand-outs but to develop oneself and others. It is recommended that community members be trained on the mutual benefit of skills development and self-sustainability low capital-intensive programmes.
- It is recommended that the community members make it their business to understand the operational meaning of concepts such as social responsibility and community development in order to communicate their needs to NGOs, CoJDs, and the MOEs during the IDP consultation sessions.

## **NGOs**

- Establishing an NGO Forum consisting of all NGOs operational in Riverlea. Clear terms of reference or operational procedures or boundaries must be set for each organisation. The CoJ must chair this forum, and the main focus should be information sharing, data collection, problem-solving and resource allocation based on its mandate. This recommendation would allow for early identification of problems and allow for monitoring and evaluation by the CoJ of the specific NGOs.

- It is recommended that NGOs refrain from working in silos and focus on enhancing associate relations to manage community data better and to improve the exchange of such information.
- It is recommended that NGOs be provided with training on the concepts of social responsibility, community development, and aspects of deprivation.

### **CoJDs**

- The CoJ needs to perform a scientific situational analysis of the community of Riverlea to determine the community developmental issues and needs. For the social responsibility initiative to have a significant impact, the CoJ needs to address the community of Riverlea as a unit through its regional and departmental structures. In order for this recommendation to be effective and efficient, internal processes and legal frameworks need to be understood by the community, NGOs, CoJDs and MOEs.
- There is a need for an interdepartmental and inter-municipal-owned entity symposium. The researcher recommends that this symposium be facilitated by a social responsibility academic/practitioner. This would empower the CoJDs and MOEs to be sensitised on social responsibility and community development, and how to effectively and sufficiently use the concept of social responsibility to improve and fast-track community development in Riverlea.
- Information is power and vital for progressive change. Without effective information and subsequent dissemination of the information, many community members in Riverlea might be unaware of the advantages and linkages between the concepts of social responsibility and community development. It is therefore recommended that the CoJ invests in an effective and efficient marketing campaign to inform and stimulate communal interest in community development.
- The use of grassroots institutions such as NGOs is one of the most viable and widely used solutions to the challenges of sustainable community development.

It is recommended that the CoJ harness the forces of these institutions by effectively mobilising them and aligning them to the objectives of the CoJ.

- Through the qualitative interviews, the responses by the CoJDs on how they interact with residents of Riverlea suggest that there are inadequate community workers for all departments interviewed within Riverlea. Periodical visits to households are needed to ascertain the psychological, social, cultural, economic and situational needs. According to Swanepoel and De Beer (2011:19), community development cannot be realised if it is executed in silos and without the involvement and groundwork of the community development worker who has a birds-eye view of the elements of the changing environment. Such workers could drastically reduce dependency on referrals and dependence on other departments and stakeholders for essential information. It is proposed that the CoJ increases the number of community development workers. The incumbents must understand the socioeconomic issues in Riverlea in order for them to be an effective and efficient nexus between the community and CoJDs.
- The CoJ needs to invest resources in developing its own measuring tool to evaluate the social responsibility programmes of MOEs. Introducing policies and or strategies without monitoring third-party contributions and alignment of contributions between parties/stakeholders would be meaningless. There is, therefore, a need for the CoJ to establish a Social Responsibility Agency or Unit with oversight powers to streamline CoJDs and MOEs social responsibility activities.

### **MOEs**

- Although not part of this research study and scope, it is worth noting that the empirical study revealed that slow progress had been made in terms of the drafting and implementation of the MOEs social responsibility policies. It is recommended that a deadline is set for the finalisation of such policies (see item 3.2.6.4).

- It is recommended that each municipal-owned entity assigns a senior manager knowledgeable of the contemporary social responsibility and community development concepts to monitor, evaluate, and be accountable for the progress and impact of social responsibility initiatives.
- It is recommended that management be trained on social responsibility in order to better understand the concept and what it entails. This would also allow managers to distinguish between capital projects and social responsibility projects.

### **4.3. FURTHER RESEARCH**

The study highlighted the challenges faced by the community of Riverlea and the shortcomings of the households, NGOs, CoJDs and MOEs as drivers of the social responsibility agenda. Most importantly, the findings of the study also underscored to some degree the lack of understanding of the social responsibility concept by all respondents.

Another possibility for contributing to the existing literature and the field of social responsibility would be to develop a social responsibility model for uniformity and consistent reporting within the local government environment.

### **4.4. FINAL CONCLUDING REMARKS**

This mini-dissertation focused on the social responsibility agenda to promote community development within the Riverlea community. The main conclusions that follow from the empirical data revealed widespread poverty, driven by unemployment amongst physically abled individuals, and young adults who turn to drugs, alcohol and gangsterism. The division of Riverlea by the physical barrier (railway line) exacerbates the isolation between community members living on opposite sides of the lines.

In the understanding of the concept social responsibility (see item 3.2.2.), the researched CoJ departments and its MOEs distance themselves from social responsibility in their understanding of the concept and instead refer to it as the

obligation of business. None of the CoJDs mentioned their departmental social responsibility obligations as part of the CoJ constitutional obligation in its geographical area of operation. The Constitution is the supreme law of the country and therefore provides for the social responsibility agenda for the three spheres of government, namely, national, provincial, and local government. Although the CoJ expresses its social responsibilities in the Joburg 2040 - Growth and Development Strategy, the success of the implementation thereof will depend, among others, on the understanding of this important concept.

#### **4.5. CONCLUSION**

In 2013, Johannesburg Mayor, Parks Tau made the following observation in his 2013 State of the City address when he described Johannesburg as:

“...a city that cares deeply for all its residents” which envisions an economically inclusive city with “...real quality of life” for all its citizens.

Within the context of this study’s objectives, the findings indicate that, notwithstanding this laudable desire, the Joburg 2040 Growth and Development Strategy had a limited effect on the opportunities for a real quality of life for the residents of Riverlea.

The findings on the objectives also brought to the fore the issue raised by White (2007:9), when he stated that in order for governments to be taken seriously regarding the promotion of social responsibility, it should lead by example. Despite the commitments made by the CoJ in its Growth and Development Strategy, the data shows that isolation, poverty, intra-communal conflict, and unemployment across all ages of employable people are widespread. From the various key aspects and progression of social responsibility as discussed in Chapter two (see item 2.2), the definition developed by Business Leaders in 1971 under the auspices of the Committee for Economic Development, sums up the importance of social responsibility. They said that “business [service delivery] functions by public consent and its basic purpose is to serve the needs of society constructively – to the satisfaction of society”. The community, NGOs, the CoJ and its institutions, have demonstrated in their responses that social responsibility as a driver of community development is

misunderstood. In order to demonstrate its commitment to social responsibility, it is imperative for the CoJ and its institutions (CoJDs and MOEs) as the primary service providers, to look afresh at their practices and policies. It can no longer afford to compromise its constitutional obligations to the society of Riverlea unintentionally. Social responsibility forms part of the core business of the CoJ and is the direct responsibility of the CoJ and its institutions which need to be managed accordingly.



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## ANNEXURE CLR - L

Mr. Niel Rooi  
Room 109 Arts and Culture Building  
No. 2 President Street  
Newtown  
2113

Dear Councillor Dazel Douglas

Re: RESEARCH PROJECT IN RIVERLEA

North-West University Student: Mr NV Rooi  
Student number: 26567768  
Qualification: Master of Development and Management  
Specialisation: (Corporate) Social Responsibility

Post-graduate research is one of the main educational functions of an academic institution. Through research students are exposed to the theory of enquiry and to the basic knowledge that is required for conducting research. North-west University seeks to achieve exceptional results with post-graduation research activities and projects undertaken by students that will contribute to the general body of knowledge in the fields of management, public management and safety in society.

This letter serves as follow up to our verbal communication regarding the proposed research in Riverlea. As previously discussed, a major part of my curriculum includes a compulsory dissertation (actual research) as a requirement for completing the Master's degree in Development and Management. It therefore requires of the student to conduct research in his chosen field of specialisation and topic:

***Social responsibility agenda to promote community development: A Case study of Riverlea***

Please note that NO confidential information would be used in the dissertation and no names of persons would be mentioned unless where consent was given.

North-west University, Potchefstroom Campus is registered with the Department of Higher Education and Training as a Public Higher Education Institution under the Higher Education Act, 1997. Enclosed please find a confirmation letter from the Potchefstroom University to confirm that the author of this letter is a current student with the institution.

Your co-operation in accommodating the student with his research project would be much appreciated.

Student/Author

N. V. Rooi

## ANNEXURE DIR – R



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**Mr Niel Rooi**  
**Disaster Management**

**14 May 2015**

**Re: Research Project in Riverlea**

Your request to conduct research within your working environment in order to complete your dissertation with the topic: "*Social responsibility agenda to promote community development: A case study of Riverlea*", was received and is supported by the office of the Director: Disaster Management. Permission is therefore granted for you to continue.

Wishing you all the best with your research.

Kind regards

**W Mazibuko**  
**Director**  
**Disaster Management**  
**011 222 8015**  
**082 460 0386**

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*To ensure a universal sense of safety and security*

**HOUSEHOLD INTERVIEW SCHEDULE**

Date: .....

Time: .....

**A. ETHICAL CONSIDERATIONS**

- researcher to identify himself
- inform interviewee of the reasons for the interview

**MAIN TOPIC:** Social responsibility agenda to promote community development.**BROADER LEVEL OF DATA COLLECTION:** Riverlea community*Role in this context is defined as the part the community and the individual plays in the pursued for well-being.***B. CONSENT**

Do you consent to this interview?

☐ Yes      ☐ No

Do you consent and acknowledge that you have been made aware that this interview will be recorded – and that the content of this recording would be confidential and would only be used for the purposes of this accademic research?

☐ Yes      ☐ No
**C. RESPONDENT**R ☐**D. CHARACTORISTICS**

1. How long have you been living in Riverlea?
2. What level of education have you attained?
3. What is your source of income?

**E. INTERVIEW**

4. What do you think are the levels of poverty in Riverlea?
5. What are your understanding of social responsibility?
6. What is your understanding of community development in the context of social responsibility?
7. What is the community's role in community development?

8. How effective do you think the community is in executing its role in community development?

9. What do you see as limitations to community development?

10. Describe how you interact with NGO's operational in Riverlea in terms of community development?

11. Describe how you interact with City of Johannesburg:

Department of Community Development

Department of Economic Development

Department of Social Development

12. Is there anything you wish to add that was not addressed about your work with and in this community?

**NON-GOVERNMENTAL ORGANISATION INTERVIEW SCHEDULE****(Including Non-profit and Community Based Organisations)**

Date: .....

Time: .....

**A. Ethical considerations**

- researcher to identify himself
- inform interviewee of the reasons for the interview

**MAIN TOPIC:** Social responsibility agenda to promote community development.**BROADER LEVEL OF DATA COLLECTION:** Riverlea community**NARROWER LEVEL OF DATA COLLECTION:** NGO role

*Role in this context is defined as the prescribed function and obligation associated with the assumed responsibility and expected conduct associated with the position in society.*

**B. Consent**

Do you consent to this interview?

☐ Yes   ☐ No

Do you consent and acknowledge that you have been made aware that this interview will be conducted electronic mail – and you have been made aware that the content of this questionnaire would be confidential and would only be used for the purposes of this accademic research?

☐ Yes   ☐ No
**C. Personal Details**

Position: ..... Name: ..... Surname: .....

Name of NGO/NPO/CBO: .....

Preferred contact: .....

**D. Interview**

1. What do you think are the levels of poverty in Riverlea?
2. What are your understanding of social responsibility?
3. What is your understanding of community development in the context of social responsibility?

4. What is your role in community development?
5. How effective do you think you are in executing your role in community development?
6. What do you see as limitations to community development?
7. Describe how you interact with the community of Riverlea in terms of community development?
8. Describe how you interact with NGOs operational in Riverlea?
9. Describe how you interact with City of Johannesburg:  
Department of Community Development  
Department of Economic Development  
Department of Social Development
10. Is there anything you wish to add that was not addressed about your work with and in this community?

**CoJ DEPARTMENTAL INTERVIEW SCHEDULE**

(DCD, DED and DSD)

Date: .....

Time: .....

**A. Ethical considerations**

- researcher to identify himself
- inform interviewee of the reasons for the interview

**MAIN TOPIC:** Social responsibility agenda to promote community development.**BROADER LEVEL OF DATA COLLECTION:** Riverlea community**NARROWER LEVEL OF DATA COLLECTION:** Departmental role in developing the community

*Role in this context is defined as the function and position associated with the assumed constitutional obligation and what the CoJ does to assist communities such as Riverlea.*

**B. Consent**

Do you consent to this interview?

☐ Yes      ☐ No

Do you consent and acknowledge that you have been made aware that this interview would be conducted via electronic mail and that the content of this interview would be confidential and would only be used for the purposes of this academic research?

☐ Yes      ☐ No
**C. RESPONDENT**R **D. Interview**

1. What do you think are the levels of poverty in Riverlea?
2. What are your understanding of social responsibility?
3. What is your understanding of community development in the context of social responsibility?
4. What is your role in community development?
5. How effective do you think you are in executing your role in community development?
6. What do you see as limitations to community development?

7. Describe how you interact with the community of Riverlea in terms of community development?
8. Describe how you interact with NGO's operational in Riverlea in terms of community development?
9. Is there anything you wish to add that was not addressed about your work with and in this community?



**MUNICIPAL-OWNED ENTITY (MOE) INTERVIEW SCHEDULE**

Date: .....

Time: .....

**A. Ethical considerations**

- researcher to identify himself via the attached letter
- inform interviewee of the reasons for the interview

**MAIN TOPIC:** Social responsibility agenda to promote community development.**BROADER LEVEL OF DATA COLLECTION:** Riverlea community**NARROWER LEVEL OF DATA COLLECTION:** Social Responsibility implementation**B. Consent**

Do you consent to this interview?

☐ Yes      ☐ No

Do you consent and acknowledge that you have been made aware that this interview would be conducted electronically – and that the content of this questionnaire will be confidential and will only be used for the purposes of this academic research?

☐ Yes      ☐ No
**C. RESPONDENT**R ☐**D. Interview**

1. What do you think are the levels of poverty in Riverlea?
2. What are your understanding of social responsibility?
3. What is your understanding of community development in the context of social responsibility?
4. What is your role in community development?
5. How effective do you think you are in executing your role in community development?
6. What do you see as limitations to community development?
7. Describe how you interact with the community of Riverlea in terms of community development?

8. Describe how you interact with NGO's operational in Riverlea in terms of community development?
9. Is there anything you wish to add that was not addressed about your work with and in this community?

