



**Communication between the mine and the
community in a mining resettlement project: A
case study on Kumba Iron Ore's Dingleton
Project**

Boitshoko Luka

26928108



orcid.org 0000-0001-6451-2337

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Supervisor: Dr. EM Kloppers

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ABSTRACT

Kumba Iron Ore, one of Anglo-American's iron ore mining companies operating in South Africa, has recently undertaken a resettlement of the residents of the town of Dingleton at their Sishen Mine in Northern Cape. The primary objective of the Dingleton resettlement project was to relocate the town of Dingleton and its community to a new site or sites acceptable to all stakeholders and to compensate affected parties for losses incurred as a result of the relocation.

The Dingleton resettlement project is a prime example of social change where many people will be directly affected by the change. Communication within the project should therefore be considered as communication for social change, where the participatory approach is the norm to facilitate this change in a positive manner. This study argues that communication within the Kumba Iron Ore's Dingleton resettlement project needs to adhere to the following principles of the participatory approach to development communication: participation, dialogue, cultural identity and empowerment.

The general research question of this study is: *What is the nature of communication between the mine and the community in Kumba Iron Ore's Dingleton resettlement project?* In order to understand the nature of communication between the Dingleton Community and Kumba mine, a qualitative approach was used in this study. Semi-structured interviews with representatives from the mine and focus groups with representatives from the community were selected as research methods and qualitative content analysis was applied to analyse the results of the empirical study.

The findings of the empirical study show that the nature of communication between the mine and the community, within the context of the Dingleton resettlement project, for the most part, did not adhere to the normative principles of the participatory approach to communication for social change. The project failed to facilitate sufficient participation of the Dingleton community in the project. Furthermore, the communication between the mine and the community did not resemble dialogical communication and community members' cultural identity was not respected and accommodated in all aspects of the project. Finally, the project did not sufficiently facilitate empowerment of the community, therefore, the nature of communication in the Dingleton resettlement project is considered to be non-participatory.

Keywords: communication, communication for social change, community, community participation, cultural identity, dialogue, Dingleton Resettlement Project, empowerment, Kumba Iron Ore mine, participatory approach.

TABLE OF CONTENTS

AKNOWLEDGEMENTS		i
ABSTRACT		ii
CHAPTER ONE: INTRODUCTION, PROBLEM STATEMENT AND RESEARCH QUESTIONS		
1.1	INTRODUCTION	1
1.2	THEORETICAL FRAMEWORK	4
1.3	PROBLEM STATEMENT	6
1.4	SPECIFIC RESEARCH QUESTIONS	7
1.5	SPECIFIC RESEARCH AIMS	7
1.6	THEORETICAL ARGUMENTS	8
1.7	RESEARCH APPROACH	8
1.8	RESEARCH METHODS	9
1.8.1.	Literature Review	9
1.8.2.	Empirical Study	10
1.9	STUDY RELEVANCE	12
1.10	ETHICAL CONSIDERATIONS	12
1.11	CHAPTER LAYOUT	12
CHAPTER 2: THE PARTICIPATORY APPROACH TO COMMUNICATION FOR SOCIAL CHANGE		
2.1	INTRODUCTION	13
2.2	THE MODERNIZATION APPROACH	13
2.2.1	The role of communication and the mass media in the modernization approach	15
2.2.2	Critique against the modernization approach	16
2.3	THE DEPENDENCY APPROACH	17
2.3.1	The role of communication and mass media	18

2.3.2	Critique against the Dependency Approach	19
2.4	BACKGROUND OF THE PARTICIPATORY APPROACH	20
2.5	THE PRINCIPLES OF PARTICIPATORY APPROACH WHICH ARE RELEVANT FOR COMMUNICATION BETWEEN KUMBA IRON ORE AND THE DINGLETON COMMUNITY	21
2.5.1	Dialogue	21
2.5.2	Empowerment	25
2.5.3	Community Participation	27
2.5.4	Cultural Identity	30
2.5.5	Critique against Participatory Approach	32
2.6	CONCLUSION	33

CHAPTER THREE: RESEARCH APPROACH AND METHODS

3.1	INTRODUCTION	35
3.2	QUALITATIVE RESEARCH APPROACH	35
3.3	THEORETICAL STATEMENT, CONCEPTS AND CONSTRUCTS	37
3.4	RESEARCH METHODS USED IN QUALITATIVE APPROACH	41
3.4.1	Research Questions and Research Methods	41
3.4.2	Research Methods	41
3.4.2.1	Semi Structured Interviews	42
3.4.2.2	Focus Groups	47
3.4.3	Qualitative Content Analysis	52
3.4.3.1	Steps in Qualitative Content Analysis	53
3.4.4	Reliability and Validity	54
3.4.5	Challenges Experienced	55
3.5	CONCLUSION	56

CHAPTER FOUR: EMPEIRICAL FINDINGS

4.1	INTRODUCTION	57
4.2	ANALYSIS AND DISCUSSION OF RESULTS	57
4.2.1	Theoretical Statement 3: Community Participation	58
4.2.1.1	Active Partners in Planning	58
4.2.1.2	Active Partners in Implementation Phase	61
4.2.1.3	Active Partners in Evaluation Phase	63
4.2.1.4	Active Partners in Decision-Making	66
4.2.1.5	Responsibility	68
4.2.1.6	Conclusion on Community Participation	70
4.2.2	Theoretical Statement 1: Dialogue	70
4.2.2.1	Two-way Communication	71
4.2.2.2	Horizontal Communication	74
4.2.2.3	Mutual Understanding and Respect	76
4.2.2.4	Continuous Process	80
4.2.2.5	Conclusion on Dialogue	82
4.2.3	Theoretical Statement 4: Cultural Identity	83
4.2.4.1	Accommodation	83
4.2.4.2	Sensitivity	86
4.2.4.3	Respect	88
4.2.4.4	Conclusion on Cultural Identity	89
4.2.4	Theoretical Statement 2: Empowerment	90
4.2.4.1	Ownership	90
4.2.4.2	Shared-Power	94
4.2.4.3	Self-reliance	96
4.2.4.4	Conclusion on Empowerment	100
4.3	CONCLUSION	100

CHAPTER FIVE: CONCLUSIONS

5.1	INTRODUCTION	102
5.2	CONCLUSIONS: ANSWERING THE SPECIFIC RESEARCH QUESTIONS	103
5.2.1	Theoretical Principles of the Participatory Approach to Communication for Social Change.	103
5.2.2	The Mine Representatives' Perceptions regarding the Nature of Communication between the Mine and the Dingleton Community	104
5.2.3	The Community's Perceptions regarding the Nature of Communication between the Mine and the Dingleton Community.	108
5.3	CONCLUSIONS: ANSWERING THE GENERAL RESEARCH QUESTION	112
5.4	LIMITATION OF THE STUDY	117
5.5	OPPORTUNITIES FOR FURTHER RESEARCH	117
5.6	SUMMARY	117

BIBLIOGRAPHY	118
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ANNEXURES	128
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1.	Annexure A: Solemn Declaration and Permission to Submit	128
2.	Annexure B: Ethics Approval Certificate of Project	129
3.	Annexure C: Confirmation of Language Editing	130

LIST OF TABLES

Table 3.1	Theoretical Statements, Concepts & Constructs	37
Table 3.2	Specific Research Questions	41
Table 3.3	Interview Schedule	44
Table 3.4	Moderator's Guide	49

LIST OF FIGURES

Figure 1.1	A Ladder of Citizen Partnership by Arnstein, S.R (1969:217)	28
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CHAPTER 1

INTRODUCTION, PROBLEM STATEMENT AND RESEARCH QUESTIONS

1.1 INTRODUCTION

Involuntary resettlements are recognized as examples of social change due to the profound and long-term consequences that they may have for communities. The potential significant social impacts of resettlements, which may result either positively or negatively for the community can include, amongst others, loss of land and assets, disruption of livelihoods, changes in social structures and socio-economic conditions of the community, as well as community disintegration (Cernea, 1999:12; World Bank Group, 2009:4; Varhade *et al.*, 2013:15; Perera, 2014:1).

Involuntary resettlements are extremely complex situations that require careful communication to ensure that those who are affected have the opportunity to make informed decisions, voice their concerns and have the ability to eventually enhance or restore their livelihoods (World Bank Group, 2009:4; World Bank, 2015). If not handled with the necessary sensitivity and skill, it may have far reaching implications for all parties involved, particularly because affected people can suffer adverse impacts as mentioned above (World Bank Group, 2009:4; Varhade *et al.*, 2013:15; Perera, 2014:1). Additionally, it can also have very negative implications for the organisation proposing the resettlement, including damage to its relationship with the community, corporate reputation as well as compromise its licence to operate.

Communication is a cornerstone in the processes of social change (Hernández *et al.*, 2016:539) as it can bring about change in attitudes, behaviour and knowledge in individuals and communities. (Servaes, 2008:15; Salazar & Dagrón, 2009: 443). According to Servaes, (2008:15) the essence of communication in achieving social change is the sharing of knowledge that takes place when the interests, needs and capacities of those concerned are also taken into account.

Resettlement projects are prime examples of social change and therefore communication within such initiatives falls within the theoretical field of communication for social change. One example of such an involuntary resettlement is Kumba Iron Ore's Dingleton Resettlement project.

Kumba Iron Ore, one of Anglo-American's iron ore mining companies, has recently undertaken the resettlement of the residents of the town of Dingleton at their Sishen Mine in the Northern Cape. The primary objective of the Dingleton Resettlement project was to relocate the town of Dingleton and its community to a new site or sites acceptable to all stakeholders and to compensate

affected parties for losses incurred as a result of the relocation (Anglo-American, 2009; Human & Steyn, 2013: 24).

The topic of this study is highly important, given the history of the mining sector in South Africa under colonialism and apartheid and the evolving relationship between the mines and mine-affected communities in South Africa as well as globally. Historically, the mining sector in South Africa was exploitative to labour and mining-affected communities. However, in recent years, there has been calls to develop mining that generates inclusiveness and sustainable economic opportunities for mining-affected communities (South African Human Rights Commission, 2016).

The relocation had to be done in accordance with international standards, the Anglo Social Way (a framework on the management of social impacts used by Anglo-American) and other applicable social and legal norms (Anglo-American, 2009; Human & Steyn, 2013: 24).

Two socio-economic surveys that were conducted in Dingleton during the pre-feasibility phase of the project in 2009 and 2011 revealed that the project entails the resettlement of about 3 500 people, comprising 640 households and allied entities. These entities include private houses, businesses, churches and governmental buildings such as a primary school, a police station, a clinic and a library (Dingleton Resettlement Action Plan, 2012:40).

The Dingleton residents are the most important stakeholders in this resettlement project as the project-affected people. The project-affected people in Dingleton can be divided into two categories: homeowners and renters. Most of the renters in Dingleton are people who migrated to the town due to work opportunities and are dependent on institutional entities within the city of such as Kumba Iron Ore, Transnet, the Gamagara Local Municipality and the South African Defence Force (SANDF), which supply them with accommodation and employment (Dingleton Resettlement Action Plan, 2012:40).

According to the Resettlement Action Plan, the Dingleton Resettlement Project management team is comprised of Kumba Iron Ore employees, as well as a team of consultants appointed by the mine to engage with the Dingleton community and other project-affected stakeholders. The Resettlement Action Plan also indicates that an open door policy was employed at the Dingleton Resettlement Office, which was based in Dingleton town itself so that most of these consultants could be accessible to the community (Dingleton Resettlement Action Plan, 2012:42).

The Resettlement Action Plan (2012) indicates that a Resettlement Working Group (RWG) was put in place during the initial planning phase of the project. The RWG comprised of six community

representatives, three Kumba Iron Ore representatives, three resettlement consultants, two monitoring consultants and six local government representatives including the Gamagara local municipality, district municipality and Northern Cape Government. The six RWG community representatives comprising homeowners, renters and business group representatives were elected by the community members and will serve a four year term, and the initial aim of this committee was to assist the investigation of the feasibility of resettling the Dingleton community and mediating between the community and mine throughout the resettlement process (Dingleton Resettlement Action Plan, 2012:42). In addition, a Northern Cape Government/ Kumba steering committee was formed, consisting of three community representatives from the RWG, four Kumba Iron Ore representatives, one monitoring consultant, five Northern Cape Government representatives, one District Municipality representative, and four Gamagara Local Municipality representatives (Dingleton RWG Terms of Reference v5, 2015).

According to the Dingleton Resettlement Project Communication Management Plan (2012:10) RWG meetings were held monthly to discuss the resettlement with issues ranging from sustainability, development, compensation, grazing land for livestock to logistics relating to the host site. This document also states that community meetings were held quarterly to ensure that the recommendations and proceeds of the RWG meeting were discussed in an open community forum. According to the document, flyers with information about the community meetings were distributed in the community in the weeks leading up to the meeting, in order to reach as many people as possible (Dingleton Resettlement Action Plan, 2012:42; Dingleton RWG ToR V5, 2015).

To ensure effective communication, the project conducted one-on-one consultation meetings to engage with individual households, mainly with the homeowners, to discuss the exchange agreements, designs of their houses, stand sizes, replacement values and negotiate the payment of their properties. According to the Communication Management Plan (2012), the project also aimed to distribute monthly community newsletters as a reliable interface for the project to convey the progress of the project with the community (Dingleton Resettlement Action Plan, 2012:42).

Effective communication between Kumba and the Dingleton community was not only essential in building a resilient company-community relationship, but it also aimed to facilitate the empowerment of the community in sustaining their livelihoods and taking ownership of the project. Additionally, the reputation of the mine, their license to operate and the overall success of the project all depended on the functional and successful communication processes implemented.

This background provided above constitutes a brief outline of the process as described by Kumba Iron Ore in its effort to engage with the community. This information was gathered mostly from the Resettlement Action Plan report, as well as by means of observation by the researcher, a social science consultant, who had worked in the Dingleton Resettlement project for two years.

Considering that the project entailed the resettlement of about 3500 people, the Dingleton Resettlement project is unique due to the magnitude of the population being resettled, a total of about 3 500 people. In comparison, other mining resettlement projects in South Africa have mostly been small-scale mining resettlement projects. As a result, this case study is relevant in guiding future mining resettlement projects when it comes to undertaking effective communication with communities to enable for social change.

1. 2 THEORETICAL FRAMEWORK

Since the resettlement project is seen as an example of social change, communication within this initiative falls in the theoretical field of communication for social change. In this theoretical field, the participatory approach is recognised as the normative approach (Servaes & Malikhao 2002:28; Waisbord, 2008:507; Tufte & Mefalopulos, 2009:9).

The participatory approach is concerned with promoting social change – its common emphasis is the “involvement of ordinary people in the development process for change” (Tufte & Mefalopulos, 2009:10). Four of the principles of the participatory approach that are relevant for this study are: participation, dialogue, cultural identity and empowerment.

The participatory approach emphasizes community *participation*. Research show a significant correlation between community participation and improved development outcomes (Calabrese, 2008:25). Community participation creates opportunities for people to articulate their views, identify common concerns, and seek solutions from within their community (Bessette, 2006:81; Chitnis, 2005: 238). Servaes (1996:76) adds that community participation is important to every aspect of the decision-making process and individuals and communities should actively participate in development programmes and processes. It is important that the mine ensures community participation in the Dingleton project as this should promote thriving partnership and trust between the mine and the community.

The participatory approach brought with it the shift from a linear mode of communication to a platform in which people can communally transform their world and achieve a common goal without domination of one person by another. One particular principle of the participatory

approach known as *dialogue* focuses on the sharing of information, perceptions and opinions among the various stakeholders, thereby facilitating empowerment and mutual understanding. In this approach the aim of communication is not just the exchange of information and experiences; it is also to explore and generate new knowledge aimed at addressing situations that need to be improved (Tuftte & Mefalopulos, 2009:11). Mutual understanding facilitated through dialogue can result in decisions that are made collaboratively and inclusively by all parties, resolved conflicts as well as improved project outcomes (Servaes & Malikhao 2002:28; Waisbord, 2008:507 Tuftte & Mefalopulos, 2009:9; Mercer-Mapstone *et al.*, 2017:349). In order to reach mutual understanding, the mine must facilitate dialogue with the Dingleton community. According to Buber (in Mefalopulos; 2008:57), genuine dialogue (as proposed by the participatory approach) can be effective in facilitating participation of ordinary people in their own social change and facilitating mutual understanding amongst all the parties involved in a development process. He further asserts that genuine dialogue can facilitate empowerment.

The participatory approach recognizes the importance of individuals' and communities' *cultural identity*. It insists that developments must take into consideration that communities are not homogeneous entities but are made up of diverse groups with histories, social structures, value systems, and cultural understandings of the world (Servaes & Malikhao, 2002:28; Balit, 2007:108). The mine must take the cultural identity of the Dingleton community into account, because it is an important and integral part of individuals and communities and has an important impact of their interpretations of messages and communication in general.

The participatory approach to communication for social change also places an emphasis on the principle of *empowerment*. It recognizes that individuals and communities are key role players in their development process, hence they must gain self-reliance and take ownership of the developments aimed to benefit them (Childers 1990 in Alfonso & Tuftte 2006: 389; Melkote & Steeves, 2001: 36 – 38; Khurshid, 2016: 619). Through dialogue, ordinary people and communities can become fully involved in exploring the situation, identifying their strengths, and uncovering risks and opportunities that can benefit their empowerment (Mefalopulos, 2008:42; Servaes, 2008:15; Bessette, 2006:28). In order to enhance or restore the livelihoods of the Dingleton community, the mine must focus on the community's empowerment.

Kumba Iron Ore's Dingleton Resettlement Project is a prime example of social change where many people will be directly affected by the change. As argued in this introduction, communication can play an integral role in facilitating either a positive or negative relationship

between the mine and the community as well as in the influence this whole endeavour will have on the community. Since this project entails social change, communication within the project should be considered as communication for social change, where the participatory approach is considered to be the norm to facilitate positive social change. In this study it is therefore argued that communication within the Kumba Iron Ore's Dingleton Resettlement Project should adhere to the principles of participatory communication. This argument is strengthened by the findings of a study focussing on the resettlement of families in Colombia:

Community participation focused on horizontal, permanent and inclusive dialogue can make the difference between successful relocation processes and those that are not. Projects involving the population at every stage of the process exhibit more positive results because not only are the needs of the community heard, but the community also ensures that these needs are taken into account during implementation. It also prevents potential destabilizing situations (Hernández *et al.*, 2016:539).

Therefore the aim of the study is to investigate the nature of communication between Kumba and the Dingleton Community during the resettlement project, using the participatory approach to communication for social change as the norm.

1.3 PROBLEM STATEMENT

Involuntary resettlement remains a controversial issue, mainly due to the direct and indirect impacts of resettlement stemming from the operations of mining companies. Effective communication between the mining company and the community in these circumstances is of the utmost importance to ensure that the community's needs are met, while also protecting the company and its reputation.

Communication between Kumba Iron Ore and the Dingleton Community should adhere to the principles of the participatory approach to communication for social change, in order to create mutual understanding and empowerment through open dialogue. If communication between the parties is not participatory, it could lead to serious misunderstandings and a discontented community, which can result in negative relationships between the mine and the community. Unhappy communities can potentially have a profoundly negative influence on Kumba Iron Ore's corporate image and reputation, not to mention its licence to operate. On the other side, Kumba Iron Ore is taking its responsibility towards the local community seriously and regards mutual understanding between the mine and the community as well as empowerment of the community as core outcomes of the resettlement project.

Given the importance of community participation in the context of the mining resettlement project, this study focused on the nature of communication between the company and the Dingleton community in the Kumba Iron Ore Dingleton Project.

Following from the arguments above, the general research question of this study is:

What is the nature of communication between the mine and the community in Kumba Iron Ore's Dingleton resettlement project?

1.4 SPECIFIC RESEARCH QUESTIONS

In order to answer the general research question, the following specific research questions were formulated for this study:

- 1.4.1 According to the literature, which theoretical principles of the participatory approach are relevant to communication between Kumba Iron Ore and the Dingleton community?
- 1.4.2 What are the perceptions of Kumba Iron Ore's mine representatives regarding the nature of communication between the mine and the Dingleton community in the resettlement project?
- 1.4.3 What are the perceptions of the Dingleton community regarding the nature of the communication between themselves and Kumba Iron Ore in the resettlement project?

1.5 SPECIFIC RESEARCH AIMS

The general aim of this study is to examine the nature of communication between the mine and the community with the Kumba Iron Ore's Dingleton resettlement project.

The specific research aims are as follows:

- 1.5.1 To determine, by means of a literature study, which theoretical principles of the participatory approach might be relevant to communication between Kumba Iron Ore and the Dingleton community.
- 1.5.2 To understand, through interviews with the project managers, Kumba Iron Ore's mine representatives' perceptions on the nature of communication between the mine and the Dingleton community in the resettlement project.
- 1.5.3 To understand the perceptions of the Dingleton community regarding the nature of communication between themselves and Kumba Iron Ore, through focus groups.

1. 6 THEORETICAL ARGUMENTS

The study relies on the following basic theoretical arguments:

- Involuntary resettlement projects as extremely sensitive and complex endeavours due to the potential impact on the resettled community as well as their relationship to the organization responsible for the resettlement. Effective communication between all the involved parties is of the utmost importance in contributing to a positive outcome for all.
- Resettlement-projects are examples of social change and therefore the communication within such initiatives fall in the theoretical field of communication for social change. In this field the participatory approach to communication for social change is widely recognized as the normative approach.
- Kumba Iron Ore is undertaking a resettlement of the Dingleton community. In this study it is argued that communication between the mine and the community should adhere to the principles of the participatory approach to contribute to a positive outcome for all the parties.
- The principles of the participatory approach which are relevant for communication between Kumba Iron Ore and the Dingleton community include community participation, dialogue, cultural identity and empowerment. Kumba should pay a lot of attention to the nature of communication in the initiative to facilitate a positive social change for the community whilst also protecting their relationship with the community and in turn also their own corporate reputation and operating license.

1. 7 RESEARCH APPROACH

A qualitative research approach was adopted for this study with a research design including conducting semi-structured interviews and focus groups with representatives from the mine and community. This qualitative approach facilitated the production of findings that were not determined before by gathering specific information about the values, opinions, behaviours and social contexts of the sampled population (see Denzin, 2009:139). This particular approach was relevant to this study in that it enabled an in-depth understanding of participants' experiences and perceptions of the communication used by Kumba Iron Ore mine from the participants' perspectives. The qualitative approach included open-ended questions and inductive and natural settings that enabled the researcher to make sense of, and interpret phenomena, in terms of the meaning it held for the participants (see Denzin & Lincoln, 2005:18; Creswell, 2007:25). Hence,

this approach was most appropriate for enhancing the exploration and interpretation of the nature of communication between the mine and the community in Kumba Iron Ore's Dingleton Resettlement project and answering the research questions of the study.

1.8 RESEARCH METHODS

This study included both a literature and an empirical component.

1.8.1 Literature study

A literature study was conducted to gather relevant information that guided the study. Written sources related to the study topic were collected from Nexus, the NWU library database, Google Scholar and EBSCOhost, and included scholarly literature from academic journals, archival research from published project documents by the International Finance Corporation (IFC) and The Anglo Social Way, as well as media reports on Kumba Iron Ore.

The literature provided a general overview of existing theories and concepts on communication to guide the study. The primary theoretical sources used in this study includes Freire (1969), Buber (2004), Servaes (1995, 1996, 1999, 2002, 2008), Mefalopulos (2003, 2008), Servaes & Malikhao (2002, 2008), Mefalopulos & Tufte (2009), Waisbord (2008), Bessette (2006) and Alfonso & Tufte (2006).

To establish that other studies on “communication between mines and communities” similar to this study have not yet been conducted, a search was conducted on Nexus, Google Scholar and EBSCOhost. No other studies on this topic were found. However, there are a number of studies in South Africa that have used the participatory approach as a theoretical point of departure, which include:

- The extent of participatory communication in the IDP (Integrated Development Plan) context of the Jouberton township of the Matlosana Local Municipality (Molale, 2014).
- The participatory development communication approach of Thusong Services Centre in Tshwane (Naidoo, 2010).

The above mentioned studies focused on participatory communication in the government sector, and other studies were found that focused on participatory communication in the non-government sector as well as corporate organisations; CSR initiatives. This study is unique because there are no studies that have focused on the nature of communication in resettlement projects.

1.8.2 Empirical study

The empirical data collection methods that were used for the study include semi-structured interviews, focus groups and qualitative content analysis. These methods provided a rich and deeper insight into the phenomenon under study, than one could have obtained by conducting quantitative research (Patton, 2002:35).

1.8.2.1 Semi-structured interviews

Semi-structured interviews involve the use of a number of predetermined questions and/or topics. These questions are typically asked of each interviewee in a systematic and consistent order, but the interviewers are allowed the freedom to digress, in fact expected, to probe far beyond the answers to their standardised questions (Berg, 2001:23). Semi-structured interviews were conducted with the mine representatives whose work on the Dingleton resettlement project is directly focused on community engagement with the Dingleton Community. The following people were interviewed:

- The project manager;
- The community relations manager;
- The sustainable development officer; and
- The community legal representative.

These interviews helped to determine the current communication, as well as the interviewees' perceptions of the nature of communication between the mine and the community.

The semi-structured interview questions were based on the identified theoretical principles and prepared in advance to make sure that all relevant questions were posed to the participants. The interviews also allowed the participants the freedom to provide information on the topics that the researcher had not foreseen. Additionally, all the interviews were transcribed and analysed through qualitative content analysis.

1.8.2.2 Focus groups

A focus group is a small-group discussion involving between four and fifteen participants, and guided by a facilitator to draw out information from the participants regarding topics of importance to a given research topic (Berg, 2001:25). In order to determine the community's perceptions of the nature of communication used by Kumba Iron Ore for community engagement, five focus

group discussions were conducted with various community representative groups, including members of:

- The Resettlement Working Group (RWG) – as community representatives sitting in certain committee meetings to represent the overall community, this group is relevant to the resettlement project and the study due to the influence and level of participation they may have in the decision-making processes of the project.
- A youth group – This is an interesting group in the resettlement project and in this study because of the demands the group had raised with Kumba and the demonstrations they held during the course of the project due to their various political affiliations and opposing views in comparison to the majority of the elderly people in the community.
- The elderly/retired community are an important beneficiary to the study due to the knowledge they have regarding the history and cultural identity of the Dingleton community.
- The refusers' group – this is an interesting group for this study because of how as a minority group in the project they negatively responded to the resettlement from the beginning.
- The Old Caravan Park (OCP) renters – this group's level of participation in the project is an important factor due to perceived different effect and benefits the project has for them as Dingleton renters in comparison to the homeowners.

Focus group discussions were necessary in addressing the perceptions of the Dingleton community regarding the nature of communication between the community and Kumba Iron Ore. This was because the groups also consisted of community leaders that represent different aspects of the community in relation to the project. An informal group discussion was used for this study in order to facilitate engagement and elicit information from participants on topics that the researcher could not foresee. An atmosphere of informal group discussion within the focus group interview structure was intended to encourage subjects to speak freely and comprehensively about behaviours, attitudes and opinions (see Berg, 2001:25). To ensure that all relevant issues were covered during the focus group discussion, theoretical concepts and constructs were used to create a moderator's guide. In addition, all the focus groups were transcribed and analysed through qualitative content analysis.

1.8.2.3 Qualitative content analysis

The goal of qualitative content analysis is the systematic examination of communicative materials (Flick, 2004:146). In order to determine the different parties' perceptions regarding the nature of

communication between the mine and the community in Kumba Iron Ore's Dingleton resettlement project, a qualitative content analysis of the data collected during semi-structured interviews and focus groups were conducted. The concepts and constructs that were derived from the literature study were used to guide the qualitative content analysis.

1.9 STUDY RELEVANCE

This study seeks to contribute to the academic field of communication for social change and the participatory approach in particular through understanding the community's experiences and needs regarding communication in a social change context. The study will also be useful to mining companies by enabling them to modify communication in future resettlement projects in a manner that embraces communication for social change, based on the experiences and needs identified in this study.

1.10 ETHICAL CONSIDERATIONS

In respect of the ethical considerations, the participants of this study were informed of the nature of the research in writing and provided with a verbal explanation prior to the interviews and focus group discussions. All participants gave informed consent, participated voluntarily and understood that they could withdraw from the study at any given point, and the confidentiality and anonymity of all participants during interpretation of the findings was ensured. The study was granted ethical clearance number NWU-00472-15-A7.

1.11 CHAPTER LAYOUT

The study is comprised of five chapters. This chapter has introduced the background of the study, the problem statement, the research question, research aims as well as theoretical concepts and research methodology applied in the study.

Chapter two presents a literature study which discusses the principles of the participatory approach that are relevant to communication between Kumba Iron Ore and the Dingleton community. Chapter three contains an explanation of the research approach and methods used to gather the empirical information for the study, while chapter four presents the analysis and discussion of the empirical results of the study. The fifth chapter is the final one of the study, and it presents the answers to the research questions.

CHAPTER TWO

THE PARTICIPATORY APPROACH TO COMMUNICATION FOR SOCIAL CHANGE

2.1 INTRODUCTION

In the first chapter, the relevance of appropriate communication between Kumba Iron Ore and the Dingleton community, in the context of the resettlement project was emphasised. It was argued that resettlement projects can be regarded as examples of social change, where communication within such initiatives falls in the theoretical framework of communication for social change. It was furthermore argued that communication between the mine and the community should adhere to the principles of the normative participatory approach to communication for social change in order to reach its development goals.

The aim of this chapter is to answer the first specific research question (See Section 1.4.1) which states: *According to literature, which theoretical principles of the participatory approach are relevant to communication between Kumba Iron Ore and the Dingleton Community?*

To answer this research question, the development of the theoretical field of communication for social change will be discussed chronologically to explain how the participatory approach originated and why it is currently accepted as the normative approach. The discussion will begin by defining other approaches to communication for social change, namely the modernization and dependency approaches in order to highlight how new approaches, specifically the participatory approach, were developed to address the critique against previous approaches.

The main part of the chapter will focus on the theoretical principles of the participatory approach which include community participation, dialogue, cultural identity and empowerment. These principles will serve as the theoretical framework that will be used to determine the nature of communication between the mine and the community.

2.2 THE MODERNIZATION APPROACH

Modernization can be described as the standardised, evolutionary shift from a traditional view to a modern view of a society and can be seen as synonymous with the terms westernisation, industrialisation and economic growth (Servaes, 1995:36; Agunga, 1999: 85; Servaes & Malikhao, 2008:159). Theorists such as Servaes (1995:35) and Pretescu (2013:59) believe that the emergence of the modernization approach was driven by numerous factors. Postcolonial countries were keen to affirm their independence and were in the process of finding and defining their own identity and the socialist ideas of equity and economic prosperity sounded promising. As such, the

modernization approach in the social sciences and developmental theory in the economic sector represented an answer to the global offensive to communism in a period of nation building of new, independent countries (Pretescu, 2013:59).

The modernization approach has dominated the development and academic circles from around 1945 to 1965, the two decades following World War Two (Servaes & Malikhao, 2008:161). The western world confronted the new challenge of rebuilding countries in Europe where almost the whole continent had been shattered by war. America emerged as a world power after that war, which saw it play a big role in trying to rebuild Europe. Institutions that would help manage this process, such as the International Bank for Reconstruction and Development (which soon came to be known as the World Bank), were created for the task (Rapley, 2007:1).

In this period, developed western societies were being upheld as centres of economic development and were viewed as representing the ideal world in terms of democracy. In contrast, developing countries were seen as being traditional, unmodernised, underdeveloped and lacking capacity to utilize their resources for development. Given the relative effectiveness of the Marshall Plan in rebuilding previously developed countries after the war, the Western countries thought they could apply the same principles of modernization in developing countries and get the same results, without taking into consideration the context of these countries (Reyes, 2001:4; Pretescu, 2013:59).

During modernization, development was defined primarily as economic growth. The central idea was evolution, which implies that development is conceived as: firstly, directional and cumulative; secondly, predetermined and irreversible; thirdly, progressive; and fourthly, immanent with reference to the nation state (Servaes, 1995:36; Mefalopulos, 2008:45). According to the modernisation approach, for third world “developing” countries to achieve the success of first world countries, modernization must be accepted as the ultimate goal.

The argument in this approach was that development was viewed as a challenge to bring the developing countries out of their conditions of poverty by modernizing them and by promoting economic growth spurred by free-market approaches. The best way, if not the only way, to achieve these goals was considered to be the diffusion and adoption of the values, principles, and models that ensured the success of wealthier countries (Mefalopulos, 2008:45). Modernization supported the transfer of technology and the socio-political culture of the developed societies to the 'traditional' societies (Servaes 2002:3; Wolfe, 2006:5).

2.3.1 The role of communication and the mass media in the modernization approach

During the domination of the modernization approach, the ultimate mandate was to westernize the developing countries, therefore mass media and communication were considered essential for the circulation of western knowledge and ideas to the rest of the world (Servaes, 1999:27; Mefalopulos, 2008:46). Mass media played an important role in sending and reinforcing the western messages to developing countries, by using a linear, top-down approach aimed at changing people's mind-sets and behaviours. This idea was rooted in the strong belief of the persuasive power of mass media to transmit information and messages from one point to another or many others, especially until the 1970s (Leys 1996:40; Servaes 2002:3; Wolfe, 2006:5; Mefalopulos 2008:18).

With the help of foreign aid, developing countries needed to be developed in the areas of agriculture, basic education, health, rural transportation, community development, and etcetera. Thus, mass media and communication were perceived as both channels and indicators to these developments; they could speed up and ease the long slow transformation of modernization, because the problem of developing regions was believed to be an information problem. Thus, communication was presented as an instrument that would play a central role to solve this problem (Servaes 2002:3; Chitnis, 2005:223; Etana, 2014:4).

Communication and mass media were viewed as products and re-enforcers of economic development at both the macro and micro levels. At the macro level, global and national policies were developed to facilitate "free flows" of media and information technology content in the form of news, advertisement, entertainment and data, as well as hardware. The existence of this content was considered to be crucial for the development and participation of developing countries in the global economy. At the micro level, persuasive marketing campaigns in areas such as agriculture, population and health were considered the most efficient means to transform 'traditional' individuals and societies (Servaes 2002:4; Melkote, 2003:145; Etana, 2014:4).

Daniel Lerner's *diffusion of innovation* paradigm was birthed under the modernization approach and promoted the role of mass media and communication in development. According to Pretescu (2013:60) Lerner's theory collectively grouped all the theories and recommendations modernization is based on. The central tenet in the diffusion approach is that the catalyst of the change from traditional to modern society is developed through mass media. The logic of the transformation is based on open ended arguments and dictating that modern societies cannot function in the absence of a developed mass media system. It was also believed that exposure to

mass-media would generate in the population of traditional societies the desire to work and live in a better, parallel world. In this approach it was assumed that when a critical mass of the population come to desire a modern lifestyle, this will be the beginning of a process of change. Different communication mediums were used for dissemination of different types of information (Servaes, 2002:2; Huesca, 2008:180; Wilkins, Tufte & Obregon, 2014:5). For instance, the broadcasting system was used mainly for entertainment and news while radio was a channel for national campaigns to persuade the people into very specific health and agricultural practices (Servaes, 2002:4).

2.3.2 Critique against the modernization approach

There were several events that led to the growing criticism against the modernization approach. Criticism began to be heard in the 1960s particularly in Latin America, then grew gradually in the decade of the 1970s when developing countries did not witness the expected outcomes and optimism based on the scientific and pro-innovation approaches of scholars, practitioners, and leaders around the world (Servaes, 1995:38; Servaes, 1999:27; Mefalopulos, 2008:46). In the 1980s, things got even worse as large numbers of people in many developing countries experienced a significant decline in their living standards. This decline gave new fuel to the criticism of the dominant conception of mainstream development practices, which came under fire for being culturally insensitive, theoretically flawed, and methodologically inadequate (Servaes 1999:30).

Andre Gunder Frank (1969) is credited for identifying the main shortcomings of the modernization approach which he describes as threefold:

- (1) The progress paradigm is empirically untenable;
- (2) it has an inadequate theoretical foundation;
- and (3) is in practice incapable of generating a development process in the Third World (Servaes 1995:38).

Moreover, according to more critics, the complexity of the processes of change are too often ignored with little attention paid to the consequences of economic, political, and cultural macro processes on the local level, and that the resistance against change and modernisation cannot be explained only on the basis of traditional value orientations and norms, as many seem to imply (Servaes 1995:38; Pretescu 2013:60). The modernization approach was also criticised for blaming the victims themselves for their poverty (Servaes 1995:38; Pretescu 2013:60).

The most constant critique of modernisation, however, was the lack of cultural sensitivity, its tendency to undermine the importance of local knowledge and the consequences of the interaction between local cultures and foreign ideas. This approach is seen to have ignored indigenous ways,

historical and cultural traits of third world nations and focused on the individual. Issues that were ignored include media ownership, control, structure as well as content, which were mostly focused on Americanization (Servaes 1995:38-45, Mefalopulos, 2008:46; Etana, 2014:32).

Further, some critics argued that the lack of such sensitivity to cultural identity was directly responsible for the problems and failures of many modernisation projects. For example, many of the agricultural development projects failed because farmers were reluctant to abandon their traditional ways for foreign and unknown methods (Reyes, 2001:5; Mefalopulos, 2003:25).

The nature of the one-way, linear flow of information was also deemed manipulative; while the concept of merely transmission information was considered ineffective in bringing about development and social change. Central to the criticism against the modernization approach, and perhaps the most important to note, was the need for participation by those intended to benefit from the suggested development being identified (Waisbord, 2001:3; Mefalopulos, 2003:24; Etana, 2014:35). Failure of the modernization approach to bring about social change made way for the dependency approach, which is discussed next.

2.3 THE DEPENDENCY APPROACH

The dependency approach originated in Latin America in the 1960s, and is accredited to the work of United Nations Economic Commission for Latin America, particularly the work of Raul Prebisch and over the years the work of another theorist Andre Gunder Frank who framed it as an alternative theoretical framework to the modernization approach (Servaes, 1995:38; Waisbord, 2001: 15; Servaes & Malikhao, 2002:161). The dependency approach attempts to explain the developing countries' lack of economic development against the interaction and influence of Western developed countries. Modernization placed full responsibility and blame on developing countries for their conditions of underdevelopment, which is what proponents of the dependency approach objected to. This approach aimed to highlight the historical, economic and political factors that led to underdevelopment in an attempt to show how misguided the modernization approach was (Servaes, 1995:40; Mefalopulos, 2008:48).

According to the dependency approach, the problems of underdevelopment were not internal to developing countries but were determined by external factors and the way former colonies were integrated into the world economy. It insists that the problems of developing countries were political rather than the result of the lack of information (Waisbord, 2001:16; Mefalopulos, 2003: 26) and challenges modernization's promotion of capitalism and imperialism through the western models of development. This approach aimed to explain the present underdeveloped state of many

nations in the world by examining the patterns of interactions among nations and by arguing that inequality is an intrinsic part of those interactions. According to Servaes:

The 'dependistas' were primarily concerned with the effects of dependency in peripheral countries, but implicit in their analysis was the idea that development and underdevelopment must be understood in the context of the world system (Servaes, 2002:4).

It is clear then, that the imbalances in the world's state of affairs were mainly owing to the international division of labour and to the continuation of past patterns of domination. The way development was implemented in modernization created dependency by developing countries on developed countries. For the dependistas, the world is separated into two blocks: the core, composed of a few rich countries, and the periphery, composed of many poor countries. According to this perspective, core countries took advantage of their technological knowledge, superior infrastructure, and economic power to strengthen their lead. To address this problem, dependency advocates proposed a plan that works on two levels: nationally and internationally. Nationally developing countries on the periphery had to become economically self-reliant and less dependent on foreign imports, while internationally they would form alliances among themselves to create a stronger political presence. The ultimate goal was to change the overall international set of relationships by forming a bloc of many countries with similar aspirations to offset the dependence that had now been created (Servaes, 1995:40; Mefalopulos, 2008:48).

2.3.1 The role of communication and mass media

In the communication field, the dependency paradigm played an important role in the movement for a New World Information and Communication Order (NWICO), an initiative of the unaligned countries within UNESCO, from the late 1960s to the early 1980s. Developing nations shared the ideas of being independent from the superpowers and went on to form the Non-Aligned Nations. The Non-Aligned Movement defined development as political struggle (Servaes & Malikhao, 2002: 7; Mefalopulos, 2008:48; Pretescu 2013).

Information and media policies were necessary to deal with communication problems. Solutions to underdevelopment required major changes in media structures that were dominated by commercial principles and foreign interests. Policies needed to promote national and public goals that could put the media in the service of the people rather than as pipelines for capitalist ideologies (Waisbord, 2001:16). The concrete manifestation of the Non-Aligned Movement was a resolution by UNESCO on culture and information also known as the MacBride report.

The main focus of the report was on freedom of information and how media and communication technologies should be used to promote a fair and balanced flow of information (Servaes & Malikhao, 2002:8; Mefalopulos, 2008:49; Pretescu 2013:59). It included a number of recommendations regarding the democratic development of the mass media and telecommunications in the developing world, as well as a number of recommendations that made it impossible to achieve the consensus necessary to make it achievable and to be implemented.

Communication still played a top-down role in social change during the dependency approach, almost similarly to the modernization approach. For instance, the penetration of mass media further perpetuated western cultures through global advertising that at the same time increased consumerism amongst undeveloped and rural population instead of creating development efforts that aim to improve local social investments (Mefalopulos, 2008:50; Tehranian 1999: 56; Servaes, 1995:42).

2.3.2 Critique against the Dependency Approach

The dependency approach is well known for challenging the dominant paradigm, to the extent that its existence seemingly revolved around its critique of modernization. Its main focus was to address modernization's approach to underdevelopment, however, the dependency approach also faced criticism in relation to how it addressed the challenges of development. Most important in the critique against the dependency approach to development is that it addressed the causes of underdevelopment, but did not provide sustainable solutions to addressing that underdevelopment (Servaes & Malikhao, 2002:9; Mefalopulos, 2008:49).

By oversimplifying the division of the world into core and periphery levels, the dependency approach inadequately explains the causes of underdevelopment nor does it successfully provide alternative models of development. Furthermore, the dependency approach failed to consider relevant internal causes contributing to the problem of underdevelopment, such as the role played by national elites within developing countries. Instead, the centres of international capitalism were exclusively blamed for underdevelopment (Worsley, 1984: 236; Waisbord, 2001:17; Servaes & Malikhao, 2002:9-11; Mefalopulos, 2008:50).

The role of communication within the dependency approach did not consider and support the wider role that "freer" traditional communication systems at different levels could play in creating spaces and actively engaging broader sectors of society in development. Despite significant differences between the modernization and dependency approaches, their communication model was basically the same: a one-way communication flow, with the main difference between the two approaches

being who was controlling and sending the message and for what purpose (Mefalopoulos, 2008:50; Servaes, 1995:42).

Neither modernisation nor dependency were able to promote development and the main part of this problem was the one-way, top-down communication used. Scholars identified a need for people to participate in their own development and therefore a new approach to communication for social change was needed.

2.4 BACKGROUND OF THE PARTICIPATORY APPROACH

The roots of the participatory approach to communication for social change can be found in the early years of the 1970s when Paulo Freire, a Brazilian educator, proposed the replacement of the “banking” pedagogical system with a more liberating type of communication. This form of communication would contain more dialogue, be more receiver-centred and conscious of social structure. Freire’s writings and experiences became an influential strand in communication for social change (Servaes, 2002:2; Huesca, 2008:180; Wilkins, Tufte & Obregon, 2014:5).

During the time, many people in the development community began to question the top-down approach of development which targeted the economic growth of countries as its main goal. The need to repair the injustices of the past theoretical approaches was great and this is how the participatory approach was developed; to the extent that even the main proponents of modernization started to re-evaluate some of its major assumptions (Yoon, 1996:47; Huesca, 2008:68; Muturi & Mwangi, 2009: 76).

The participatory approach became even more dominant in the 1980s, and in 1990s the concept was integrated fully in the development field and leading to the discourse on the ideal meaning of participation and the different participatory approaches to development. It has landed a completely different perspective to the traditional development approaches and since gained influence over the work of development communicators (Muturi & Mwangi, 2009:75).

According to Servaes and Malikhao (2002:22) people are the basis of development:

Development means lifting up the spirits of a local community to take pride in its own culture, intellect and environment. Development aims to educate and stimulate people to be active in self and communal improvements while maintaining a balanced ecology (Servaes & Malikhao, 2008:98).

There are various theoretical approaches of participation that have emerged over the years that show that the concept can be understood and adopted in a number of different ways. Amongst these are the empowerment, liberation and dialog paradigm (Mefalopulos, 2003:66).

The emergence of various theoretical approaches within the participatory approach and its wide convergence have not resulted in a unified paradigm, but rather generated a number of well-intentioned models, not always consistent with each other (Mefalopulous, 2003: 66). However, there are four widely accepted principles of the participatory approach to communication for social change that are relevant to this study, namely: dialogue, participation, cultural identity and empowerment. These four principles are discussed below.

2.5 THE PRINCIPLES OF PARTICIPATORY APPROACH WHICH ARE RELEVANT FOR COMMUNICATION BETWEEN KUMBA IRON ORE AND THE DINGLETON COMMUNITY

2.5.1 Dialogue

One of the major principles of the participatory approach to communication for social change is dialogue. Freire (1970) considers dialogue to be “an existential necessity” within the development context, as it is the only way by which people can communally transform their world and achieve a common goal without domination of one person by another. He emphasizes that dialogue requires respect between individuals as it is through the act of communication that people can relate with each other as equals (Alfonso & Tufte, 2006:45).

Freire (1970) argues that dialogue requires a moral commitment among those engaged in it, which entails collective values of love, humility, hope, faith in development partners’ capability, and critical thinking. Freire insists that dialogue that is founded upon these values creates a horizontal relationship in which mutual trust between those engaged in dialogue is built. He argues that if the parties lack love, humility and faith, the common task of learning and acting that is embedded in dialogue would be broken (Alfonso & Tufte 2006:45).

Critical thinking, as defined by Freire, perceives reality as a process of transformation and takes shape as acted upon, through dialogue. This takes place during dialogue when peoples’ lived realities and experiences are taken into consideration and they are involved in the decision-making process (Alfonso & Tufte 2006:45). Freire continues:

True dialogue cannot exist unless the dialoguers engage in critical thinking — thinking which discerns an indivisible solidarity between the world and the people and admits of no dichotomy

between them — thinking which perceives reality as process, as transformation, rather than as a static entity — thinking which does not separate itself from action, but constantly immerses itself in temporality without fear of the risks involved (1970:34).

The value of dialogue becomes two dimensional and centred on praxis: reflection and action and for Freire, these two dimensions must coexist without one being sacrificed over the other; and through dialogue, a collective reflection and action of those engaged in dialogue are addressed to the common goal that is to be achieved. The combination of reflection and action produces a fruitful dialogue to generate knowledge that can be put into practise and in turn transform reality. He further insists that the process of dialogue should allow a continuous process of learning between the participants through sharing of lived experiences and at the same time closing the distance between ‘educator’ and ‘student’ with none of the individuals involved viewing themselves as distributors of knowledge and wisdom. Additionally, he argues that dialogue should allow all people an equal voice, allow them the opportunity to define and articulate their concerns, formulate solutions, and empower them to act (Freire, 1970:30; Alfonso & Tufte, 2006:45; Servaes, 2008:183).

Although Freire is regarded by many as the “father” of dialogue, Martin Buber is regarded as the “philosopher” of dialogue after he first introduced the idea of the philosophy of dialogue in his 1923 book titled *I and Thou* (Friedman, 1955:v; Morgan, 2007:12). With these primary words “I” and “thou”, Buber asserts that dialogue means developing a particular mutuality between self and another and it is the interchange between individuals found in extraordinary moments when people experience ‘deep presence’ with one another (Rule, 2015:19; Westoby, 2016:74).

Both ‘I’ and ‘Thou’ must attend the dialogue in an equal and active reciprocity (Kose, 2017:88).

Buber was especially concerned with interpersonal dialogue and distinguished between genuine dialogue, technical dialogue and monologue disguised as dialogue (Buber, 2004; 22; Anderson & Cissna, 2012:133). Genuine dialogue takes place when each of the participants does not attempt to impose their own truth or view on the other, but instead keeps in mind the presence of other people, their authentic human existence and turns to them with the intention of establishing a living mutual relationship between them (Friedman, 1955: Anderson & Cissna, 2012:139). According to Buber, genuine dialogue requires truth and confirmation, and his idea of truth asserts that one communicates themselves to another as they are without, however, being self-centred. Consequently, confirmation asserts that when a person is confirmed in their being by another, both may be enhanced from the dialogue (Friedman, 1955; Rule, 2015:19).

Technical dialogue, on the other hand, is simply a direct response between individuals to a matter at hand. It occurs when there is a need to understand the subject that is present as the focal point of the meeting (Avnon, 1998; 138, Holba, 2008, 491; Kose, 2017:88). However, monologue is seen as a ‘distortion of dialogue’ where conversation between two or more people is pretentious and tortuous, and serves to only make oneself be heard or make a particular impression on the other person (Anderson & Cissna, 2012: 135).

Amongst the three, genuine dialogue is the most desirable form of dialogue. The overall goal of dialogue is to ensure mutual understanding and to make the best use of all possible knowledge in assessing the situation, building consensus, and looking for appropriate solutions. The use of dialogue to ensure mutual understanding and explore a situation often becomes the best tool to facilitate empowerment (Mefalopulos; 2008:57). Dialogue, then, becomes the key to development, especially for a development organization working towards a common development goal with its key stakeholders. It is essential at community level if development organizations are ready to change their practises and their relations with communities and other stakeholders (Sosale, 2008:85).

The aim of dialogue is to generate and share knowledge, taking into account the interests, needs and capacities of all concerned stakeholders in order to achieve a common development goal. It is an interactive process to engage stakeholders in exploring the situation and uncovering risks and opportunities that can benefit the development goal and make it more successful and sustainable. It is a kind of communication which requires moving from a focus on information and persuasion to facilitating exchanges between different stakeholders to address a common problem, explore possible solutions and identify the partnerships, knowledge and materials needed to support these solutions (Bessette, 2006; Mefalopulos, 2008:42; Servaes, 2008:15).

Knowledge is more than the information shared with people, but the sense that people make of information through interpretation and collective thinking. People need access to information in order to gain knowledge and the capacity to make contribution, especially on the issues that affect their life (Servaes & Malikhao; 2008: 175). According to Rahim (1994:127) it is necessary that the “developing” community take ownership of the knowledge and information provided in order to produce their own meanings and values of development, avoiding outsiders own interpretation of that information to influence their understanding. Knowledge sharing is also seen as beneficial in placing people as central to their development through their indigenous knowledge and

aspirations in development, and removing the role of expert and external knowledge in transmitting information that will transform people's behavior (Waisbord 2001:20).

In addition, dialogue can be effective as a problem-posing tool that allows participants to have a discussion and learning session among themselves in which knowledge is drawn from people's experience and insights. This can be done by raising relevant thought-provoking questions rather than merely presenting prescriptive solutions to development problems (Cadiz, 2005; Chitniz, 2005:148). Not only is dialogue useful in problem-solving, but it can also build confidence, prevent conflicts, and addresses poverty by engaging the poorest and most marginal sectors when it comes to issues of relevance to them (Mefalopulos, 2008).

According to Alfonso and Tufte (2006: xiv), dialogue is a normative approach to communication for social change. It is a practise that provides people from different backgrounds the opportunity to share ideas and information and most importantly listen to each other. Required in dialogue, is the capacity to listen and to be silent which is an essential prerequisite for successful communication with communities (Balit, 2007:107).

Dialogue only takes place where silence is respected. Listening goes beyond a simple appraisal of needs. It involves listening to what people already know, what they aspire to, what they perceive as possible and desirable and what they feel they can sustain (Balit, 2007:107).

This implies a two-way horizontal communication where all partners have equal opportunity and power in a process of communication, everyone has a chance and responsibility to listen and give feedback. Two-way horizontal communication requires interaction and participation, with the emphasis being information exchange rather than persuasion. Information is shared or exchanged between two or more individuals rather than transmitted from one to the other. All participants act on the same information; none are passive receivers of information. Therefore, the outcomes of information processing by the participants are social (mutual understanding, possible agreement and collective action) as well as individual (perceiving, interpreting, understanding and believing) and as a result, empowerment occurs (Heimann, 2002: 1; Servaes & Malikhao, 2008: 173).

Theoretical statement 1: Dialogue

For communication between the mine and the Dingleton community to be dialogical, there must be a process of two-way, horizontal communication where all partners have equal opportunity to talk, participate and listen to each other as equal voices to create mutual understanding and respect through continuous reflection.

2.5.2 Empowerment

Empowerment plays an important role in the participatory approach, since it is one of the main objectives of communication for social change. It is progress towards development that gives individuals and communities' ownership or control over their social and economic conditions. Empowerment places an emphasis on the inclusion and participation of the people or community in decision making processes so that people can control the outcomes of these decisions. Hence, in the participatory approach, empowerment can be defined as a process of change that focuses on expanding the range of choices that people can make (Servaes, 1999: 194; Melkote & Steeves, 2001: 36 – 38; Childers 1990 in Alfonso & Tufte 2006: 389).

At the core of the concept of empowerment is the idea of power, because achieving empowerment is intimately linked to addressing the redistribution of power in society and the liberation of marginalized individuals or communities. Empowerment is considered a key goal of communication for social change, through which marginalized communities can overcome forms of oppression against them by power holders who make policy and development decisions. There is therefore a reinforcement that power can be changed, shared or expanded to individuals or communities with little or no power (Melkote & Steeves, 2001: 36; White 2003 in Alfonso & Tufte 2006: 830; Chitnis, 2005:238; Nikkhah & Redzuan, 2009: 173).

An essential step towards empowerment is that the community that development is aimed at must seek self-reliance by ending dependence on the planning and guidance of developmental professionals (Servaes, 1999: 79–83). Self-reliance is simply the ability of the community to collectively think and act without the help or influence of others and decide what should and can be done in the development process. By relying heavily on developmental professionals or outside assistance, the community may relinquish control of their resources and more importantly their future (Nikkhah & Redzuan, 2009: 173; Community Empowerment Network, 2018).

Moreover, the community must take ownership of the development process to gain the empowerment they need beyond the life of the project. Ownership by the community is essential for their independence and it may come by gaining control over decision-making and resources that determine the quality of the community's situation or an individual's life (White 2003 in Alfonso & Tufte 2006: 830)

The argument for empowerment is that any form of development must engage communities in developing an understanding of their situations and becoming confident about their own abilities to change their social and economic situations. This implies that the participatory approach to

development recognizes that individuals and communities are key role players in their own development process. Hence, access to education is also positioned as the central avenue to facilitating empowerment – it's necessary for marginalized individuals and communities to acquire the knowledge and skills to empower themselves (Childers 1990 in Alfonso & Tufte 2006:389; Melkote & Steeves, 2001: 36 – 38; Khurshid, 2016: 619).

Communities may sometimes become impoverished or slow to adopt useful practices, not only due to a lack of knowledge but also because they do not have access to appropriate or sustainable opportunities to improve their lives (Melkote, 2006:117). Empowerment in the participatory approach becomes essential in ensuring that communities are active, contribute their ideas and take initiative in development projects aimed at them. This implies that the decision-making power should also lie with communities and development should be driven by the community rather than solely by development organizations. Communities must be equal partners with a significant say in decisions concerning their lives. This would give a sense of involvement in their lives and communities, and provide them with a sense of ownership and skills that they can use beyond the development projects' timeline (Waisbord, 2001:20; Cadiz 2005:150)

The empowerment process must be based on a reflection of problems, implying that communities must identify their own basic and essential needs, and aim to supply these needs with their own sustainable resources. Any assistance or knowledge shared by development agents must complement the knowledge and experiences the community already has (White 2003 in Alfonso & Tufte 2006: 833). Therefore, a requisite of the participatory approach to communication for social change is that beneficiaries or partners should be organized and be based on the integration of action by collectively acting on identified needs. People are then better able to make change happen when their decisions are made as a community or collective (Cadiz 2005:150; White 2003 in Alfonso & Tufte, 2006: 833).

In the participatory approach, the role and place of communication and information must be relevant for the empowerment of the community. People must be given the freedom to use communication most appropriate for their development or needs. Through discussions, identification of their needs and a plan of action, those concerned are able to identify specific mediums of communication appropriate for them (Melkote & Steeves, 2001:249; Wilkins 2000 in Alfonso & Tufte, 2006: 874).

Theoretical statement 2 - Empowerment

For communication between the mine and the Dingleton community to facilitate empowerment, there must be equal power sharing between the community and professionals appointed in the projects; and the community must gain self-reliance and take ownership of the programs that are intended to benefit them.

2.5.3 Community participation

Community participation is also a fundamental principle of the participatory approach to communication for social change. It requires a shift in the way individuals and developing communities are considered, from passive recipients to active agents of development efforts. This practise grew out of the realization that beneficiaries need to be involved in the development programs that are meant for them. It is a participatory centred approach that creates opportunities for people to articulate their views, identify common concerns, and seek solutions from within their own community (Bessette, 2006:81; Chitnis, 2005: 238).

Participation is stressed as a basic human right of all people to individually and collectively participate freely in developments aimed for them and is central to any decision making process (Arnstein, 1969:217; Melkote & Steeves, 2001:337). It involves a more equitable sharing of social, economic and political power, which often decreases the disadvantages the marginalized groups have to share information and gain knowledge in development projects. This implies that participation is a process of empowerment, as communities' participation can help articulate their development and assert their autonomy (Servaes & Malikhao, 2002: 180; Melkote & Steeves, 2001:337; Arnstein, 1969:216).

The community should not only actively participate in all the phases of development, including the planning, implementation and evaluation phases, but they must express themselves and be given the freedom to have their say based on their lived realities shaped by their economic, social and political experiences (Arnstein, 1969:217; Gerace & Lazaro 1973 in Alfonso & Tufte 2006:62, Waisbord 2001:20; Servaes & Malikhao 2002:181). Community participation therefore encourages a shift from focusing on informing people with a view of changing their behaviours or attitudes to facilitating horizontal communication through discussion that will allow local communities to identify their social and economic needs (Bessette, 2006:81).

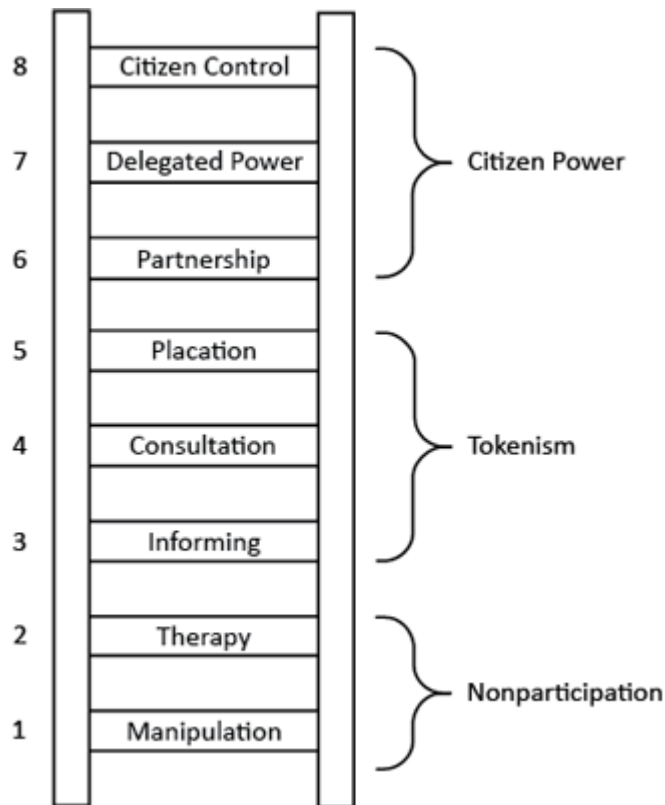


Figure 1.1 A Ladder of Citizen Participation by Arnstein, S. R (1969: 217)

Arnstein (1969: 217 - 224) in her “Ladder of Citizen Participation” (refer to above Image 1.1) explains the following eight “steps” of participation that may help in identifying and analysing community participation:

1. **Manipulation** - at the bottom of the ladder is this nonparticipation technique used by powerholders to manipulate members of marginalized communities, by placing them in committees that do not value their participation or input to development. People are placed in these committees to serve the ends of authorities governing the development projects.
2. **Therapy** – also at the bottom of the ladder is the subjection of communities to clinical group therapy by mental health experts, under the guise of involving them in planning.
3. **Informing** – a form of one-way communication in which officials provide information to communities with no channel provided for feedback and no power for negotiations. News media, pamphlets, posters are the most frequently used forms on one-way communication. Community meetings can also be deceptively used as a form of one-way communication, whereby people are provided with superficial information and questions are discouraged.

4. **Consultation** – Arnstein argues that methods used for consulting people such as attitude surveys, neighbourhood meetings and public hearings that at times restrict and limit the input communities have proven to be ineffective to participation. She insists that for consultation to succeed, it must be combined with other modes of participation.
5. **Placation** - according to Arnstein, although the community may have a degree of influence in decision making, they however can still be used as tokens. With lack of rules or guidelines on participation, practitioners or power holders may have an upper hand in decision making over the community. Arnstein argues that the degree to which the community are placated depends largely on the following two factors: “The quality of technical assistance they have in articulating their priorities; and the extent to which the community has been organized to press for those priorities” (Arnstein, 1969:220)
6. **Partnership**- at this level there is a sense of partnership between the community and the power holders with a negotiation between the two parties. Arnstein asserts that partnership can work most effectively through decision making bodies and committees in which community leaders are accountable and there is good organization and planning.
7. **Delegated Power** – at this level of participation the community has more dominant authority in decision making, with both parties showing accountability and strong willingness to dedicate all efforts towards a particular plan or program.
8. **Citizen Control** – according to Arnstein, this is an increasing demand for control by the community over plans or programs intended for them. She continues: “people are simply demanding that degree of power (or control) which guarantees that participants or residents can govern a program or an institution, be in full charge of policy and managerial aspects, and be able to negotiate the conditions under which ‘outsiders’ may change them” (Arnstein, 1969:223).

Additionally, Arnstein outlines three main stages of citizen participation which encompass the eight steps of the ladder. The three stages of citizen participation are nonparticipation, tokenism, and citizen power. Each step of the ladder represents a different level of involvement or participation by the community, and as you go up the ladder, community members are given more power in the process of decision-making. Each step is characterized by different objectives or conditions which highlight the extent of the community’s power in determining the end product. Although it is in the level of “placation” that the community begin to have some degree of

influence, it is in the level of “partnership” that participation starts happening (Arnstein, 1969; 217; Collins & Ison, 2006:2; Gershman, 2013:32).

Arnstein’s “Ladder of Citizen Participation” is effective in its ability to expose the power agendas implicit in programs aimed at benefiting communities (Collins & Ison: 2006:2 Gershman; 2013:32). In this study, Arnstein’s ladder is relevant in revealing the differences in the types of participation results that may occur or be desired by the community in the Dingleton Resettlement Project.

Theoretical statement 3 - Participation

For communication between the mine and the Dingleton community to facilitate community participation, the community must be active partners in planning, implementation, evaluation as well as in all decision making of the programs that are aimed to benefit them.

2.5.4 Cultural identity

Cultural identity is also central to the debate of communication for social change. The participatory approach is based on the notion that people share some sense of identity and promotes the respect for the knowledge, values and culture of diverse communities. Importance is placed on the development projects to lift up the spirits of a local community and encourage them to take pride in its own culture, intellect and environment (Servaes & Verschooten, 2008:45; Vasconcellos & Sobrinho, 2013:291). Furthermore, development must take into consideration that communities are not homogeneous entities but are made up of diverse groups with histories, social structures, value systems, and cultural understandings of the world. Consequently, the focus on identity and culture will result in a move from a homogenising and exclusionary top-down approach to an appreciation of holistic and complex perspectives of communication for development (Servaes & Malikhao 2002:28; Balit, 2007:108; Wilson, 2015:10).

There are many definitions of the term culture, some of which have carried controversial meanings and for a long time limited its role in development communication. This has resulted in perceiving culture as homogenous and nowhere is this more evident than in the modernization approach. Often, the term is taken to mean a broad collection of values, ideas and practices that define a particular group or community (Branden & Mayo 1999:193; Servaes, 2008:46; Marana, 2010:02). However, a more extensive definition of the term “culture” in relation to development communication for social change as adopted by UNESCO, has been found relevant for this study. It states that “Culture is that which offers the context, values, subjectivity, attitudes and skills on

which the development process must take place.” (Branden & Mayo, 1999:193). This definition reveals how closely interwoven culture and development are within development communication.

Culture is seen as the creative expression within communities to determine their own development. Incorporating cultural systems, values and traditions into community development initiatives should not only have positive impact on getting community buy-in on projects, but should also increase the likelihood of the success of projects if community members commit and take responsibility and ownership for the outcomes (Wilson, 2015: 2). The participatory approach to communication for social change calls for new attitude to overcome stereotypical thinking and to promote more understanding of diversity and plurality, with full respect for the dignity and equality of peoples living in different conditions and acting in different ways. It insists on the recognition of specific local cultures and indigenous knowledge, as opposed to a single western dominated capitalistic culture promoted in the modernization approach. Inclusion of indigenous knowledge and cultural diversity should allow donors, planners and governments to establish dialogue with communities (Chitnis 2005: 235; Dragon 2001:9).

One of the general and fully articulated concepts of development to emerge from the participatory approach is the notion of multiplicity. The importance of cultural identity of local communities and of democratisation and participation at all levels—international, national, local and individual is made clear. Multiplicity therefore insists on sensitivity to both cultural diversity and the specific context, which were were ignored in modernization theories, resulting in development that is primarily defined in cultural rather than economic or political terms (Waisbord 2001: 20; Servaes, 2005: 25; Servaes, 1999: 59–76).

The process of constructing and maintaining cultural identity involves the sharing of collective knowledge; whereby there is an exchange of information between communicating equals instead of a one-way transfer of information aimed at transforming behaviours or values. Thus, the results of effective knowledge sharing enable local communities to take control of their socio-economic situations and at the same time befits their capacities as well as their cultural values (Balit, 2007:109).

With the increasing hybridity of cultures due to globalization there comes the struggle for power. As a result people not only need to participate in their culture during development projects but also need to become the observers of their own culture, as observation will enable them to identify “oppressive discourses” (Balit, 2007:109). According to Servaes “Observers can take a critical distance from their own cultural practices. This need not imply that they have to become outsiders.

They can remain participants in their own culture, but will be more aware of what is happening around them, and more capable of determining their own path to development.” (Servaes, 2008:49). This identification will lead them to more informed participation in development efforts meant for them (Servaes, 2008: 56).

Theoretical Statement 4 – Cultural identity

For communication between the mine and the Dingleton community to support cultural identity, the project must accommodate the community’s cultural practices as well as being sensitive to and respecting the community’s histories, social structures, value systems, and cultural understanding of the world.

2.5.5 Critique of the participatory approach

Similar to the dominant paradigm and dependency approach, participatory communication has also not escaped critique. Mefalopulos (2008:58) argues that despite many benefits and reasons for the adoption of participation in development, as articulated above, participation has remained a highly praised term but a poorly adopted one. Additionally, he argues that despite the wealth of experiences and studies on participation, many development experts still fail to understand what genuine participation is (Mefalopulous, 2008:53). When looked into closely, studies presenting the pitfalls of participatory programs reveal that they are actually discussing, unknowingly, the pitfalls of applying participatory approaches in a partial and often insufficient manner.

According to Waisbord (2001:21) another problem is that participation in all stages does not have similar relevance. This means that if decisions were made outside of the community and the latter was assigned the role of implementing and evaluating results, participation is limited to instances that depend on decisions previously made. This is not true participation and, therefore, maintains power inequalities. Waisbord (2001:21) further argues that another problem with the participatory approach is that it underplays the role that the mass media could play in promoting development as participation, but instead focuses more on interpersonal relations. This issue is particularly relevant considering that populations, even in remote areas, are constantly exposed to commercial media messages that stand in opposition to the goals set by development programs.

Despite the criticism, the participatory approach is still regarded as the best way to implement a more inclusive, bottom-up practice in development and its principles are still relevant and applicable to the current study. By insisting on inclusion and participation of local communities in the development programs aimed to benefit them, the participatory approach includes a dimension

that has never been applied in previous approaches. The approach promotes active participation by communities, not only to enhance the quality of the development programs but to ensure ownership and control by the communities in their development programs. It allows development initiatives to be able to incorporate local communities as part of the development process without being dominated (Rahim, 1994:118; Cleaver, 1999:597; Mefalopulos, 2008:58). These characteristics are central to communication between the mine and the Dingleton community because the mine requires the community's buy-in and participation for the project to succeed.

2.6 CONCLUSION

The aim of this chapter has been to answer the following specific research question: *According to literature, which theoretical principles of the participatory approach are relevant to communication between Kumba Iron Ore and the Dingleton Community?* (1.4.1)

In answering this research question, the literature review has shown why the participatory approach is preferred as the theoretical foundation and normative approach in communication for social change, in contrast to modernization and dependency approaches. The study also unpacked the principles of participatory approach, namely: dialogue, empowerment, cultural identity and community participation, in order to draw the theoretical statements that help answer the research question.

The following theoretical statements were constructed to answer the specific research question:

1. For communication between the mine and the Dingleton community to be dialogical, there must be a process of two-way, horizontal communication where all partners have equal opportunity to talk, participate and listen to each other as well as equal voices and equal partnership. Communication between the mine and the community must also create mutual understanding and provide a continuous process for reflection.
2. For communication between the mine and the Dingleton community to facilitate empowerment, the community must gain self-reliance and take ownership of the programs that are intended to benefit them. There also must be equal power sharing between the community and professionals appointed in the projects.
3. For communication between the mine and the Dingleton community to facilitate community participation, the community must be active partners in planning, implementation, evaluation as well as in all decision makings of the programs that are aimed to benefit them.

4. For communication between the mine and the Dingleton community to support cultural identity, the project must accommodate the community's cultural practices as well as being sensitive and respecting the community's histories, social structures, value systems, and cultural understanding of the world.

The following chapter discusses the research approach and empirical methods the study used in order to understand the nature of communication between the mine and the Dingleton community resettlement project.

CHAPTER THREE

RESEARCH APPROACH AND METHODS

3.1 INTRODUCTION

The previous chapter answered the first specific research question through a literature study by determining which theoretical principles of the participatory approach are relevant to communication between Kumba Iron Ore and the Dingleton community in the context of the resettlement project. The main aim of this chapter is to explain how the empirical component of this study has been implemented.

This chapter starts with a discussion on the qualitative research approach to motivate why this approach was deemed relevant for the current study. Secondly, the theoretical statements formulated in chapter two will be used to identify the concepts and constructs, which will guide the empirical part of the study. Thirdly, the research methods used to answer the specific research question will be identified, following which the motivation and implementation of each research method will be discussed. The chapter will then end with a discussion of the problems the researcher experienced whilst conducting the empirical research.

3.2 QUALITATIVE RESEARCH APPROACH

Qualitative research is primarily exploratory research (Creswell, 2014:183) and is used to gain an understanding of underlying reasons, opinions and motivations. Data is gathered through participant observation and interviews and analysed for themes through descriptions made by participants during interviews or focus groups, rather than numerical or statistical inferences (Creswell, 2014:183). Creswell (2014:184) defines qualitative research as:

An approach for exploring and understanding the meaning individuals or groups ascribe to a social or human problem. The process of research involves emerging questions and procedures, data typically collected in the participant's setting, data analysis inductively building from particulars to general themes, and the researcher making interpretations of the meaning of the data. The final written report has a flexible structure. Those who engage in this form of inquiry support a way of looking at research that honours an inductive style, a focus on individual meaning, and the importance of rendering the complexity of a situation.

Qualitative research is of specific relevance to the study of people's perceptions of communication and relationships (Creswell, 2014:184), such as this one. With its exploratory nature, qualitative research created an opportunity for the study to generate insight and unpack a complex, detailed

understanding of the nature of communication in community engagement with the Kumba Iron Ore's Dingleton resettlement project.

Qualitative research provides researchers with the opportunity to understand the perspectives of participants and explore the meaning they give to phenomena by placing emphasis on the aspects of meaning, processes and context of the study (Flick, 2009:56; Creswell, 2007: 27; Mason, 2002 :48; Creswell, 2013:62). This characteristic was particularly relevant to this study as it aimed to explore the perspectives of stakeholders of the project (the community and project managers) in order to understand the scope and context of communication, especially the participants' perceptions and experiences regarding the nature of communication.

Through its exploratory techniques, the approach also allowed the researcher to focus on the meaning individuals assigned to experiences (Berg & Lune, 2012:132). Furthermore, it provided the researcher with the opportunity to collect data in a natural setting where participants experienced the phenomena under study (Creswell, 2007:25). In this natural setting, the researcher had face-to-face interaction with participants, having the opportunity to also observe their behaviour and actions within their context. This face-to-face communication allowed the researcher to be able to interpret the participants' non-verbal communication, which contributed to her understanding of their perceptions and experiences regarding the nature of communication.

One of the main strengths of qualitative research is its ability to provide complex textual descriptions of participants' perspectives. Qualitative methods allow the researcher to explore the perspectives of homogenous as well as diverse groups of people to unpack differing outlooks within (Berg & Lune, 2012:134). By getting an understanding of various stakeholders' views about the implemented communication process, it highlighted whether or not the participatory approach to communication was used and if so, the effectiveness thereof in ensuring the needed social change.

Qualitative research also has an emergent and flexible structure that allows the research design to be constructed and reconstructed as needed. This approach offered the flexibility to follow unexpected ideas during research, for example, allowing for a follow up on points or issues raised during data collection that the researcher had not initially thought of. This allowed the study design to be adjusted according to what was learnt or uncovered during the course of the study. The ability to gather multiple forms of data and to allow for flexibility, enabled the researcher to review all data and organize it into categories that cut across all data sources (see Creswell, 2007:29).

However, one of qualitative research’s major limitations is its time consuming interview process and intensive analysis. Furthermore, when conducting qualitative research, researchers may find themselves engaged in complex, time-consuming process data analysis through the task of sorting through large amounts of collected data and having to reduce it to fewer, more manageable categories (Choy, 2014:83; Creswell, 2007:30). Although this is seen by some researchers as a limitation, the magnitude of this study demanded this experience in order to truly understand the perceptions of all involved within the equally complex context of the Dingleton Resettlement project. Therefore, the qualitative approach was the most suitable research approach to the current study.

3.3 THEORETICAL STATEMENTS, CONCEPTS AND CONSTRUCTS

In chapter two theoretical statements were formulated to indicate which principles of the participatory approach are relevant for communication between Kumba Iron Ore and the Dingleton community as well as to explain what the nature of communication in the initiative should ideally be like. From the theoretical statements, concepts and constructs were identified what were used in the empirical study. These concepts and constructs were used to inform the interview schedule used during the semi-structured interviews as well as the facilitator’s guide used in the focus groups. They were also used as categories for the qualitative content analysis of the transcriptions of the focus groups and semi-structured interviews. The theoretical statements, concepts and constructs are identified in Table 3.1.

Table 3.1: Theoretical Statements, Concepts & Constructs

Theoretical Statements	Concepts	Constructs
For communication between the mine and the Dingleton community to be dialogical, there must be a process of two-way, horizontal communication where all partners have equal opportunity to talk, participate and listen to each other as equal voices to create mutual understanding and respect through continuous reflection.	Dialogue	<ol style="list-style-type: none"> 1. Two-way communication (equal opportunity to participate, equal opportunity to listen, access) 2. Horizontal communication (equal voice, equal partnership) 3. Mutual understanding and respect 4. Continuous process (reflection)
For communication between the mine and the Dingleton community to	Empowerment	<ol style="list-style-type: none"> 1. Ownership (confidence) 2. Shared power

facilitate empowerment, there must be shared power between the community and professionals appointed in the projects and the community must gain self-reliance and take ownership of the programs that are intended to benefit them.		3. Self-reliance (independence, own resources, sustainability)
For communication between the mine and the Dingleton community to be regarded as participatory, the community must be active partners in planning, implementation, evaluation as well as all decision makings of the programs that are aimed to benefit them.	Participation	<ol style="list-style-type: none"> 1. Active partners in planning 2. Active partners in implementation 3. Active partners in evaluation 4. Active partners in all decision 5. Responsibility (trust)
For communication between the mine and the Dingleton community to support cultural identity, the project must accommodate the community's cultural practices as well as being sensitive and respecting the community's histories, social structures, value systems, and cultural understanding of the world.	Cultural Identity	<ol style="list-style-type: none"> 1. Sensitivity (Knowledge) 2. Respect 3. Accommodation

The definitions of the constructs for the study are now going to be discussed below. These definitions will be used during the empirical study, especially in the analysis of data.

3.3.1 Two-way communication

In this study, two-way communication means that the mine and the Dingleton community must have equal opportunity to participate in discussions and to listen to each other and have equal access to all communication channels used in the project.

3.3.2 Horizontal communication

In this study, horizontal communication means that the community and the mine have equal access to information, an equal voice in all discussions and decisions and that they participate as equal partners in the communication process.

3.3.3 Mutual understanding and respect

Mutual understanding implies that the community and the mine share the same understanding of the situation, the issues to be addressed and the way to address them and that they understand each other's realities and roles regarding the project. Mutual respect also means that both parties are being treated with respect by the other party, whilst also showing respect to the other party from their side.

3.3.4 Continuous process (reflection)

In this study, a continuous process of communication means that the line of communication stays open and that both parties have the opportunity to, and also use the opportunity, to engage in communication at any time during the project to share their lived experiences and engage in continuous learning.

3.3.5 Ownership

In this study, ownership means that the community should take ownership of their own lives, have primary responsibilities in the project, take leadership roles and be fully involved in decision making processes within the project.

3.3.6 Shared power

In this study, shared power means that the community and the mine should both have power in the decision making process, equal responsibilities and leadership roles in the project, however, the community must have the final say in all matters that have a direct influence on them.

3.3.7 Self-reliance (independence, own resources, sustainability)

In this study, self-reliance means that the community must use their own resources in the initiative that will enable them to sustain themselves beyond the life of the project and go on with their lives independently from the mine.

3.3.8 Active partners in planning

In this study, active participation in planning means that the community must be able to take initiative and actively engage in all the activities of the planning phase of the project.

3.3.9 Active partners in implementation

In this study, active participation in implementation means that the community must be able to take initiative and actively engage in all the activities of the implementation phase of the project.

3.3.10 Active partners in evaluation

In this study, active participation in evaluation means that the community must be able to take initiative and actively engage all the activities of the evaluation phase of the project.

3.3.11 Active partners in decision-making

In this study, active participation in decision-making means that the community must be able to actively engage in all the decision making processes of the project and have the final say in decisions that has a direct influence on their lives.

3.3.12 Responsibility (trust)

In this study it is assumed that, for the community to actively participate in the project, they must share in the responsibilities of the project. This implies that the mine must entrust the Dingleton community to have specific roles and duties within the project.

3.3.13 Accommodation

In this study, accommodation of the Dingleton culture means allowing for and fitting in the community's cultural practices throughout the project.

3.3.14 Sensitivity (knowledge)

Being sensitive to the cultural identity of the Dingleton community means the project needs to keep in mind the cultural practices of the community; and be responsive to the wishes or needs of the community regarding their cultural identity and practices.

3.3.15 Respect

In this study, respect requires the project to have due regard for the Dingleton community's rights, feelings and wishes to preserve their culture and cultural practices.

3.4 RESEARCH METHODS USED IN THE QUALITATIVE APPROACH

The previous section established that qualitative research is an umbrella concept that employs a variety of research methods, strategies and interpretative techniques. Research methods involve different forms of data collection, analysis and interpretation that researchers propose for their studies. The following section focuses on the research methods and data analysis methods within qualitative research used to answer the research question of this study.

3.4.1 Research questions and Research Methods

The main aim of this study is to answer the following general research questions:

What is the nature of communication between the mine and the community in the Kumba Iron Ore's Dingleton resettlement project?

In order to answer the general research question, specific research questions were formulated in chapter 1. Table 3.2 shows which research methods were used to answer the specific research questions.

Table 3.2: Specific Research Question

Specific Research Questions	Research Method
1. According to the literature, which theoretical principles of the participatory approach are relevant to communication between Kumba Iron Ore and the Dingleton community?	Literature review
2. What are the perceptions of Kumba Iron Ore's mine representatives regarding the nature of communication between the mine and the Dingleton community in the resettlement project?	Semi-structured interviews
3. What are the perceptions of the Dingleton community regarding the nature of the communication between themselves and Kumba Iron Ore in the resettlement project?	Focus group discussions

3.4.2 Research Methods

It was identified in Table 3.2 that the research methods used for the empirical study were semi-structured interviews and focus groups discussions.

3.4.2.1 Semi Structured Interviews

Interviews are one of the most commonly recognized forms of qualitative research methods and their use as a data collection method begins with the assumption that the participants' perspectives are meaningful, knowable and affect the success of the study. A semi-structured interview method was used since the study was interested in people's perceptions, understandings and interpretations of the nature of communication between the mine and the community (see Flick, 2009: 56; Patton, 1990:118).

A semi structured interview is open-ended, allowing for a general premeditated list of questions (See Table 3.3) for the interviewer to be prepared and appear competent during the interview. It also covers a list of topics that need to be covered in a particular order. The list of questions was asked to each participant in a systematic and consistent order, whilst allowing the researcher the freedom to probe beyond the answers provided, thus allowing for the identification of themes which will be discussed in the following chapter. The themes provided clarity to the research questions posed.

The order of the interview questions were at times modified based on the interviewer's perception of what seemed most appropriate, with the facilitation thereof, to ensure that every question was answered (see Berg & Lune, 2012: 136; Flick, 2009:58). This flexibility allowed for the probing and verification of information that later proved relevant to the study (see Berg & Lune, 2012: 140; Bernard, 2011: 84; Mason, 2002: 63).

This method also allowed for two-way communication, whereby the interviewees were given the opportunity to ask questions of the researcher. It allowed the researcher to explain or clarify questions, which increased the usefulness of responses given and also allowed respondents to describe what was important to them during the communication process (Newton, 2010: 4; Patton, 2002:38).

Conducting the semi-structured interviews was often time consuming and resulted in large volumes of data, which impacted the envisioned timeline, yet the richness of the data collected made it worthwhile. Comparability was also slightly reduced with this method, as the sequencing and wording of responses were slightly different across interviews due to differing levels of education and home language used by each interviewee (see Newton, 2010: 35; Patton, 2002:40). Despite this, the depth of the data was enough to allow for detailed responses to the research questions.

3.4.2.1.1 Semi-structured interviews in the current study

The semi-structured interviews were conducted with four key role players involved in Dingleton Resettlement Project:

1. The Project Manager

The project manager has the overall responsibility for the successful initiation, planning, design and execution of the Dingleton resettlement project. It was therefore important to interview him in order to understand the communication strategies designed and implemented by Kumba Iron Ore in communicating with the Dingleton community. Most importantly, his responses contributed to understanding if and/or how the principles of participatory approach, including participation, dialogue, empowerment and cultural identity were taken into consideration during the different phases of the project. The semi-structured interview was conducted on 19 July 2018 at Kumba Iron Ore offices in Kathu. The interview took approximately three hours to complete.

2. The Community Relations Manager

The community relations manager's role in the project is mainly to liaison with the Dingleton community, including engaging with the community on any issues pertaining to them and the project. The community relations manager's participation in the study is relevant in order to understand her perception regarding the nature of communication between the mine and the Dingleton community in the resettlement project. The semi-structured interview with the community relations manager was conducted on 21 July 2018 at Kumba Iron Ore offices in Kathu and took 2 hours to complete.

3. The Sustainable Development Officer

The sustainable development officer's responsibilities in the Dingleton resettlement project have include helping the Dingleton community to identify skills, career and business opportunities especially within the project. Other responsibilities include allocating and managing the sustainable development funds and opportunities set aside by the project for the Dingleton community's small and medium businesses. The interview was important for this study in order to understand how the project has facilitated the empowerment of the community - ensuring that the community gains independence, self-reliance and take ownership of the programs that are intended to benefit them. The semi-structured interview was conducted on 20 July 2018 at the Resettlement offices in Siyathemba, Kathu and took 2 hours to complete.

4. The Community Legal Representative,

The responsibility of the community legal representative in the Dingleton resettlement project is to provide the community with legal advice and representation needed throughout the course of the project such as during their property transfer agreements. It was important to conduct this interview in order to understand her role and perception of the community's participation in the project. The semi-structured interview was conducted on 20 July 2018 at Resettlement Offices in Siyathemba, Kathu and took 2 hours to complete.

Below is the interview schedule that guided the semi-structured interviews with the above mentioned participants. Questions were formulated so to get relevant information on the constructs and follow-up questions were used where the main questions could not provide the information needed.

Table 3.3: Interview Schedule

Topic: Participation	
Questions	Constructs
Opening questions: How do you see the role of the community in the project?	
How did the community participate in the planning phase of the project? Follow up questions: How were the community involved in the planning phase of the project? What did the project do to ensure the participation of the community?	Active partners in planning
How has the community participated in the implementation phase of the project? Follow up questions: What are some of the contributions of the community during the implementation phase?	Active partners in implementation
How will the project be evaluated? Follow up question:	Active partners in evaluation

How will the community take part in the evaluation process of the project?	
How are decisions being made in the project? Follow up question: What role does the community play in key decisions made during the project?	Active partners in all decision
What role has the community played in undertaking project responsibilities?	Responsibility (trust)
Topic: Dialogue	
How is the nature of the communication between the mine and the community? Follow up questions: How do you communicate with the community regarding the project? How does the community communicate with the mine regarding the project? How is the communication between the mine and the Dingleton community? Which platforms exist to ensure dialogue between the community and the mine regarding the project?	Two-way communication (equal opportunity to participate, equal opportunity to listen, access)
What are the measures used to determine a productive dialogue between the community and the mine? Follow up questions: How important is the voice of the community in the project? How is the community's representation during dialogues with the mine? What is done to ensure that the community is given equal opportunities as the mine during dialogues?	Horizontal communication (equal voice, equal partnership)

How would you describe the relationship between the Dingleton community and the mine during dialogue?	Mutual understanding and respect
How has the project ensured that there is a continuous process of dialogue between the mine and the community?	Continuous process (reflection)
Topic: Cultural Identity	
What is your perception regarding the importance of culture in the project?	Respect
How has the project remained sensitive to the culture of Dingleton community? Follow up question: What would you say the project has learned about the Dingleton community, with regard to culture?	Sensitivity (knowledge)
How has the cultural identity of Dingleton community been accommodated in the project? Follow up question: How has the Dingleton community's culture influenced or contributed to the project?	Accommodation
Topic: Empowerment	
What has the community gained from the project? Follow up questions: How has the community taken ownership of the project? What would you say are some of the community's strengths?	Ownership (confidence)
What measures has the project taken to ensure power sharing between the mine and the community? Follow up question: What power / control does the community have in the project, and how is exercised?	Shared power

<p>What is done to ensure the community is self-reliant beyond the life of the project?</p> <p>Follow up questions:</p> <p>How do you think the community will sustain itself beyond the life of the project?</p> <p>How has the project improved the lives of the community?</p> <p>What resources has the community contributed to the project?</p>	<p>Self-reliance (independence, own resources, sustainability)</p>
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The semi-structured interviews were transcribed after being conducted. Following which, a qualitative content analysis was used to analyse the transcriptions using the concepts and construct as categories for the content analysis. The process of qualitative content analysis followed in this study will be discussed in section 3.4.2.

3.4.1.2 Focus Groups

Focus groups can broadly be described as an interview style designed for small groups and particularly effective in supplying information about how people think, feel, or act regarding a specific topic (Berg & Lune, 2012: 140; Freitas et al., 1998:85). This is a group discussion where the researcher asks questions or proposes topics and the group discuss this with each other – it is not a question and answer session.

A typical focus group session consists of a small number of participants under the guidance of a facilitator, also referred to as a moderator. The number of participants is determined by the researcher, and Krueger (1994 in Berg & Lune, 2012:145) advises that for complex topics of interest, a focus group size should be kept to no more than seven participants. For this study, the researcher was the moderator and stimulated discussions through a series of open-ended questions. The researcher also ensured an informal group discussion atmosphere to encourage participants to speak freely and completely about behaviours, attitudes and opinions that they possessed in relation to how Kumba Iron Ore communicated with their community (see Berg & Lune, 2012: 142). This was to gauge their perceptions of the nature of Kumba Iron Ore’s communication strategy, in relation to how Kumba Iron Ore views its own effectiveness.

This method allowed the researcher to probe issues in an in-depth manner and address new issues as they arose, in order to seek clarification on participants’ responses. The researcher was also able to observe the expressions and attitudes of the participants as well as the intensity of the discussion,

which were also included in the research findings. There were a few instances where the focus groups were influenced by one or two dominant people in the session, yet due to the researcher's experience and intent of the study this did not greatly influence the results generated. Just as with the semi-structured interviews of Kumba Iron Ore employees, comparability was slightly reduced with this method, as the sequencing and wording of responses were slightly different across the various focus groups due to levels of education and home language used by each participant (Newton, 2010:37; Patton, 2002:38).

3.4.1.2.2 Focus Group Discussions in this Study

Five focus groups were conducted with various Dingleton community representative groups:

1. The Resettlement Working Group (RWG)

The RWG is a committee comprised of representatives from various stakeholder groups identified in the Dingleton resettlement project with the majority of the representatives being the Dingleton community members representing the renters and homeowners. The RWG was interviewed for this study in order to understand their level of participation in making key decisions as the community representatives in the project, as well as their perceptions of the overall project. There were seven members of the RWG who participated in the focus group discussion that was held on 18 July 2017 at the Dingleton Multi-purpose Centre in Siyathemba, Kathu.

2. The Youth

This group of participants comprised the community's outspoken young women and men, who are also active members of various national political parties. This youth group is referred to, by many, as the "community fighters" and is notorious for its public demonstration against the mine and the local government's services or lack thereof. Their concerns in the past have included unemployment, alleged empty promises by the mine and lack of business opportunities for the youth. The youth's inclusion in this study was aimed at understanding their outlook on the communication in the project. The focus group was held on 18 July 2017 at Dingleton Multi-purpose Centre in Siyathemba, Kathu and comprised of 10 participants.

3. The Refusers Group

This is a group made up of homeowners who are allegedly still in negotiation with Kumba and have remained behind in Dingleton due to refusing to sign their transfer agreement. The group's inclusion in this study was aimed at understanding their role and perceptions of the project. The

focus group was made up of three participants and was held on 19 July 2017 at Dingleton Police Station in Dingleton.

4. The Elderly/retired Community

This group of community members was made up of elderly homeowners and renters, most of whom receive meals daily at The Soup Kitchen funded by Kumba. The group’s inclusion in this study was aimed at understanding their views about on communication between the community and the mine, in particular, issues of cultural identity as the elders of the community. A total of eight elderly community members participated in the focus group discussions that took place on 18 July 2017 at the Dingleton Multi-purpose Centre in Siyathemba, Kathu.

5. Old Caravan Park (OCP) Renters

The OCP renters were the first group of Dingleton North renters and backyard dwellers that were temporarily resettled to refabricated housing in Old Caravan Park, while the project works on the “Long-Term Renters’ Strategy”. Their involvement in this study was aimed at understanding the perception of renters about the nature of communication between them and the mine during the resettlement project. A total of five OCP renters participated in the focus group discussions that took place on 19 July 2017 at Old Caravan Park.

The following table presents the questions asked during the focus groups.

Table 3.4 Moderator’s Guide

Topic: Participation	
Questions	Constructs
Opening question: What is the role of the community in the project?	
How did the community participate in the planning phase of the project? Follow up questions: How were the community involved in the planning phase of the project? What did the project do to ensure the participation of the community?	Active partners in planning

<p>How has the community participated in the implementation phase of the project?</p> <p>Follow up questions:</p> <p>What are some of the contributions of the community during the implementation phase?</p>	Active partners in implementation
<p>How will the project be evaluated?</p> <p>Follow up question:</p> <p>How will the community take part in the evaluation process of the project?</p>	Active partners in evaluation
<p>How are decisions being made in the project?</p> <p>Follow up question:</p> <p>What role does the community play in key decisions made during the project?</p>	Active partners in all decision
<p>What role has the community played in undertaking project responsibilities?</p>	Responsibility (trust)
Topic: Dialogue	
<p>How is the nature of communication between the mine and the community?</p> <p>Follow up questions:</p> <p>How does the mine communicate with you regarding the project?</p> <p>How do you communicate with the mine regarding the project?</p> <p>Which platforms exist to ensure dialogue between the community and the mine regarding the project?</p>	Two-way communication (equal opportunity to participate, equal opportunity to listen, access)
<p>What are measures used to determine a productive dialogue between the community and the mine?</p> <p>Follow up questions:</p> <p>How is the community's representation during dialogues with the mine?</p> <p>What is done to ensure that the community is given equal opportunities as the mine during dialogues?</p>	Horizontal communication (equal voice, equal partnership)

How much of a “say” do you think the community have in the project?	
How would you describe the relationship between the Dingleton community and the mine during dialogue?	Mutual understanding and respect
How has the project ensured that there is a continuous process of dialogue between the mine and the community?	Continuous process (reflection)
Topic: Cultural Identity	
What is your perception regarding the importance of culture in the project?	Respect
How has the project remained sensitive to the culture of the Dingleton community? Follow up question: What would you say the project has learned about the Dingleton community with regard to culture?	Sensitivity (knowledge)
How has the cultural identity of Dingleton community been accommodated in the project? Follow up questions: How has the Dingleton community’s culture influenced or contributed to the project?	Accommodation
Topic: Empowerment	
What did the community gain from this project? Follow up questions: What did you learn during the project? What would you say are some of the community’s strengths?	Ownership (confidence);

What measures has the project taken to ensure power sharing between the mine and the community?	Shared power
<p>What is the mine doing to ensure the community is self-reliant beyond the life of the project?</p> <p>Follow up questions:</p> <p>How do you think the community will sustain itself beyond the life of the project?</p> <p>How has the project improved the lives of the community?</p> <p>What resources has the community contributed to the project?</p>	Self-reliance (independence, own resources, sustainability)

The focus group discussions were transcribed after being conducted. In addition, a qualitative content analysis was used to analyse the transcriptions of the focus group discussions while using the concepts and construct as categories for the content analysis.

3.4.2 Qualitative content analysis

Qualitative content analysis was used in this study to analyse the transcription from the semi-structured interviews and the focus group discussions, in order to determine the perceptions of the different stakeholders regarding the nature of communication in the project. Hsieh and Shannon (2005:1279) define qualitative content analysis as a research method for the subjective interpretation of the content of text data, through the systematic classification process of coding and identifying themes or patterns. This method analyses data that is in verbal, print or electronic form and is obtained from narrative responses, open-ended survey questions, interviews, focus groups, observations, or print media such as articles, books, or manuals.

According to Hsieh and Shannon (2005:1280), qualitative content analysis focuses on examining underlying themes and classifying large amounts of text into an efficient number of categories that represent similar meanings. This process can use either inductive or deductive reasoning as well as the researcher's careful examination. Constant comparison of the data is important in identifying themes and categories that emerge from the data (Zhang & Wildemuth, 2009: 1 - 12). Importance is placed on the characteristics of language as communication, paying attention to the content or contextual meaning of the text instead of just counting the words.

Furthermore, Hsieh and Shannon (2005:1278) identify the following three approaches to qualitative content analysis: conventional content analysis, direct content analysis and summative content analysis. Conventional content analysis is when existing theory or research literature on a phenomenon is limited, whereas, direct content analysis aims to validate or conceptually extend an existing theoretical framework. In this approach, the initial coding starts with a theory or relevant research findings and then during data analysis, the researcher immerses themselves in the data, allowing themes to emerge (Hashemnezhad, 2015). Lastly, summative content analysis is the interpretation of underlying meaning in words or content to explore the use and application of certain theories (Hsieh & Shannon, 2005:1282).

Direct content analysis was used to analyse data collected in this study, as there are already existing theories with regards to development communication. Thus, the existing theory on communication for social change can be supported and extended to provide a clearer understanding of appropriateness of communication utilised during large scale resettlement projects.

3.4.2.1 Steps in Qualitative Content Analysis

Zhang and Wildemuth, (2009:3) divide qualitative content analysis into the following series of analytical process, which was used in the study:

1. Data preparation

Data collected from the interviews, focus groups and participant observation was transformed into written text before analysis could start, as all data must be in written form.

2. Defining the unit of analysis

The unit of analysis used in this study was basic unit of text which was classified during content search. It involved unitising messages before they could be coded; this helped in coding decisions as well as comparability of outcomes.

3. Developing categories and a coding scheme

Data, previously related studies and theories were the three main sources from which categories and coding schemes were derived. As it is the case in this study, in which there are existing theories on which to base the analysis, an initial list of coding categories was generated and new categories that emerged inductively could help modify the theories. The constructs identified in Table 3.1 were used as categories.

4. Coding the overall data

This is the stage where the main analysis of data occurred after the testing of the categories had taken place. According to Weber (1990:45), the basic coding process in content analysis is to organize large quantities of text into much fewer content categories. For this study open coding and axial coding were mainly used and transcripts of each interview and focus group discussions were read carefully several times. Parts of the transcripts that seemed important were labeled, which included opinions that seemed to be repeated by participants and related to certain theoretical constructs of the study. Once the interpreter decided which codes were important, categories were created by bringing several codes together. Those categories were then labeled in relation to the theoretical constructs, before the results were drawn out.

5. Assessing coding for consistency

Once the coding had taken place, an evaluation for consistency was conducted in order to identify any possible loose ends and to rectify them. This stage was important in ensuring the validity and reliability of the data collected.

6. Drawing conclusions from the coded data

This step included making sense of the themes or categories identified, making inferences, drawing conclusions and presenting the findings of the research in order to assess whether or not the research question was answered and to what degree this was done.

Through careful data preparation, coding and interpretation, the results of qualitative content analysis provide clear descriptions of the phenomena under study, in this case the nature of communication between Kumba Iron Ore and the Dingleton community.

3.4.4 Reliability and Validity

According to Creswell (2014: 85), in qualitative research, validation of findings occurs throughout the research process and validity means that the researcher applies certain procedures to check for the accuracy of the findings. For instance, the researcher can test the coding scheme using a sample of data to check for the validity of the categories chosen during the content analysis.

Creswell (2014:90) proposes various strategies to check the validity of research findings. The following was applied in this study:

Triangulation

Data collected from the different sources was examined for evidence in order to build a coherent justification for themes identified. Themes were established based on converging several sources of data or perspectives from participants, then this process was claimed as adding to the validity of the study.

Researcher bias

Bias that the researcher brought to the study was clarified, due to the researcher having worked as a consultant on the resettlement project. This took the form of self-reflection and created an open and honest narrative that will resonate well with readers.

Transcript checks

All transcripts were checked, after transcription, against audio recordings and notes, to make sure that they did not contain obvious mistakes made during transcription.

Code verification

The researcher ensured that there is no drift in the definition of codes, or a shift in the meaning of the codes during the process of coding. This was achieved by constantly comparing data with the codes and by writing memos about the codes and their definitions.

Reliability proves the consistency of the researcher's approach when utilised by other researchers in similar studies. (Creswell, 2014: 89; Hsieh and Shannon 2005:1282). To check the reliability of the research methods applied in this study, a pilot or member-checking procedures were employed to seek objective opinion as to how interview questions could be made easier to understand and how leading and bias questions could be avoided.

3.4.5 Challenges Experienced

The following challenges were experienced during the study:

3.4.5.1 Semi-Structured Interviews

The initial idea was to include the communication consultant in the list of interviews for the study. The communication consultant had been appointed by Kumba Iron Ore to oversee the overall communication strategies of the Dingleton resettlement project since the pre-feasibility of the project. However, due to the communication consultant's contract having ended during the implementation phase, he could not avail himself for the interview. In turn, the project manager

proved suitable to answer all the questions regarding the communication strategies that had been applied in the project.

3.4.5.2 Focus Group Discussions

Some members of the focus group discussions were more outspoken than others and seemed to be taking over discussions in their group, while some members steered away from the topic from time to time to discuss their own personal issues. Whenever this happened, the moderator stepped in to direct the topic and ensure that other members were given the opportunity to engage in the discussions. In the end, the facilitator got all the participants to engage in the discussions, therefore this challenge did not have a negative effect on the data that was collected.

3.5 CONCLUSION

This chapter described the research approach and methods for achieving the research objectives of the study. In order to understand the nature of communication between the Dingleton Community and Kumba mine, a qualitative approach was used in this study. Semi-structured interviews and focus groups were selected as data gathering methods and qualitative content analysis was used to analyse the findings of the empirical study. These methods were discussed in this chapter and the concepts and constructs were identified in order to give a clear framework as to how they guided empirical part of the study. The next chapter discusses the findings of the empirical study.

CHAPTER FOUR

EMPIRICAL FINDINGS

4.1 INTRODUCTION

The previous chapter explained the empirical research methods that were used within the context of a qualitative research approach to determine the nature of communication between the mine and the Dingleton community in Kumba Iron Ore's Dingleton resettlement project.

This chapter presents the analysis of the findings derived from the empirical study to answer specific research questions. The following specific research questions were answered in this chapter:

What are the perceptions of Kumba Iron Ore's mine representative regarding the nature of communication between the mine and the Dingleton community in the resettlement project? (1.4.2)

To answer the research questions, semi-structured interviews were conducted with the Dingleton project management team including the project manager, the community legal representative, the community relations manager and the sustainable development officer.

What are the perceptions of the Dingleton community regarding the nature of the communication between themselves and Kumba Iron Ore in the resettlement project? (1.4.3). To answer this question, focus group discussions were conducted with four community member groups: the youth, the Old Caravan Park (OCP) Renters, the refusers and the Resettlement Working Group (RWG).

4.1 ANALYSIS AND DISCUSSION OF THE RESULTS

The results of the empirical study will be discussed using the theoretical concepts identified in chapter two, namely: community participation, dialogue, cultural identity and empowerment. The results are not discussed in chronological order of the theoretical statements identified in Chapter Two (2.5). The results are rather discussed starting with 'Theoretical Statement 3: Community Participation' due to the enormous background information the findings of this section holds regarding the nature of communication between the mine and the Dingleton Community.

With every concept, a theoretical statement formulated from the literature review will be stated, the constructs that make up the concept will be identified and then the operational definitions of every construct will be used as a point of departure. The discussions will then integrate results

from all the participants regarding every concept and construct before conclusions are made, based on the theory.

4.2.1 Theoretical Statement 3: Community Participation

During the literature review, the following theoretical statement on community participation was formulated:

For communication between the mine and the Dingleton community to facilitate community participation, the community must be active partners in planning, implementation, evaluation as well as in all decision makings of the programs that are aimed to benefit them (2.5.3).

From this theoretical statement the following constructs were identified: active participants in planning, active participants in implementation phase, active participants in evaluation phase, active participants in decision making and responsibility (Table 3.1). The next section discusses the findings of the constructs.

4.2.1.1 Active Partners in Planning

In this study, active partners in planning means that the community must be able to take initiative and actively engage in all the activities of the planning phase of the project (3.3.8). The focus group discussion with the community members revealed diverse perceptions regarding their participation in the planning phase of the project. Represented by both elderly homeowners and renters in the focus group, the elderly community group differed in perceptions. On the one hand, the elderly renters indicated that they were not engaged actively in the planning phase of the project but the mine had instead engaged the Gamagara municipality – the local municipality - on the discussions and plans to resettle the renters. One of the Dingleton North elderly renters made the following comment:

As White City people, we were not involved because we are renters. The homeowners were consulted. They had the opportunity to say how they feel about being resettled. Kumba [the mine] decided on the move.

On the other hand, the elderly homeowners indicated that their participation in the planning phase not only enabled them to choose where they wanted to be relocated, but they could also participate in community meetings and hold consultation meetings with the project manager and consultants to discuss their houses and stands.

The youth's responses reflected the conflicting views mentioned above. They indicated that the consultation process during the planning phase of the project was not carried out in the way that

allowed the whole community to participate. They believe that the project's approach to the community sowed division between homeowners and renters by favouring the homeowners due to their title deed ownership. One of the youth leaders stated:

Anyone who can think sober knows that the study was to come check within the community who amongst the elders or the community can lead the project, that is why it was straightforward and directly to the homeowners. That study brought a split between the communities, with regard to the planning.

The refusers believed that the community was not given an opportunity to actively participate in the planning of the project, as the mine had already set out the plan with its consultants in the resettlement action plan and made decisions on how the whole project will roll out. A respondent from the refusers confirmed this by saying: "Kumba came with his own consultants and the idea of how the resettlement will happen. I personally didn't participate in any."

Views from the OCP renters were also in line with the perspectives of the other two focus group respondents. They argued that the planning phase of the project only targeted the homeowners and influential people in the community and believed that the project did not take into consideration the renters, the backyard dwellers and the children of homeowners during the planning phase. Furthermore, according to them, only the targeted people were engaged in discussions about the project, while the vulnerable groups were sidelined. They indicated that once the mine finally remembered to include the renters and backyard dwellers in their plans, they had already decided on the project and then persuaded the renters and backyard dwellers through empty promises to temporarily move to Old Caravan Park.

In contrast with the perceptions of the community members discussed above, the community legal representative, the project manager and the RWG were of the view that the whole community participated in the planning phase of the project by taking part in household surveys, attending community meetings and engaging actively in the consultation meetings about the payment of properties, stand sizes and replacement values. The project manager explained that the six years of the planning phase – comprised of the pre-feasibility and feasibility phases – was mainly dedicated to engaging with the key stakeholders of the project, particularly the Dingleton community. Furthermore, the project manager explained that:

We also established the resettlement office in Dingleton, that's been there permanently and opened Monday to Friday – a facility where everyone could go ask questions and get information.

From the Sustainable Development (SD) side, The SD officer indicated that although their office was opened at a later stage towards the implementation phase, the project managed to set up initiatives aimed at engaging various community groups in the planning phase of the project. Respectively, the youth and small, medium and micro enterprises (SMME) groups were developed. According to her, the purpose of the youth group was to engage the Dingleton youth in career development skills and training. She indicated that the meetings with the youth groups were held every two months and allowed the youth to actively engage on various topics in which they could identify their development needs career. According to the SD officer, SMMEs established their own working committee called SMMEs Working Group (SWG) in which the elected representatives from various local businesses, including the cleaning and construction sectors. She further indicated that the SWG held monthly meetings and the businesses were engaged in business development workshops and trainings that aimed to help them identify opportunities within and outside the project.

The community relations manager also believes the community participated in the planning phase of the project by choosing where they wanted to be resettled as well as electing the RWG to represent them in the decision making processes. She further indicated that:

All community members were informed, and all of them had to sign agreements – documents – that say they were happy with the resettlement to go ahead. And they also had elected community representatives who could negotiate on their behalf, should there be anything they didn't understand or didn't agree with. Where they wanted more information, there was an office that was set up. So they had all the resources available to them to use.

From the above discussions, it is evident that the majority of the community members, other than the homeowners, thought that the whole community was not actively involved in the planning phase, while all the mine's representatives thought that the community members were in fact actively involved in this phase.

Conclusion on Active Partners in Planning

The theory stated that the community had to take initiative and actively engage in all the activities of the planning phase. However, findings revealed that the Dingleton community did not take initiative in the planning phase of the project, although some of the community members such as the homeowners and the RWG actively engaged in some of the activities initiated by Kumba.

Also revealed in the study is that activities such as the community meetings, scheduled one-on-one consultation meetings, participation in the household surveys and election of the RWG

representatives were initiated by Kumba and regarded by mine representatives as active participation by the community during the planning phase of the project. To some level the SD approach facilitated more actively engaging participation through programs that allowed the youth and business groups to share and gain access to the benefits of social and economic development. It is, however, not evident through the findings that the community had been given the opportunity to determine how they want to participate in the overall implementation phase and at what level.

Revisiting the literature review on community participation, Arnstein - in her ladder of citizen participation - emphasizes that participation begins at the level of partnership in the ladder. Hence, one can argue that, due to lack of coordinated planning between the community and Kumba during this phase, the community's involvement in the planning phase did not reach partnership level. Instead the relationship between the community and the mine during the planning phase of the project proves to have followed a consultation process, where not all community members were included in consultation.

4.2.1.2 Active Partners in the Implementation Phase

In this study, active partners in the implementation phase of the project means that the community must be able to take initiative and actively engage in all the activities of the implementation phase of the project (3.3.9).

From the focus groups it became apparent that the community's overall perception is that information about the implementation phase was not shared with the whole community, especially after the community meetings stopped taking place. The community members claimed that information such as the moving schedule and documents such as the social labour plan and the Memorandum of Understanding (MOU) the community had requested had not been made available to the community during the implementation phase.

The youth and the refusers further stated that the implementation phase was "an ambush strategy" by Kumba. According to them, Kumba forced the move on the community and went to the extent of closing shops, water and electricity so people had no choice but to move out. A response from one of the refusers was as follows:

As I said, Kumba had already decided to move Dingleton North first because they are closer to the mine. Whether the community had decided no, let's move the Dingleton Town first, Kumba wouldn't have agreed because they already knew they wanted to move those closest to the mine first. The community did not have any say.

The OCP renters expressed that they could not participate in the implementation phase because they had not yet been moved permanently, as they still remain at the Old Caravan Park. They indicated that they had not been informed of when and where they would be moving, just as they and their parents were not informed about the move to Kathu when it happened.

Different from the majority of the community's perspective of the implementation phase, elderly homeowners admitted to having involvement in the implementation phase of the project. One of the homeowners was quoted as saying:

Things were already done and planned during the planning phases, plans were drawn up and people agreed on the plans. So when that was done, we were taken down to the houses so see how they were built. Unfortunately, there were misunderstandings of construction of the houses, there are some rectifying still being done with those homeowners that are not happy.

Contrary to the majority of the views of the community representatives, the project manager and the RWG held similar views that the community participated in the implementation phase. The project manager stated that community meetings stopped taking place for a year and half during the implementation phase. He explained the reasons as follows:

I would say a year and half there was no regular community meetings. We carried on with the RWG meetings and the other forums, I would still see people but the big community meetings were not being held. Remember we used to hold community meetings every month, but that was not being done because of the MOU not being signed. It was basically two issues – it was mostly the issue around additional compensation which was dealt on a high level which I couldn't answer. And the renters' problem – the long term renters issue. That was the main issues that were dealt with in the MOU. The financial compensation is not being active because you know about 'the refusers', there is now a legal sort of, let's call it a facilitated negotiation that is taking place and that's where all the financials will also be discussed. So I couldn't give feedback to the community about that because I didn't have information. It's not that we didn't want to talk to them anymore but remember later on when they stole the electrical cables and it becomes dark. So we couldn't carry on with the meetings with it getting dark.

Similar to the project manager, the RWG also insisted that there was no breakdown of communication even though the community meetings stopped taking place. They indicated that the reason the community meetings stopped is that the project could not give the community answers about certain issues, particularly the issue of additional compensation and the long term renter's strategy. According to them, a committee made up of the RWG, Kumba and the Northern Cape government were sitting in to address the issues mentioned above.

The SD officer indicated that the initiatives with the youth group and SMMEs continued into the implementation phase. According to her, several SMMEs received business opportunities from the project and continued to receive entrepreneurial support from the SD office until they could run the business on their own.

The discussions above revealed that the majority of the community members, other than the RWG and the homeowners, thought that the whole community did not actively participate in the implementation phase of the project, while the mine's representatives held the belief that the community members were in fact actively involved in this phase.

Conclusion on Active Partners in the Implementation Phase

To be active partners in the implementation phase of the project, the community must be able to take initiative and actively engage in all the activities of the implementation phase of the project. However, the findings revealed that the majority of the community did not participate in the implementation phase. It is evident from the focus group discussions that the community members feel the project failed to provide them with the necessary information about the implementation phase, and as a result, disallowed the community the opportunity to participate in this phase. Furthermore, it seems as if the discontinuation of community meetings during the implementation phase contributed to this lack of participation. The findings also showed that the community did not take initiative during the implementation phase and Kumba was solely responsible for the implementation of the project.

4.2.1.3 Active Partners in Evaluation Phase

In this study, active partners in the evaluation phase of the project means that the community must be able to take initiative and actively engage in all the activities of the evaluation phase of the project (3.3.10).

When asked how they thought they will take part in the evaluation phase of the project, the youth expressed their intentions to reject everything to do with the project; reason being that Kumba has failed to fully engage the community in the project and failed to fulfill its promises since the beginning of the project. A respondent from the youth's focus group indicated that:

We hear they are appointing people for post-resettlement working group. They are the ones that are supposed to come and conclude the project but nothing has been done yet. At the moment, everything is on hold. There was supposed to be something that started on the 15th of July but now that our eyes are open, we are not going to allow anything. We are going to reject anything from Kumba.

In line with the youth's perspectives, the OCP renters were of the view that the community would not want to participate in the evaluation phase because the majority of the people are not satisfied with the way the resettlement had been carried out by Kumba. They were also unsure whether they would be engaged in the evaluation phase, given that they are still in Old Caravan Park where they remain with no access whatsoever to information about the project.

Both the elderly community and the community legal representative also expressed their uncertainty about how the community will participate in the evaluation phase of the project since the elections of the post-resettlement committee had delayed due to deliberations and constant protests by some of the members of the community. The community legal representative had this to say about the evaluation phase:

I am not sure, but seeing the plans they are making for the post-resettlement committee elections, apparently the plan was to have only nine community representatives but now they have increased it to 17 community electives. So I think once all Kumba consultants have left the project, the elected community members will definitely have more impact. The community will then be leading the project more. That's how I understand it.

The RWG and the refusers stated that the idea of a post-resettlement phase was actually spearheaded by the RWG in order to ensure that the community is sustainable beyond the life of the project. It was indicated by the RWG that they intend to ensure full participation of the community in all programs that will take place during this phase, and this will start by ensuring an even larger representation of the community in the post-resettlement RWG. One RWG member was quoted as saying:

The idea is to give people a livelihood, hence the post-relocation phase was introduced. So the aim is to look into that. Everybody should be involved and work together and participate.

Similar to the RWG and the refusers, the project manager and the community relations manager seemed to share the same view that the community will participate in the evaluation phase of the project. They indicated that there is a livelihoods monitoring program in place, aimed at engaging the community in this phase. The project manager stated that:

There is a questionnaire and first of all we are targeting random households including institutional houses, municipal houses and all houses. Then fieldworkers go to these selected houses, they go with questionnaire and fill it in. Then we get a report from that on whether they are better off or worse off or whatever the case may be about a certain topic which we have agreed upon upfront with the community. So we had a meeting with the RWG members and said okay we want to measure 6 topics like for instance education. As an example is education better now since you

moved. We are monitoring it on a 6 months basis – so every 6 months we'll do a survey at random houses and get the reports. So you can clearly see how they move - is it getting better or is it getting worse. Then the mine needs to act on those kinds of things.

According to the SD Officer, the handover process from consultants to Kumba's public affairs department has delayed the post-resettlement process. As a result, this has left the community feeling uncertain about the business opportunities they received from the project, due to the communication breakdown. She had this to say about the evaluation phase:

They (the public affairs department) feel that they need more time, but the other problem is limited resources within the public affairs. So what I find with the community themselves saying is that they feel that there's no communication with them at the moment. But I am talking from SD point, so I am here one week a month, the other weeks I am not here. So some individuals we are communicating with previously, they are used to things but with the new ones they are still not sure how things are going. They do go there but they don't feel that they are getting the assistance that they need.

From the discussions above, it is evident that the majority of the community members as well as some of the mine's representatives are uncertain of how the community is going to participate in the evaluation phase of the project, mainly due to lack of information. Meanwhile, there is a clear difference in how the RWG and refusers view the role of the community in the evaluation phase and the plan by the project manager and community relations manager to engage the community. It is also evident that the mine representatives' knowledge of the plan to engage the community in the evaluation phase is not cohesive.

Conclusion on Active Partners in Evaluation Phase

The theory stated that the community must be able to take initiative and actively engage in all the activities of the evaluation phase of the project. The findings revealed that the evaluation phase had not taken place during the time of this study. However, Kumba and the RWG community representatives were engaged in discussions about the evaluation phase without the whole community's contribution of initiatives and active participation. Although the RWG and the refusers indicate that the idea of the post-resettlement was initiated by the RWG on behalf of the community, it is uncertain whether the overall community is aware of the initiative and whether Kumba has included this initiative in the evaluation phase plans.

4.2.1.4 Active Partners in decision-making

In this study, active partners in decision-making means that the community must be able to actively engage in all the decision-making processes of the project (3.3.11).

According to the community members, the decisions regarding the project were made by Kumba's senior management at head office which then sent the mine representatives and consultants to disseminate information to the community on whatever decision Kumba had taken. The majority of the community also indicated that at first, during the planning phase, the mine representatives held regular meetings with the community just to get its buy in on the project but as soon as the majority of the homeowners signed the exchange agreement on their houses, the community meetings minimized. The community further indicated that the RWG hardly gave feedback from the RWG committee meetings held with Kumba on the requests and decisions lodged by the community, but instead made decisions on behalf of the community without any engagement.

One of the youth respondents had the following to say about the RWG's role in decision-making:

The community only chose RWG just to say that they are people there representing the community. The RWG made decisions on behalf of the community until today they want the community to listen to them. They are getting salaries and are not doing their job, they are sitting in their houses when people are having problems. Our houses are falling apart, and people didn't get their money.

The renters in particular felt that they did not feel included in any decision-making processes throughout the life of the project, especially in the long-term renters' strategy – a plan that concerns them.

One of the OCP renters made the following comment:

I would say for instance for us backyard dwellers or renters, all of us neh, when we go to meetings we were never mentioned in the meetings but all about homeowners. That's why we renters don't feel that we were involved in the resettlement by Kumba. Every meeting that they had from day one was for homeowners and not renters. We were like an afterthought. They even yelled at meetings 'This is not a meeting for renters, it's for homeowners!'

According to the project manager and the RWG, in terms of the decision making process, the RWG held monthly meetings in order to discuss arising matters and negotiate ideas. However, where decisions could not be reached, the unresolved issues were then taken to Kumba steering committee and the Northern Cape steering committee where final decisions were made and approved. The project manager admitted to not always having engaged the community in decision

making and acknowledged that it often backfired on the project team because it caused conflict between Kumba and the community.

The project manager explained the process as follows:

All the negotiations took place, and if there was something I couldn't make a decision on, I took that request to the Kumba steer-com and then I either get the approval or rejection of that request from the committee, and then I take it back to the RWG on what our executives were saying and then if they say no they are still not happy. Then we also had a joint Kumba and Northern Cape government steering committee meetings, were these big issues we couldn't resolve only from Kumba side, we take them to that forum where they were discussed and decisions made in terms of what Kumba, the Northern Cape government, the municipality and RWG jointly make a decision on.

Contrary to the project manager, one of the RWG members made the following statement:

The RWG was elected to represent the community. The RWG had meetings on a monthly-basis where these things were discussed with the community. The RWG were the mouthpiece of the community, so decisions were not per say taken there or rather I could say it was taken to a certain extend. But the RWG was merely a recommendation body, but didn't have binding powers. The community played a pivotal role in some decisions. Say for instance, in the move remember there were three options – it was Besthood, next to the mall and the phase 4 area. So the community decided they wanted to go to where they are now – at phase 4. So yes the community in some instances decided on the way forward, but most of the time Kumba made decisions.

From the above discussion, it is clear that the majority of the community members, other than the RWG, thought that the whole community did not actively participate in the decision-making process of the project. Even though some of the mine representatives acknowledged that the community was not engaged in all the decision-making processes. They all however, thought that the community members were in fact actively involved in the negotiations that lead to the key decisions in the project.

Conclusion on active partners in decision making

The theory stated that the community must be able to actively engage in all the decision-making processes of the project. However, the findings revealed that Kumba has had an authoritative upper hand in decision making and used a top-down approach in which decisions were mostly made by Kumba executives and passed on through the project team to the community. There is also evidence that the project was only listening to the community's views during the community

meetings, and yet not involving them in the decision making. This is a method of participation that Theron (2005:115) calls participation by consultation and according to the theory, consultation alone does not constitute participation in decision-making.

4.2.1.5 Responsibility

In this study it is assumed that, for the community to actively participate in the project, they must share in the responsibilities of the project. This implies that the mine must entrust the Dingleton community to have specific roles and duties within the project (3.3.12).

According to the mine representatives and the RWG, the community's responsibilities during the planning and implementation phases included accessing all the necessary information about the project available to them by attending community meetings and visiting the Resettlement offices for any enquiries, negotiating their demands with Kumba as a community and participating in all community surveys as well as the election of the RWG community representatives. The mine representatives also indicated that as title deeds holders, the homeowners had the responsibility to oversee the design of their houses which included verifying their house and stand sizes and finalizing their building plans with the architects. According to them, the institutional renters such as SANDF, Transnet and Kumba house tenants had the responsibility to arrange and secure their new rental accommodation with their landlords. They also stated that since the move from Dingleton to Kathu, the resettled community members have the responsibility to report the defects of their new houses to the resettlement office, participate in the election of the post-resettlement RWG committee as well as in post-resettlement evaluation surveys.

When asked how the community shared in the responsibility of the project, the project manager had this to say:

They obviously had the responsibility in terms of all of them had to reach a decision on whether they want to be resettled or not to be resettled, because the project could not have gone ahead if the people had been divided. They also had the responsibility to negotiate their demands in the project.

In addition, The SD Officer indicated that the sustainable development office ensured that the SMMEs contracted in the construction side of the project took on the responsibilities of running a business just as any other contractors in the project. According to her, this included attending monthly contracts meetings, sketching safety files as well as submitting reports on their employment figures, costing, schedules and any other project related matters.

Contrary to the project team's views, the youth indicated that the community's responsibilities were supposed to have been detailed in the social labour plan, a document which was apparently never shared with the community. Moreover, they believed that Kumba strategically hired consultants to maintain all control of the project themselves and keep any roles and duties of the project away from the community.

Similarly, the OCP renters felt that the project had sown division between them and the homeowners and thereby deprived them of any responsibilities in the project. The renters also blamed the RWG and the community for not ensuring that there's inclusion of every member of the community in sharing of project responsibilities. One renter stated that:

The community was dropped because they never took the project as a whole and thought what's best for everybody. But instead they put it in phases of what's best for homeowners, what's best for renters. And at the end of the day, living in an area, they never handled us as one and not as separate units. That's why we are falling apart now. And that's the community's fault. The community also didn't treat their people properly.

The above discussions revealed that the mine representatives thought that the community had a set of responsibilities in the project, whereas, the majority of the community members thought that the community was not given the opportunity to share the responsibilities of the project with the project team.

Conclusion on Responsibility

The theory stated that for the community to actively participate in the project, they must share in the responsibilities of the project. However, the findings revealed that the roles and responsibilities of the community were not clearly established from the beginning of the project and that the majority of the community members were not informed about their roles and responsibilities. It seems as if the project team and community members do not agree on what the responsibilities of the community should have been. According to literature review, by sharing in the responsibilities of the project through collective decision making and sharing of roles, the community may influence the direction and execution of development projects and as a result achieve empowerment. From the focus groups it seems as if the community did not share in the responsibilities of the project and that the mine did not allocate them specific roles and duties. Therefore it can be concluded that the community did not have specific responsibilities and consequently they did not really influence the direction and execution of the project.

4.2.1.6 Conclusion on Community Participation

The theory on community participation stated that for communication between the mine and the Dingleton community to facilitate community participation, the community must take initiatives and be active partners in planning, implementation, evaluation as well as in all decision makings of the programs that are aimed to benefit them. However, the findings revealed that the community did not take initiative in the planning phase of the project, although some of the community members such as the homeowners and the RWG actively engaged in some of the activities initiated by Kumba. With regard to the implementation phase, the findings show that the majority of the community still did not take initiatives, nor did they actively participation in this phase.

Regarding participation of the community in the evaluation phase, the findings showed that although the evaluation phase had not taken place during the time of this study, the mining representatives and the RWG had begun the discussions on the phase without the community's active participation. It is also noteworthy that the majority of the community members were not convinced that they will be included in the evaluation phase at all.

With regard to the community being active participants in all decision making processes, the findings show that Kumba had an authoritative upper hand in decision making and that the community were not active participants in this process. Lastly, the findings also revealed that the community did not fully share in the responsibility of the project with the mine representatives, since the roles and responsibilities of the community were either not clearly established by the mine or not clearly understood by the community.

Therefore, it can be concluded that the Dingleton resettlement project's communication process did not facilitate sufficient community participation as reflected in the principles of participatory approach, due to lack active participation by the community in the planning, implementation and evaluation of the project as well as in decision making processes.

4.2.2 Theoretical Statement 1: Dialogue

In chapter two, the following theoretical statement on dialogue was formulated:

For communication between the mine and the Dingleton community to be dialogical, there must be a process of two-way, horizontal communication where all partners have equal opportunity to talk, participate and listen to each other as equal voices to create mutual understanding through continuous reflection (2.5.1).

From this theoretical statement the following constructs regarding dialogue were identified: two-way communication, horizontal communication, mutual understanding and respect and continuous process (Table 3.1). The next section discusses the findings of these constructs.

4.2.2.1 Two-Way Communication

In this study, two-way communication means that the mine and the Dingleton community must have equal opportunity to participate in discussions, to listen to each other and have equal access to communication channels used in the project (3.3.1).

The two main platforms for two-way communication between the mine and the community were community meetings and one-on-one consultation meetings. The interview and focus group respondents shared similar views with regards to two-way communication between mine and the community. They indicated that Kumba used the community meetings to disseminate information to the community about the progress of the project and would then allow a session for questions and answers. They also reported that although most times the meetings were intended to provide the community and Kumba a platform to engage in robust discussions regarding issues of concern to the community, the meetings usually turned uncontrollably chaotic and noisy. There seems to be overall agreement that the community meetings did not give both parties the opportunity to listen and talk to each other in a dialogic discussion.

Mixed feelings were expressed by the project manager about the success of the community meetings:

Most of the time in the meeting, the first half an hour I made a presentation and the rest two hours or so it's just questions. And people are screaming and shouting. I am talking about screaming and shouting as people trying to get a question in and we tried to have it orderly but there was probably one or two meetings where things didn't go that well. Things sometimes got a bit out of hand, but it wasn't that bad. At one point some people walked out of the community hall, but you will get that in any public meetings, especially when you are dealing with any community issues.

In contrast, the community relations manager thought that the only time there was a proper dialogue between the community members and Kumba was in one-on-one consultations with the homeowners. She thought that the community meetings failed at providing a platform for a dialogue between the community and the mine representatives due to their chaotic nature, lack of attendance from the community as well as some community members wanting to discuss their personal issues in public. She described it as follows:

Because the Dingleton homeowners had individual title deeds, there had to be one-on-one consultations with each property owner because each property was different. Those dialogues between the project and the individuals went very well because during those sessions would be able to give them all necessary information, they would agree that they understand the information, they would sign the documents that you wanted them to sign but when it got to putting people together and negotiating with them as a group... The dialogue that happened in community meetings, remember each community meeting the project would give updates and feedback, then followed by questions and comments time. In the period that I have been here since 2014, none of the community meetings has gone well because you then find people going back on certain decisions that were made and being influenced by others. Even though those others had agreed when you had those one-on-one consultation. There was an issue with the power of, you know when people are together and then seem to go back on their word, because they are influenced by others. In two words, Community meetings were stressful to the facilitators and chaotic.

When asked whether the community felt that they were being listened to during communication with the mine representatives, the SD officer made the following statement:

I think it depends on the person - you had different kinds of people you communicated with. In a project management, you obviously have your structural managers. I mean they don't want to listen to problems, they just want to tell you what to do but they contributed by having people – the structure within the hardcore business environment, and the community understood that. But obviously you had your people who were a little bit patient. And people [from the community] could walk in and talk to them. So if they needed clarification they could just go to them.

Similar to the mine representatives, the Community legal representative indicated that verbal communication between the community and the mine representatives did not succeed in providing both parties an opportunity to hold dialogue because of disagreements that got out of hand. She had the following to say:

I think from Kumba's side they had that Dingleton Newsletter that they sent out to the community monthly. They would use those newsletters to introduce the new plans, inform the community of the progress of the construction of houses, and all that. But regarding verbal communication that only happened in community meetings. But remember in these meetings, it was mostly influential and outspoken homeowners who used to talk and the rest of the people would only be listening to them. Not everyone had the gut to stand and speak freely at those meetings. Those people would usually come to the office to speak to us in person and then we would address that matter. Regarding meetings getting out of hand, that usually happened when Kumba would make decisions they were

not informed about and the community would not be happy about it. They felt that they were not included in the decisions.

Similar to the project team, the community representatives felt that the project lacked in providing a platform for a two-way communication during community meetings. The elderly community indicated that they avoided attending community meetings due to their chaotic nature, and instead preferred the scheduled one-on-one consultations in which they could hold decent discussions with Kumba regarding the resettlement. The youth stated that they believed that there was no proper dialogue between the community and the mine, but instead, Kumba appointed consultants to persuade the community members to sign off on the exchange agreements. The youth felt excluded from the dialogue that took place during the exchange agreement between the homeowners and the mine. They believe this was done intentionally to prevent the youth from influencing their parents' decisions.

When asked to describe the relationship between the community and Kumba, one of the youth members stated the following while the rest of the group nodded and murmured in agreement: "There's no relationship, only fighting." In line with the youth's views, the OCP renters indicated that the renters were not given equal opportunities to two-way communication with the mine as the homeowners. They felt that the project did not give the renters a platform to participate in discussions that concerned them such as the renter's long term strategy as well as be listened to, as it did the homeowners.

The above discussions revealed that the mine representatives and the community representatives all thought that other than the one-on-one consultations mostly between the homeowners and mine representatives, community meetings failed to provide a platform for a two-way communication in which the mine and the community could have equal opportunities to participate in discussions and to listen to each other. Furthermore, the majority of the community representatives indicated that the project did not provide them equal access to communication channels such as the one-on-one consultations it provided the homeowners.

Conclusion on Two-way Communication

Theory stated that the mine and the Dingleton community must have equal opportunity to participate in discussions and to listen to each other and have equal access to communication channels used in the project. However, it is evident that community meetings failed as a platform for a two-way communication between the mine and the community.

Freire emphasizes that knowledge is more than the information shared with people, but the sense that people make of information through interpretation and collective thinking (See Section 2.5.1). Bearing this in mind, the study shows that community meetings were only used for simply transferring information but the platform did not allow opportunities for both parties to construct and share knowledge through dialogue. This is evident from the disorderly manner in which community meetings took place.

The literature review emphasized that listening is an essential prerequisite for a successful dialogue, however, it is evident from chaotic nature of the community meetings that they did not provide both parties the opportunity to listen to each other. It is evident that one-on-one consultation meetings did provide a platform for two-way communication where people could listen and participate, but this platform was only available to a small number of community members. Therefore, it seems as if no real two-way communication happened between the mine and the community.

4.2.2.2 Horizontal Communication

In this study, horizontal communication means that the community and the mine has equal access to information, has an equal voice in all discussions and decisions and that they participate as equal partners in the communication process (3.3.2).

The majority of community representatives felt that they had limited access to information and did not have equal voices in the project to make certain decisions. The RWG and the refusers felt that although Kumba provided the community with information and gave them opportunities to engage robustly in discussions, the community did not have an equal voice in decision making. They indicated that the project team came to the community having made decisions already, on the instructions of their senior managers from Kumba.

In line with the RWG and the refusers, the OCP renters indicated that the community could not have had an equal voice as Kumba because the community members lacked equal voices amongst themselves due to personal agendas most influential members in the community had. According to one renter “Some people were deemed important and others were not.” Similarly, the youth felt that some community members did not have equal access to information as others and Kumba did, since some discussions were held privately with a few influential people. Furthermore, they indicated that Kumba and its consultants did not treat the community as its equals during the meetings. According to them, one-on-one consultation meetings between the homeowners and the project team were turned into interviews in which Kumba recorded people without their consent

and demanded them to sign the agreements. One of the youth went on to make the following statement:

That was not dialogue in a proper way, it was forcing people to move. It was Kumba always talking, the meeting or discussion agenda was always coming from Kumba. They would just call you and you sit there and tell you to sign.

Different from the views of the majority of the community representatives, the majority of the mine representatives thought that the project ensured that the community had equal access to information. They explained that besides the monthly newsletters distributed to the community as an information sharing method, the community meetings were used as information sessions in which the team could give feedback on the progress of the project and the community could ask questions and raise any necessary concerns. The project manager indicated that the voice of the community was just as important as that of the mine, as they are the major stakeholder in the project. He added that his team catered to the community by appointing some local people, in their offices, that the community could easily relate with.

In line with this perception, the community relations manager indicated that the project provided the community with a platform to participate as equals in communication. She explained:

Despite the chaotic process of the community meetings, the project never stopped calling community meetings. There had to be a platform that assured everyone the process is the same for everyone.

Similarly, the SD officer indicated that her office ensured that both her team and the community groups participated as partners in all activities and the groups interacted amongst themselves so to make collective decisions.

It is interesting to note that although all the representatives from the mine did not consider the communication process to be two-way, they however thought that they provided the opportunity for horizontal communication where the community participated as equals. On the other hand, the community legal representative felt that their team served as a channel in which the community could often communicate and receive feedback from Kumba. In a comment, she stated:

I think most communication was between the homeowners and the community lawyers. So basically messages were conveyed between Kumba and the community lawyers, back and forth. So they communicated most of their problems to us, and they we would communicate that to Kumba. It was really only in special cases that the people communicated directly with Kumba.

For the discussion above it is clear that the majority of the community representatives did not feel there was horizontal communication during the course of the project due to lack of equal access to communication for all community members, and the mine having an upper hand in discussions and decision making processes. In contrast to the community, the mine representatives felt that the project worked hard to ensure that the community, as their major stakeholder, had equal access to information and equal voices in all discussions and decisions. At the same time, the community legal representative felt that the legal team provided a communication link between the community and the mine while the other parties did not really interact directly.

Conclusion on Horizontal Communication

The theory stated that the community and the mine must have equal access to information, an equal voice in all discussions and decisions and that they must participate as equal partners in the communication process. Nevertheless, the findings revealed that there was no proper implementation of a horizontal communication between the community and the mine, but instead Kumba's communication efforts followed a linear communication process whereby information and feedback on decisions already made by Kumba's senior management were disseminated through community meetings and newsletters. Community members indicated very clearly that they did not experience the communication as a horizontal process where they could participate as equals.

Furthermore, the literature presented earlier on dialogue as horizontal communication puts emphasis on information exchange rather than persuasion. It stated that information must be shared or exchanged between two or more individuals rather than transmitted from one to the other. All participants should act on the same information; none are passive receivers of information (2.5.1). From the focus groups it seemed as if the community felt that information was only transmitted from the mine to them and even then, they did not have access to all the necessary information. The community did not have equal access to information and an equal voice in discussions as they were not given equal levels of influence in the project. This is evident from the process in which meetings and consultations were held with different groups within the community, with some of the representatives acting as conveyors of information between the community and the mine.

4.2.2.3 Mutual Understanding and Respect

Mutual understanding implies that the community and the mine share the same understanding of the situation, the issues to be addressed and the way to address them and that they understand each other's realities and roles regarding the project. Mutual respect, on the other hand, means that both

parties experience respect from the other party, whilst also showing respect to the other party from their side (3.3.3).

The community indicated that the relationship between Kumba and the Dingleton community had not portrayed mutual understanding and respect over the course of the project. According to the youth, Kumba built the relationship with the community, especially with their parents, based on empty promises and manipulation. They felt that Kumba failed to come to the table to address the issues that they (the youth) had and that their parents were manipulated into signing agreement documents they did not understand.

The following are statements made by some of the Youth group members.

I mean how can you say you have a relationship, when you didn't even understand the language in which the documents were drafted? So there's no relationship in that.

Another member described the situation in the following words:

There was never a relationship, Kumba is just a wolf in sheep's clothing. They just lied to us. There were so many that were supposed to benefit from this project but he noticed that the elderly people cannot read so he targeted them. Documents changed all the time, and our parents were made to sign things they didn't understand.

Similar to the youth's perspectives, the refusers indicated that the authoritative manner in which Kumba carried out the project while ignoring the community's voice resulted in mistrust between Kumba and the community. They reported that Kumba had used intimidation in attempts to forcing the remaining residents to move away from Dingleton even though it's still declared a residential area, instead of addressing the issues the residents had lodged.

In line with the above, the OCP Renters indicated that during their early engagements with Kumba while still residing in Dingleton North, they had believed there was a clear understanding between the two parties. However, they felt that once the temporary move to Old Caravan Park took place, all the agreements with Kumba became empty promises. One of the OCP renters made the following comment: "There's no respect. No respect at all. If you want to say anything at the meeting now, you go ahead and say it." Hence, they had lost all the respect they had for Kumba.

In spite of this, interviews with the mine representatives indicated that they had built a relationship of trust with the majority of the community members from the beginning of the project, especially the homeowners. They however admitted that, that had never been the case with the youth and a few other groups in the community including the refusers and renters. Respectively, the

community relations manager and the community legal representatives felt that some of the community members especially the youth, in many instances had not shown the mine representatives the same respect that the representatives showed towards the community during communication.

Reports were made that the project had made a lot of effort to engage the youth in discussions aimed at addressing their issues and concerns and ensuring that they participate in all the processes of the project; but the youth were never satisfied and had demands that were that were beyond the project's mandate. According to one of the community legal representatives:

The majority of the homeowners were cooperative. But the renters it was a whole other story. Well recently they have been disrupting all the meetings, so is the Dingleton youth. But if you look solely at the homeowners, they have been cooperative. They didn't give Kumba any problem of any kind.

In addition, they reported that there were community members who attended community meetings intoxicated and became disrespectful towards the mine representatives.

Mine representatives also emphasized that they always ensured that the community clearly understood the progress and situations in the project through constant feedback from the mine's representatives and the RWG, including on issues of the long delayed MOU. The project manager however admitted that there had been difficulties from the beginning when some members of the community did not understand the progress of the project and the importance of the phases in the projects. The project manager noted:

And I think still there was a few people that not really understand let's call it 'the project management language' in terms of we should have called it something else more common knowledge in terms of what they could understand. I tried to explain it but I don't know if they understood but we took 6 years of planning.

According to him, the presentations at community meetings aimed to give every member of the community a clear understanding of the project.

Although the community meetings did not always portray that mutual understanding and respect due to their chaotic nature, the project manager was assured that negotiations between the households and Kumba as well as the RWG and Kumba always happened in good faith and honesty. She explained her perception:

My experience is that you need to build a trust relationship. If you don't have a trust relationship, you are not going to get anywhere. There was, through the whole process, there was certain individuals who didn't trust me or didn't trust Kumba and they made it clear. But not everybody,

just certain individuals but you are gonna get it everywhere. You will never get 100% buy in, there will always be. We had projected that 10% of the people will not cooperate, and at the end there was about five. So there is still 5% of the people that haven't moved, and if I look at the opportunities to talk to this people, they are still friendly with me and act like nothing is wrong. Well, we have a difference in terms of we couldn't agree and what conditions they want to move or what we can give them. There was no bad vibes. I can walk into Dingleton now, in any of those houses, you can walk in with me and we greet each other like friends who haven't seen each other in a while. So I think that's a sort of a bottom line. So there was a very good spirit in terms of what we negotiated, and obviously you need to tell people that this is not fair, you need to tell people when you are not happy, or whatever the case may be. And we discussed it, and we negotiated in good faith like adult people.

The community representatives clearly held totally different perspectives in comparison to the mine representatives with regards to mutual understanding and mutual respect between the two parties. It is evident that the majority of the community members thought that the mine did not share understanding of the concerns and situations of the community but instead took advantage of their vulnerable situation. The community also experienced disrespect through manipulation and domination. However, the mine representatives perceived a shared understanding of the information and situations in the project with the community which built a good relationship based on honesty and trust. It is noteworthy that both parties were of the opinion that they were not treated with respect by the other party, whilst each felt that they showed respect to the other party from their side.

Conclusion on Mutual Understanding

The theory stated that the community and the mine must share the same understanding of the situation, the issues to be addressed and the way to address them and that they understand each other's realities and roles regarding the project. Regarding mutual respect, both parties need to experience that they are being treated with respect by the other party, whilst showing respect to the other party. However, the study revealed that the relationship between the community and the project team did not generally reflect mutual understanding, particularly during community meetings. Buber asserts that genuine dialogue is the most desirable form of dialogue which can ensure mutual understanding (2.5.1). The findings, on the other hand, show that the tendency of the mine representatives to only share information about the project through presentations at community meetings, without assessing the issues and concerns of the community, or looking for

appropriate solutions; does not reflect Buber's idea of dialogue and is therefore not supportive of reaching mutual understanding.

Freire emphasizes that dialogue requires respect between individuals as well as moral commitment among those engaged in it, as it is the act of communication by which people can relate with each other as equals (2.5.1). In this case, none of the parties feel that they were being treated respectfully by the other and is a strong indication that the nature of communication was not dialogical.

4.2.2.4 Continuous Process

In this study, a continuous process of communication means that the line of communication stays open and that both parties have the opportunity to, and also should engage in communication at any time during the project to share their lived experiences and engage in continuous learning (3.3.4).

During the focus group discussions, the community representatives felt that communication between Kumba and the community changed drastically over the course of the project. According to them, during the planning phase of the project, Kumba engaged in constant communication with the community through community meetings and newsletters. They however reported that there was a decline in the communication from Kumba and the RWG during the implementation phase of the project which further deteriorated as soon as the move had taken place. The community representatives relayed that the following communication channels declined during the course of the project: community meetings, newsletter distributions to the community as well as meetings between the community, the RWG and the community legal representatives.

The youth and refusers equally felt that once Kumba obtained the majority of the exchange agreements and permits they needed to resettle the community, they then did not see the need for further dialogue with the community. Likewise, the OCP renters believed that communication from Kumba stopped once they had been moved out of Dingleton North, an area which they believe is key to the expansion of the mine. One of the renters noted that "...once everything started to move along, and the promises were made. The promises that were made didn't come to fruition, that's when everything fell apart."

When asked whether the project had ensured that there is a continuous process of communication throughout the project into the evaluation phase, the elderly community members indicated that dissatisfaction within the community about the project as well as the changes made by the RWG early in the project impacted on the communication. According to one of the elderly members

“The change of RWG brought confusions, a lot of communication was broken.” Likewise, the youth indicated that Kumba stopped communicating with the community, hence the majority of the community resorted to protests in order to demand answers. One of the youth group members is quoted saying:

Things have changed, and you know why I say that? Do you think if things were the same as before there would be people burning tires, protesting and all this chaos? That’s why we are standing and fighting.

In contrast, the mine representatives and the RWG felt that the project ensured that the communication process between the community and the project team stayed active throughout the course of the project, despite the community meetings that ceased to take place at some stage during the implementation phase as well as after the resettlement happened. The mine representatives reported that the scheduled one-on-one consultations between the mine representatives and the community members proved to be more effective and most preferred channel of communication, even by the community, compared to community meetings. According to them, the one-on-one consultation meetings continued throughout the project and gave both parties the opportunity to engage in information sharing sessions about the progress of the project. They also reported that the community similarly used these one-on-one consultation meetings to raise concerns they had and gain knowledge about certain aspects of the project.

The community representatives and the mine representatives obviously held different views with regards to the continuity of communication in the project. On the one hand, the majority of the community representatives, other than the RWG, felt that the communication process was not accessible and similar for everyone, stressing that it only stopped once the mine got what they needed from the community. On the other hand, the majority of the mine representatives believe the lines of communication stayed open and the community had the opportunity to engage in communication with the mine whenever they needed to. It is interesting to note that the representatives from the mine admitted that the community meetings stopped at one stage, but view the one-on-one meetings as sufficient, even though not all community members were part of the one-on-one meetings.

Conclusion on Continuous Process

The theory stated that for a communication process to be continuous, line of communication must stay open and that both parties must have the opportunity to, and also should engage in communication at any time during the project to share their lived experiences and engage in

continuous learning. However, the findings revealed that the project failed to engage the community as a whole in communication, because not all lines of communication that had been put in place stayed opened throughout the phases of the project. This occurred when community meetings ceased and the majority of the community, other than the homeowners, had lack of access to other lines of communication such as one-on-one consultations.

As discussed in the literature review, Freire emphasized that the process of dialogue should allow reflection, action and a continuous learning between the participants through sharing of lived experiences in order to generate knowledge that can transform realities (2.5.1). On the contrary, the findings of this study revealed that communication between the community and Kumba lacked a continuous process to engage the whole community and reflect on the progress of the project. The line of communication became even more linear when community meetings stopped taking place and this further disabled a platform for collective reflection, action and continuous learning between the mine and the community.

4.2.2.5 Conclusion on Dialogue

A theory on dialogue stated that for communication between the mine and the Dingleton community to be dialogical, there must be a process of two-way, horizontal communication where all partners have equal opportunity to talk, participate and listen to each other as equal voices to create mutual understanding through continuous reflection.

Communication strategies used by Kumba such as community meetings failed as a platform for a two-way communication between the mine and the community. Due to their chaotic nature, community meetings did not provide the community and the mine space to listen to each other and hold meaningful discussions in which they could generate knowledge. The findings also show there was no proper implementation of a horizontal communication between the community and the mine in the project, because the community were treated as passive receivers of information and feedback on decisions mostly made by Kumba's senior management.

With regards to mutual understanding and respect, the findings reveal that the relationship between the community and the project team did not generally reflect mutual understanding. There was lack of engagement between the general community and the mine in understanding and assessing the issues and concerns of the project and community and allowing a collective process of looking for appropriate solutions that could have resulted in mutual understanding. The relationship between the community and the mine representatives did not generally reflect mutual respect although both parties viewed their behavior as more respectful than that of the other party.

Lastly, communication between the community and Kumba lacked continuity in engaging the whole community to reflect on the progress of the project, as well as engage in continuous learning. In conclusion, the nature of communication in the Dingleton resettlement Project was not dialogical since the communication was not two-way or horizontal, did not foster mutual understanding or respect and did not follow a continuous process.

4.2.3 Theoretical Statement 4: Cultural Identity

In chapter two, the following theoretical statement on cultural identity was formulated:

For communication between the mine and the Dingleton community to support cultural identity, the project must accommodate the community's cultural practices as well as being sensitive and respecting the community's histories, social structures, value systems, and cultural understandings of the world (2.5.4).

The following constructs were derived from the theoretical statements and are discussed below: accommodation, sensitivity and respect. (See Table 3.1)

4.2.3.1 Accommodation

In this study, accommodation of the Dingleton culture means allowing for and fitting in the community's cultural practices throughout the progress of the project (3.3.13).

When asked whether the cultural identity of the Dingleton community has ever been a topic of discussion between the community and the mine, the majority of the respondents admitted that the project never focused solely on the topic of cultural identity. According to the representatives, the community's cultural identity was never a point of discussion between the community and the mine during any communication platform.

Meanwhile, the project manager indicated that the project accommodated the cultural diversity and practices of the Dingleton community which they were aware of. However, he admitted that some of the indigenous practises by certain groups in the community could not be accommodated because the project worked on principles that applied to everybody. According to him and the RWG, Dingleton community is characterized by various types of Christian denominations and the project identified this as a dominant cultural practice amongst the community. As a result, the structural properties of the churches in Dingleton were replaced and churches that were leasing land from the municipality while in Dingleton were given stands by Kumba at the new site. An RWG member indicated that:

Churches were replaced for Christians and those without proper structures were offered stands at the host site. The municipality played a part in some of the discussions about all these, they made a decision not to duplicate other facilities that were in Dingleton like the sports facilities. Sports like soccer and rugby formed a huge part of the Dingleton community, especially amongst the youth. But the view is that the community will have the opportunity to integrate with the greater Kathu community through using other sporting facilities around town.

Other mine representatives and the RWG also stated that the project accommodated the cultural identities of the community. They indicated amongst the community's requests that were accommodated was the exhumation and moving of cemeteries. The project catered for the community's language diversity ensuring that interpreters were made available to accommodate interpretation of diverse languages spoken in Dingleton including Portuguese, Afrikaans and Setswana. According to the project manager:

We were aware of the diversity of the community we deal with, that's why we appointed people that can deal with these kind of things. To give you a specific example, that's why Amelia was appointed – she can speak 4 languages, she can speak Portuguese, English, Afrikaans and Tswana. And that assisted us very much, because you need to communicate correct messages.

Contrary to the views of the mine representatives and the RWG, the community representatives indicated that the project did not take into consideration the cultural diversity of the Dingleton community. They indicated that the language diversity of the Dingleton community was not well accommodated and this became evident when some of the Portuguese speaking community members complained about signing agreements they did not understand due to language barriers. In addition, they stated that the language diversity of the community was also not accommodated in the community newsletters that were only published in English and also seldom in Afrikaans, while not catering for all cultural groups in the community. A refuser community member had this to say:

Yes we have a diverse community, and Kumba didn't cater for their languages. There were language barriers. And if you speak to especially the Portuguese community they will tell you "I was wrongly informed because I didn't understand because it wasn't my language" or "I made decisions because I wasn't explained in my language". At some extend it really disadvantaged some of the community members, especially to the Portuguese community in decisions that they have taken. Yes they had translators but language was still a barrier, the lack of documentation and all. I think Kumba made a big mistake there, they would have done better looking into the language factor.

In addition, the elderly members of the community and the youth believe that due to the tight municipal bylaws in Kathu, as compared to Dingleton, the resettlement took away the community's freedom to practice some of the traditional rituals they used to perform freely in Dingleton, such as slaughtering of animals in their yards. They further indicated that by not replacing the sports facilities in Kathu due to the agreement between Kumba and the municipality, the project took away from the sporting culture that brought unity and a sense of belonging to a community, as it was in Dingleton. One of the youth's stated:

Remember in Dingleton people were enjoying their freedom and sports games, they could walk freely and do anything in their own yards and fun things as a community. But they brought us here and took everything. But now we are like headless chickens we don't know what we are doing, we don't know where to go.

The topic of racial identity in relation to culture constantly surfaced during the focus group discussion respectively with the youth and the refusers, as well as during the interview with the community legal representative. The youth and the refusers indicated that the project failed to acknowledge their cultural identity due to the stereotype that the coloured people do not have a culture. Similarly, the community legal representative indicated that the community felt neglected and subordinate, not only to Kumba, but also to their government due to their identity as a coloured community. She indicated that the community had many times indicated that Kumba had cut corners with them because of their racial identity, as it would never had with any other South African races. The community legal representative noted:

People would always say if it was a white community, Kumba would never have cut corners. They felt that because they were a coloured community, they were being treated as subordinates and were not worthy. They also felt that as far as government was concerned their demographics were wrong. It's a coloured community, and they also felt that the ANC was neglecting them.

However, she felt that Kumba was responsive to some of the community's needs by ensuring that they still have the opportunity to practise their cultures at the new site.

From above discussions, it is evident that the views of the majority of the mine representatives and the RWG differed from the views of the majority of the community with regards to the accommodation of cultural identity of the Dingleton community in the project. While the majority of the mine representatives thought that the cultural identity of the community was accommodated in the project, the majority of the community representatives did not agree.

Conclusion on Accommodation

Theory stated that accommodating the cultural identity of the Dingleton community in the project means allowing for and fitting in the community's cultural practices throughout the progress of the project. However, the findings revealed that the project accommodated not all but only a few selected cultural practices of diverse community groups within the Dingleton community; nor did it incorporate all of the cultural identities throughout the progress of the project. This is evident through the manner in which some of the community's cultural practices were addressed on an *ad hoc* basis as identified during the course of project such as the replacement of churches and the exhumation of cemeteries. However, some of the cultural practices were not considered by the project. The study revealed that there have also never been discussions with the community as a whole regarding their cultural practices nor did the project make an effort to identify the community's cultural practices.

The literature emphasizes development projects taking into consideration that communities are not homogeneous entities but are made up of diverse groups with histories, social structures, value systems, and cultural understanding of the world (2.5.4). However, in this study, although the mine representatives were aware of the diverse groups within the community, the project still did not make effort to understand and accommodate some of the cultural practices, the social structures, the value systems and cultural understandings of the world by these diverse groups. This is evident from the way the project did not accommodate some of the community's traditional rituals, languages as well as the community's value for sports facilities.

Furthermore, theory on cultural identity emphasizes overcoming of stereotype thinking and instead promote more understanding of diversity and plurality through knowledge sharing. (2.5.4). According to the findings, however, some of the community and the mine representatives recognized a stereotype thinking that existed from the project towards the Dingleton community.

4.2.3.2 Sensitivity

In this study, being sensitive to the cultural identity of the Dingleton community meant that the project needed to have knowledge of the cultural practices of the community and be responsive to the wishes or needs of the community regarding their cultural identity and practices (3.3.14).

Community representatives felt that Kumba did not make any effort to gain knowledge about the culture of Dingleton because it was not even considered to be in existence, as a result, the cultural identity of the community was not of importance to the project. The youth in particular expressed

that Kumba did not care anything for the community's culture and all Kumba wanted was to see the project completed. They also believe that the resettlement destroyed the culture of Dingleton. When asked if the project learned anything from the Dingleton community with regard to their culture, one of the youth members responded: "I don't think so, what they did is killed the Dingleton culture. They just want their project to end, they don't care about anything else."

Similar to the views of the youth, the refusers indicated that lacking knowledge of the culture of Dingleton was one of the many mistakes that Kumba had admitted to making within the project. When asked if the project learned anything from the Dingleton community with regard to their culture, one of the refusers responded: "I don't think culture was important to them in this project, and Kumba has acknowledged to making lots of mistake like this. "

In addition, the OCP blamed the RWG as 'the mouthpiece of the community' for not ensuring that Kumba was aware of the cultural practises in the community, especially the poor and vulnerable, such as slaughtering of animals in their yards. This practise was common in Dingleton, but is prohibited in the municipal by-laws in Kathu. One renter was quoted saying:

If you think about it nicely, most of the committee members that were speaking on behalf of the community didn't really need anything. They were homeowners, they had their cars, they had jobs, they buy their meat and they don't slaughter like in our culture. They didn't take into consideration the level of living of other community members.

Contrary to the views discussed above, the RWG and the project representatives indicated that the project was sensitive and aware of the diversity of the community, and accommodated it where necessary. However, the project manager also admitted that there was an oversight on their part on understanding some of the cultures and traditions of the Dingleton community. He views this as one of the lessons-learnt from the project:

One of the big difference that I discovered is that the Angolan Portuguese speaking had different things that's important to them from the Coloured Afrikaans speaking people. I think the Portuguese people are more, in terms of gardens, trees and vegetables, they are more important to them. One of the problems we experienced is that they accepted things in good faith, this is now in hindsight. Like for instance the design of their houses, they signed it off and they didn't know what they were signing. But this is now a lesson learned. So obviously if I tackled a project like this again, I would make sure that people understand.

When asked whether the project had been sensitive to the cultural identity of the Dingleton community, the SD Officer admitted the following:

I think the focus of the project was very much on the hard core - the directs, you know the focus was on the construction. I think the RAP and SD point of view, we did excellent but I don't think we did some good on the cultural point. We always knew there is much cultural diversity and the different indigenous groups. So even when we completed the heritage study, it was mostly focused of the structures to get permit. But I think the intangible side of it we didn't really tackle.

The discussion above revealed that the majority of the community representatives thought the project was not sensitive to the cultural identity of the community. Similarly, the majority of the mine representatives admitted that the project had limited knowledge of the cultural practices, although they believe the project was responsive to the needs of the community regarding their cultural identity.

Conclusion on Sensitivity

The theory stated that project must have knowledge of the cultural practices of the community and should be responsive to the wishes or needs of the community regarding their cultural identity and practices. It was revealed, however, that the project was not especially sensitive to the cultural practices of the community but instead only responsive to the concerns that were brought forward about the cultural practices and needs of the community. The project also did not make an effort to gather knowledge on the cultural identity of the Dingleton community. This is evident from how the project learnt some of the important cultural practices and beliefs of the community while the project was ongoing.

4.2.3.3 Respect

In this study, respect means that the project must have due regard for the Dingleton community's rights, feelings and wishes to preserve their culture and cultural practices (3.3.15).

The community representatives indicated that the project did not have respect for their cultures and cultural practices. They felt that the project undermined their culture by forsaking the rights and wishes of the community to practice some of their traditions and cultures. The refusers in particular indicated that, by naming the host site "Siyathemba" - a Xhosa name in a Coloured and Setswana dominated area, the project did not respect their wishes to preserve their heritages with a name they could collectively identify with. The following is a statement made by one of the refusers:

The thing is that the new Dingleton in Kathu is called with a Xhosa name - Siyathemba, whereas the Xhosa are the minority. The town should have at least been called in Afrikaans, English or Tswana for instance, because we are in a Tswana area.

In addition, the Youth indicated that the project did not respect their culture because they are not allowed to practice their traditional rituals in Kathu due to the Municipal bylaws. A youth members stated that “Our rituals have been forsaken, we are told we are not allowed to do certain traditional rituals since we moved here. Like slaughtering for our ancestors – *Mpho ya Badimo*.” Similarly, the elderly community and the OCP renters mentioned that the project failed to respect their wishes to keep their livestock, something which has been part of their culture in Dingleton. An OCP member indicated:

I mean it’s the people’s culture to have their livestock with them. But then in Siyathemba, and here in OCP, we are not allowed to. But then OCP is understandable because we are not a permanent residents here at OCP, and we are still in a pre-phase. But I know for certain in Siyathemba that the people that had livestock in their yard do not have them now.

Contrary to these, the RWG and the mine representatives indicated that, considering the resettlement principles and government regulations the project had to abide by, the project was still determined to respect the wishes and rights of the community’s cultural practices, even making exception for some of the community’s cultural practices. The RWG indicated that the project respected the requests of the community regarding issues pertaining to culture. They particularly mentioned the issue of exhumation of cemeteries, which was done in the respectful and cultural manner the family members of the deceased had requested.

In addition, the project manager also indicated that although the project wished to respect some of the community groups’ cultural practices the tight municipal by-laws in Kathu compared to Dingleton prohibited some of those traditional practices. He stated that:

Well I can remember there was a case of I think one of the Tswana people, when somebody died and they need to slaughter a cow or something like that. And they wanted to slaughter a cow there when we moved them already into Siyathemba – you are not allowed to slaughter a cow in town. But because they did it in Dingleton, just because the municipality didn’t enforce the municipal by-laws. So they were just left there in Dingleton. There weren’t major problems we couldn’t resolve, but obviously there were always differences.

The above discussion revealed that, on the one hand, the majority of the community representatives believed that the project was not respectful towards their wishes to preserve and practice their cultures. On the other hand, the majority of the mine representatives believed that the project was respectful to the cultural practices of the community considering the prohibition of some of those practices by the municipal bylaws in Kathu.

Conclusion on Respect

The theory stated that the project must have due regard for the Dingleton community's rights, feelings and wishes to preserve their culture and cultural practices. However, the findings revealed that the project did not, or could not respect the feelings and wishes of the community to preserve certain cultural practices, mostly due to the municipal by-laws that did not allow those cultural practices at the host site. The findings also revealed that the project did not respect the community's wish to name their new residential site according to their cultural heritage.

4.2.3.4 Conclusion on Cultural Identity

The theoretical statement on cultural identity stated that for communication between the mine and the Dingleton community to support cultural identity, the project must accommodate, be sensitive to and respect the community's cultural practices, histories, social structures, value systems, and cultural understanding of the world. It is clear, however, that the project representatives failed to gain knowledge of the cultural practices and incorporate the cultural identities of the Dingleton community into the project. Therefore, the project did not accommodate and was not sensitive to the cultural practices, value systems and cultural understanding of the Dingleton community. Furthermore, due to the tight municipal by-laws in Kathu, the project was unable to respect the community's wishes to preserve certain cultural practices.

4.2.4 Theoretical Statement 2: Empowerment

In Chapter two, the following theoretical statement on empowerment was formulated:

For communication between the mine and the Dingleton community to bear effective results that facilitate empowerment, there must be equal power sharing between the community and professionals appointed in the projects and the community must gain self-reliance and take ownership of the programs that are intended to benefit them (2.5.2).

The following constructs were derived from the theoretical statement on empowerment: ownership, share power and self-reliant below (Table 3.1). Findings on these three constructs are discussed below.

4.2.4.1 Ownership

In this study, ownership means that the community should take ownership of their own lives, have primary responsibilities in the project, take leadership roles and be fully involved in decision making processes within the project (3.3.5).

When asked whether the project ensured that the community had ownership of the project, the mine representatives indicated that the project provided the community the opportunities to take ownership of the project. According to the project manager, the governance structure was formed in a way that ensured that the community could take ownership of the project. He indicated that through structures such as the RWG, the community members had a leadership role in the project and were included in decision making processes. He further indicated that the community as a whole also had the responsibility to look after their own interests.

Similar to this perspective, the SD officer believed the community had ownership of the project because they could influence the decisions made by Kumba. In addition, she believes that not only did the SMMEs gain financial freedom from the project, but they also gained the ‘intangible’ - which were the confidence and knowledge to run successful businesses in the future.

In spite of this, the community legal representative and the community relations manager did not share similar perspectives with the project manager and SD officer in terms of ownership of the project by the community members. They thought that the community had the opportunity did not use the opportunities the project presented them, especially the youth; they did not make effective use of the opportunities available to them, but instead wanted to depend on the project for handouts. According to the community relations manager:

Honestly, the community didn't take ownership. They were passive and always thought they would be given and just receive from the mine. There were skills development project that they didn't take advantage of. They were given opportunities but would take them for granted. All efforts were made to give them ownership. There were more than 100 business that were registered, but today less than 10 that progressed through.

It is noteworthy that some of the mine representatives thought that the community took ownership, while others emphasized that they chose not to use the opportunities available to them to take ownership.

Contrary to views of the mine representatives, the community representatives indicated that they were not given opportunities to take ownership of the project. When asked how the project empowered them, the youth stated that Kumba did nothing sustainable to empower the youth but instead brought ineffective SD programs and temporary jobs to manipulate the community into moving. They mentioned that while outsiders gained a lot of wealth from the project, the community gained stress, a self-enriching RWG and certificates that will never be useful to them. One of the youth members noted:

I am talking about the people who went to register their businesses but now they have those papers under their mattresses. I am saying even if you heard there's a tender somewhere and you go try to apply for it, it's a waste of time because they already have their people in mind. So it means you just gained the papers.

In addition, the refusers indicated that they lost a sense of belonging to a community due to the project instead of gaining a better life for themselves, as they had expected. Although they remain in Dingleton, they were still aware of the losses incurred by the community members in Kathu, such as the poverty in which some of the unprivileged community members still live and the poor quality of the new houses in Kathu. They continued to state that the project failed to provide the community opportunities to improve their socio-economic conditions and take leadership in the project. The following is a statement from one of the refusers:

You know we even went as far as asking Kumba about the women, can't we come up with a project for the women but they refused. I suggested that women can even bake biscuits, cakes or so on and sell it to supermarkets, but they refused. I think those kinds of projects could have empowered the people. Kumba thinks that they are already providing jobs, but ag' shame Dingleton people I can even count how many people are working for this mine.

When asked what they gained from the project, the elderly community indicated that they have gained new houses and convenience to amenities they could not access in Dingleton. However, in terms of taking ownership of the project, they believe they could have done this if they had been afforded the right education and knowledge to understand negotiation processes.

Similar to the elderly community, the RWG indicated that the project produced a lot of positive results such as more employment and business opportunities for the Dingleton community, improved housing and convenience due to new amenities. They however indicated that there could have been a lot more done to ensure that the community took better ownership of the project through a more balanced decision making process and more involvement in leadership roles. They believed the community was also disadvantaged from taking on more leadership opportunities due to lack of formal schooling. One of the RWG members stated that:

We learnt how delicate such a project is, it was not easy to think for people. However, the people showed strength in that they provided for themselves houses, and from that they could negotiate. The one disadvantage within our community is lack of schooling, with that came lack of knowledge to take leadership roles even to understand negotiations. With knowledge, we could have taken more ownership of the project as a community, you know as a whole.

From the above discussion, it is evident that the majority of the community representatives thought that the project did not allow the community the responsibilities, leadership roles and involvement in decision-making process that could have provided the community the ownership of the project. Some of the mine representatives thought otherwise, while others did not, out of their own will use the opportunities that were available to them.

Conclusion on Ownership

The theory stated that the community must take ownership of their own lives, have primary responsibilities in the project, take leadership roles and be fully involved in decision making processes within the project. However, the findings revealed that the majority of the community lack resources to take ownership of their own lives due to their socio-economic conditions and are dependent on local government and the mine. It was also revealed that due to lack of formal schooling and knowledge of negotiations, the majority of the community could not engage in leadership roles and had limited responsibilities within the project. The project failed to provide the community access to education and resources to understanding negotiations that would have empowered the community to take more ownership of the project.

Furthermore, the findings show that the community's engagement in decision making processes was only limited to the involvement of the RWG and even then, the influence of the RWG in decision making was limited.

The study's literature review emphasized that as a measure of empowerment, development projects must engage communities in developing an understanding of their situations and becoming confident about their own abilities to change their social and economic situations (2.5.2). In this study, the findings revealed that the project did not provide the community the opportunity to take ownership to improve their socio-economic conditions through the project. This is evident from the responses of some of the community representatives that the project did not consider their ideas on how to better the lives of underprivileged community members.

The literature review also stated that the empowerment process must be based on integration of action and collective decision making by the community (2.5.2). According to the findings, however, there was division and lack of coordination amongst the community members in their efforts to gain empowerment from the project. In conclusion, it does not seem the community gained ownership of the project.

4.2.4.2 Shared Power

In this study, shared power means that the community and the mine should both have power in the decision making process, equal responsibilities and leadership roles in the project, but that the community must have the final say in all matters that have a direct influence on them (3.3.6).

The mine representatives and the RWG shared a similar viewpoint that power sharing was ensured by the project through the formation of governance structures like the RWG which allowed the community leadership roles in the project. According to the project manager, although the community did not have a final say in all matters nor the majority of control of the project, the structure of the RWG gave the community representatives an upper hand in negotiations and in decision making processes. He states:

If you listened to what I said about how we structured the RWG and negotiating meetings – there were six members from the community which was more than any other stakeholders – there was only two Kumba people, two Northern Cape government people and two municipal people. So if they stood together, they could out-vote, I am talking about now who's got voting power. So that's the people that got voting powers, and in the RWG meeting if there was decisions needed to be taken, they have the majority. I don't think they had 100% control, but at least they had a say if they were not happy on the decision and they could say. Then what happens then, if we don't get an agreement then I need to go back and tell my steer-com, this is what we say and the community is not happy so we need to come up with the alternative. So how it works is they got the majority in the RWG meeting and if there was something we negotiated in the RWG meeting and they was not happy with then they disagreed obviously from Kumba's side we need to tick all the boxes and get everything in place and so if that's not agreed upon I go back to my steer-com or I take to the Northern Cape government steer-com then we get sort of an agreement there. Then is as a joint stakeholder committee, I would say we got it resolved there or make the decision how it's going to be resolved. Then the community agrees with that.

Similar to the views of the mine representatives, the elderly homeowners also believed that the manner in which the one-on-one consultation meetings and the RWG committee were structured, allowed both parties equal control to negotiate in the project. The RWG believe that the project even gave the general community the platform to input ideas into the project as a form of power sharing. The following is a statement from one of the RWG members:

From Kumba's side there was a lot of small projects that helped the community with their own skills, there was a lot of people that didn't have jobs and who had found work there. These ideas

came from the community, because a lot of small companies in the community were used for these small projects.

In addition, the community legal representative thought that with the project nearing the end, the expansion of the Post Resettlement Working Group was a strategic move by Kumba to finally transfer all the power to the community.

Contrary to the views of the majority of the mine representatives, the majority of the community representatives thought that Kumba held all the power in the project, called the shots in decision making processes throughout all the phases of the project while dismissing the community members when they initiated ideas to empower the community through the project. They also believe that if the community had been given equal decision making powers with Kumba, they would have made effective decisions to better the poor socio-economic conditions of the community.

The youth and the refusers shared the view that in the Dingleton resettlement project, power sharing occurred between the mine, the local government and 'the outsiders' referring to the consultants, instead of power-sharing happening between Kumba and the community. The youth also added through a member, that:

That was what the social labour plan was meant to do, it was supposed to give the community the opportunity to make their own input. The community was supposed to have the power to say what they wanted to happen, but in this case Kumba went to mislead the government and the community. Even if you go check their plan for resettlement, the community is not being mentioned in the plan. Other people who are not even residents of Dingleton, made decisions on behalf of the community.

The above discussions reveal that the majority of the mine representatives and some community representatives thought that there was some level of power sharing between the mine and the community in the Dingleton resettlement project, although most of the respondents also emphasized that the power sharing was not equal between the community and the mine. In contrast, the majority of the community representatives held an opposing perception that the community did not have power in the running of the project.

Conclusion on Shared Power

The theory stated that ideally, the community and the mine should both have power in the decision making process, equal responsibilities and leadership roles in the project, but that the community must have the final say in all matters that has a direct influence on them. However, the findings of the study revealed that the community did not have a final say in matters that concerned them,

instead, Kumba held the majority of the power in the decision making process. This is evident in how the RWG community representatives had more voting power only in terms of numbers in negotiations between the mine and the community; however the final say in decisions were often made by the steer-com made up of Kumba's senior management committee and/or the Northern Cape Local Government.

The literature review emphasized that within the participatory approach's phenomena of empowerment, power can be changed, shared or expanded to individuals or communities with little or no power (2.5.2). The findings in this study highlight the lack of distribution of power within the project; this is evident from the clearly undefined responsibilities of the community in the project or lack thereof, as well as their only identifiable leadership role in the project being limited to the role played by the six community representatives in the RWG committee. In conclusion, the mine failed to provide the community shared power in the project.

4.2.4.3 Self-reliance

Self-reliance means that the community must be given the opportunity to independently participate in the project as well as use their own resources to enable them to sustain themselves beyond the life of the project and go on with their lives independently from the mine (3.3.7).

According to the community representatives, the project did not give the community the opportunity to participate in any process of the project including contributing their ideas on how the project can empower the community. They indicated that although the majority of the community members lacked skills and their own resources, the community had proven, even before the project started, their own strength and independence to provide for themselves. When asked how they will ensure their independence and self-reliance beyond the life of the project, the community representatives conveyed mixed perceptions. The elderly community and the OCP renters indicated they will strive to sustain their lives as they did before the Dingleton resettlement project because the project did not improve their lives as they had hoped it would. The elderly community representatives indicated that due to lack of access to information, the majority of the community missed out on opportunities that would have helped them to sustain an improved lifestyle once the project had ended.

Similarly, the youth and the refusers indicated that their lives had not improved but instead the project placed the community, especially the underprivileged people who make the majority of the community, in a more vulnerable situation. According to the youth, the living expenses such as

purchasing of prepaid water have left a lot of the community members worse off than they were in Dingleton. A youth member was quoted saying:

They put them in the environment where they are going to remain poor. For instance, the White City people now have to go around asking for R20 to buy water or drink dirty water from the tanks. Or they go steal water from other people's taps.

In addition, the refusers and the RWG expressed similar views hoping that the post-resettlement plan would be the solution to sustaining the community's livelihoods beyond the life of the project. Further, they noted that in order for the post-resettlement plan to be effective in improving the lives of the community, it must be a joint venture between the community and the mine. The refusers, however, expressed their concern for the post-resettlement plan to be articulated clearly and shared with the community as a whole.

Differing from the views of the community members, the RWG identified the community's strength as its willingness to sustain themselves beyond the life of the project hence the post-resettlement plan needs to be lead forward by the community. One of the RWG made the following statement: "But the community is more than willing, there's a lot of poverty in that community. So they are waiting for Kumba to provide them with opportunities, but it's still need to be looked into."

On the other hand, the mine representatives believe that, not only did the project give the community opportunities to participate in the project, it also improved the lives of the community and gave them opportunities to further better their lives beyond the life of the project. They indicated that the project has so far improved the lives of the community by improving the quality and values of the houses, bringing the community close to amenities such as shops and clinics, empowering the community through business and employment opportunities as well as ensuring that the homeowners do not endure rates and taxes for the next 25 years.

The mine representatives also expressed their concerns whether the majority of the community will be able to sustain their lives because of their dependency on Kumba and lack of skills. The community relations manager stated:

The community has always been dependent on the project. They did not better themselves and always relied on mines. The mines made means and exceptions for the community and could not employ everyone in the community, or most, due to lack of skills. The community is now realizing their shortcomings. They had hopes the project will bring them better lives and make them more rich from additional compensation.

Similarly, the project manager believes that most homeowners proved to be more independent and in ownership of their lives than the renters even before the project. The following is his view about the lack of independence in the renters:

So, in terms of the renters, after this project we created more people that's dependent on the government or Kumba. Now we've moved people to Kathu, the rental market in Kathu is much higher than it was in Dingleton. So we are actually now sitting with the situation, there's now a lot of renters that now can't afford rent in Kathu because they can't afford the rent that people are charging. Which is now actually creating a lot of vulnerable people, people that don't know where to go.

On the other hand, the SD Officer believes the community, particularly the SMMEs developed by the project will be able to sustain themselves beyond the life of the project. She made the following statement:

At one stage there was a lot of negative talk, like "we don't know if the business will survive, we don't know if the people will survive" but I think there are really some strong people in this community, taking into account that the sustainability budget was taken away basically a year ago, and last year we were only doing reporting and checking how these guys were doing. They had existing businesses and developing other businesses and I wasn't there to help them, not that I know everything, and even the hub wasn't there. But they just did it on their own, they are survivors.

The mine representatives further indicated that the project was currently in the phase of handing over the project from the project team to Kumba's public affairs department, which will be responsible for ensuring the sustainability of the community beyond the life of the project. The project manager added:

This is now where we got what we call the post-resettlement working group, elections that we are now holding, we want to establish a committee from the people that have already moved to Siyathemba. This is also part of the hand-over process to our social development department or public affairs department so that they can then take them further, hold their hands until they are sort of independent. So it's not that we as the project we just walk away from them and we leave them, we are busy now with the handover process from the project to the mine and they will form part of the system that the mine has put in place in terms of how they are dealing with all the communities around the mine.

In addition, the community legal representative also believes that when Kumba and the community finally finalize other sustainability matters such as the request the community made over shares,

profit sharing and additional compensation, the community may be able to be self-reliant beyond the lives of the project.

The above discussions reveal that some of the community representatives thought that the project did not give the community the opportunity to participate in the project in order to enable them to be self-reliant beyond the life of the project. Similarly, some of the mine representatives also thought that the community were dependent on Kumba and are worse off because of the unresolved renting situation. Nevertheless, some of the mine representatives thought that the project gave the community opportunities and resources to participate in the project but the community itself lacked independency, their own resources and skills to be self-sustainable beyond the life of the project.

Conclusion on Self-reliance

Theory stated that the community must be given the opportunity to independently participate in the project as well as use their own resources that will enable them to sustain themselves beyond the life of the project and go on with their lives independent from the mine. The study findings reveal that the project did not give the community the opportunity to independently participate in the project. Instead, the mine mainly applied its own decisions and resources in running the project with limited contribution of the community into the project. This is evident from the limited participation by the community in decision making processes in all phases of the project. There is also lack of coordination and communication between the mine and the community regarding the post-resettlement phase although this phase is aimed at ensuring the sustainability of the community.

White (2003) emphasizes that communities must identify their own basic and essential needs, and aim to supply these needs with their own sustainable resources. He also advises that any assistance or knowledge shared by development agents must complement the knowledge and experiences the community already has (2.5.2). However, the findings of this study reveal that the Dingleton community lacked resources to use in order to sustain themselves beyond the life of the project, and as a result the community is dependent on the mine for provisions. It was also made evident that the majority of the community do not have their own resources that will enable them to sustain themselves beyond the life of the project, but instead, depend on their survival mode to sustain themselves.

4.2.4.4 Conclusion on Empowerment

Theory stated that for communication between the mine and the Dingleton community to bear effective results that facilitate empowerment, equal power sharing between the community and professionals appointed in the projects is required; and the community needs to gain self-reliance and take ownership of the programs that are intended to benefit them.

In addition, the results indicate that the project lacked organization and coordination between the mine representation and the community in their effort to empower the Dingleton community. The community did not have ownership of the project due to lack of their own resources as well as limited access to leadership roles and responsibilities in the project. The findings also revealed that the project, likewise, failed to distribute power equally between the community and the mine due to the strong authority the mine possessed throughout the phases of the project, particularly in decision making processes. Lastly, the findings revealed that the community lacks self-reliance beyond the life of the project due to limited resources.

4.4 CONCLUSION

This chapter discussed the findings derived from the empirical study, which included the semi-structured interviews and focus group discussions. During the analysis, the study attempted to use the theoretical statements to evaluate the findings of the actual communication process during the Dingleton resettlement project. Meanwhile, the study also provided the perceptions of both the Dingleton community and the Kumba project team with regard to the nature of communication during the project.

In most instances the principles of participatory communication for social change were not practiced during the Dingleton resettlement project. Amongst others, the study showed the lack of active participation by the community throughout the phases of the project, in the decision making processes and a lack of dialogue in the project.

Likewise, the project failed to accommodate and be sensitive to the community's cultural practices by respecting the community's histories and cultural understandings of the world. Last but not least, the study also revealed that the project lacked authentic empowerment in its attempt for the community' sustainable development. Power was unevenly distributed between Kumba and the community, more evidently in decision making processes. The community also lacked self-reliance and ownership due to a lack of their own resources as well as failure to address their socio-economic conditions..

In conclusion, the chapter aimed to answer specific research questions 2 and 3. Specific research question 2 asked the following question: *What are the perceptions of Kumba Iron Ore's mine representative regarding the nature of communication between the mine and the Dingleton community in the resettlement project?* (1.4.2). the findings of the study revealed that that the mine representatives' perceptions are that the nature of communication between the mine and the community adhered to a large extent to the principles of the participatory approach to communication for social change.

Meanwhile, specific research question 3 asked the following question: *What are the perceptions of the Dingleton community regarding the nature of the communication between themselves and Kumba Iron Ore in the resettlement project?* (1.4.3). The findings reveal that, the community's perceptions regarding the nature of communication between themselves and the mine are that it did not adhere to the principles of the participatory approach and can therefore not be considered as participatory communication

The next chapter provides the conclusions and recommendations derived from the empirical study

CHAPTER 5 CONCLUSIONS

5.1 INTRODUCTION

This study explored the nature of communication between Kumba Iron Ore and the Dingleton community during the Dingleton resettlement project. Chapter one introduced the background to the study as well as the empirical and theoretical context. In this chapter the problem statement, the research questions, research aims as well as general theoretical arguments were formulated, before an overview of the research methods applied in the study were given.

Chapter two focused on the literature review. It was argued that the participatory approach to communication for social change is the normative approach in this theoretical field and that communication in the context of the resettlement project between Kumba and the Dingleton community should adhere to the principles of the participatory approach. The aim of chapter two was to answer the following specific research question: *According to literature, which theoretical principles of the participatory approach are relevant to communication between Kumba Iron Ore and the Dingleton Community?* (1.4.1). In order to answer this question, the relevant theoretical principles were discussed before theoretical statements were formulated and the principles applied to communication between Kumba and the community.

Chapter three provided an explanation of the research approach and methods used to gather the empirical information for the study. The aim of this chapter was to assist the reader in understanding the motivation behind choosing the research approach and methods and to explain how the empirical study was conducted.

Chapter four presented the analysis and discussion of the empirical results of the study. The aim of this chapter was to answer the following specific questions:

- *What are the perceptions of Kumba Iron Ore's mine representatives regarding the nature of communication between the mine and the Dingleton community in the resettlement project?* (1.4.2).
- *What are the perceptions of the Dingleton community regarding the nature of the communication between themselves and Kumba Iron Ore in the resettlement project?* (1.4.3).

In chapter 4, the perceptions of the community representatives and the company's representatives were discussed in an integrated manner to show similarities and differences between their perceptions regarding the identified concepts and constructs.

The current chapter aims to answer the following general research question: *What is the nature of communication between the mine and the community in the Kumba Iron Ore's Dingleton resettlement project?* (1.3). This general research question will be answered by integrating the answers of the three specific research questions.

5.2 CONCLUSIONS: ANSWERING THE SPECIFIC RESEARCH QUESTIONS

In this section the specific research questions will be answered individually.

5.2.1 Theoretical Principles of the Participatory Approach to Communication for Social Change

This section focuses on answering the first specific research question: *According to the literature, which theoretical principles of the participatory approach are relevant to communication between Kumba Iron Ore and the Dingleton Community?* (1.4.1).

In order to answer this research question, a literature study was conducted to determine the principles of the participatory approach which are relevant to communication between Kumba Iron Ore and the Dingleton Community within Kumba Iron Ore's Dingleton resettlement project (See Chapter 2 for a discussion on the participatory approach to communication for social change).

In chapter two it was argued that the participatory approach is accepted as a normative approach to communication for social change. Unlike the modernization approach and dependency approach, the participatory approach called for an authentic involvement of the community in the development programme meant for them and forsaking a linear mode of communication. Thus, in this study, it was argued that the communication between the mine and the community should adhere to the principles of this approach namely, participation, dialogue, cultural identity and empowerment for the project to succeed in its development goals.

To answer this specific research question, the following theoretical statements were formulated to show how the principles of the participatory approach should be applied in the context of Kumba Iron Ore's Dingleton resettlement project.

Theoretical statement 1: Dialogue

For communication between the mine and the Dingleton community to be dialogical, there must be a process of two-way, horizontal communication where all partners have equal opportunity to talk, participate and listen to each other as equal voices to create mutual understanding through continuous reflection (2.5.1).

Theoretical statement 2: Empowerment

For communication between the mine and the Dingleton community to facilitate empowerment, there must be equal power sharing between the community and professionals appointed in the projects and the community must gain self-reliance and take ownership of the programs that are intended to benefit them (2.5.2).

Theoretical statement 3: Community participation

For communication between the mine and the Dingleton community to facilitate community participation, the community must be active participants in planning, implementation, evaluation as well as in all decision making in the programs that are aimed to benefit them (2.5.3).

Theoretical statement 4: Cultural identity

For communication between the mine and the Dingleton community to support cultural identity, the project must accommodate the community's cultural practices as well as being sensitive to and respecting the community's histories, social structures, value systems, and cultural understandings of the world (2.5.4).

The next section focuses on drawing conclusion on the findings of the empirical study that answered specific research question 2 and 3.

5.2.2 The Mine Representatives' Perceptions Regarding the Nature of Communication between the Mine and the Dingleton Community

This section focuses on answering the second specific research question:

What are the perceptions of Kumba Iron Ore's mine representatives regarding the nature of communication between the mine and the Dingleton community in the resettlement project? (1.4.2).

In order to answer this research question, semi-structured interviews were conducted with representatives of the mine, including the project manager, the community relations manager, the sustainable development officer and the community legal representative (3.4.2.1).

The concepts and constructs that were derived from the theoretical statement will be used as categories:

5.2.2.1 Community Participation

The following constructs were derived from the theoretical statement on community participation: active participants in planning, active participants in implementation phase, active participants in evaluation phase, active participants in decision making and responsibility (See Table 3.1).

The findings revealed that the mine representatives were of the opinion the whole community participated in the planning phase of the project by taking part in household surveys such as pre-feasibility and feasibility studies as well as attending community meetings (4.2.1.1). Likewise, the mine representatives thought that the community participated in the implementation phase of the project by agreeing to the resettlement and engaging actively in the consultation meetings about the payment of properties, stand sizes and replacement values (4.2.1.2).

Some of the mine representatives expressed their uncertainty on how the community is going to participate in the evaluation phase of the project due to a lack of information and coordination in the project (4.2.1.3). Similarly, other mine representatives acknowledged that the community was not engaged in all the decision making processes, but all of them thought that the community members were in fact actively involved in the negotiations that lead to the key decisions in the project (4.2.1.4).

Finally, the mine representatives were of the opinion that the community had a range of responsibilities in the project, which included accessing all the necessary information about the project available to them; attending community meetings and visiting the resettlement offices for any enquiries; negotiating their demands with Kumba as a community; and participating in all community surveys as well as the election of the RWG community representatives (4.2.1.5).

In conclusion, the perceptions of the mine representatives are that the community participated in the planning, implementation and evaluation phases of the project as well as in decision making. The mine representatives also believe that the community took some responsibilities in the project.

5.2.2.2 Dialogue

From this theoretical statement the following constructs regarding dialogue were identified: two-way communication, horizontal communication, mutual understanding and respect and continuous process (See Table 3.1).

In terms of two-way communication, the mine representatives describe that, other than the one-on-one consultations mostly between the homeowners and mine representatives, community meetings failed to provide a platform for a two-way communication in which the mine and the community could have equal opportunities to participate in discussions and to listen to each other. It seems as if the mine's representatives admit that there was not real two-way communication between the mine and the whole community (4.2.2.1).

With regard to horizontal communication, the majority of the mine representatives thought that the project ensured that the community as their major stakeholder had equal access to information and equal voices in all discussions and decisions. The community legal representative, however, felt that unlike other parties within the mine representatives team, the community legal representative team maintained a more direct form of communication with the community (4.2.2.2).

In terms of mutual understanding and respect, the mine representatives thought that they shared understanding of the information and situations in the project with the community and in the process built a good relationship based on honesty and trust. The majority however expressed that whilst they felt that they showed respect to the community from their side, they were not treated with the same level of respect by the community (4.2.2.3).

Finally, the mine representatives thought that the lines of communication stayed open and the community had the opportunity to engage in communication with the mine whenever they needed to. It is interesting to note that the mine representatives admitted that the community meetings stopped at one stage, but they viewed the one-on-one meetings as sufficient, even though not all community members were part of the one-on-one meetings (4.2.2.4).

In conclusion, the findings indicate that the mine representations generally thought that the project provided a process of two-way horizontal communication between the mine and the community, in which mutual understanding was facilitated.

5.2.2.3 Cultural Identity

The following constructs were derived from the theoretical statement on cultural identity: accommodation, sensitivity and respect (See Table 3.1).

With regards to the accommodation of the cultural identity of the community, the mine representatives thought that the project accommodated some of the cultural practices of the Dingleton community, although they admitted that the community's cultural identity was never a

point of discussion between the community and the mine on any communication platform (4.2.3.1).

In terms of being sensitive to the cultural identities of the community, the mine representatives admitted that the project had limited knowledge of the cultural practices. However, they believed the project was responsive to the needs of the community regarding their cultural practises. Other than the sustainable development officer, the representatives thought that the project was sensitive and aware of the diversity of the community, and accommodated it where necessary (4.2.3.2).

Finally, the majority of the mine representatives believed that the project was respectful to the cultural practices of the community considering the prohibition of some of those practices by the municipal bylaws in Kathu (4.2.3.3).

In conclusion, the findings of the empirical study show that the mine representatives were convinced the project was accommodative and sensitive to cultural practices of the community that were brought forward during the course of the project. They, however, indicated that the project had limited knowledge of the cultural identities of the community.

5.2.2.4 Empowerment

The following constructs were derived from the theoretical statement on empowerment: ownership, shared power and self-reliant (Table 3.1).

The mine representatives' perceptions differed with regard to the ownership the community had in the project. Some were of the opinion the project was structured in a way that ensured that the community take ownership of the project and that the majority of the community indeed took ownership of the opportunities the project provided them. Meanwhile other representatives considered that while the mine created such opportunities, the community chose not to use them to take ownership of the project (4.2.4.1).

In terms of shared power, the mine representatives thought that the project ensured power-sharing between the community and the mine through the formation of the governance structures like the RWG which allowed the community leadership roles in the project. In addition, the community legal representative thought that with the project nearing the end, the expansion of the Post Resettlement Working Group is a strategic move by Kumba to finally transfer all the power to the community (4.2.4.2).

Lastly, with regards to self-reliance of the community, some of the mine representatives believed the community are dependent on Kumba and are worse off because of the unresolved renting

situation. Meanwhile, another section of mine representatives were of the opinion the project gave the community opportunities and resources to participate in the project but the community itself lacked independency, their own resources and skills to be self-sustainable beyond the life of the project. The SD officer believes that the community, particularly the SMMEs developed by the project will be able to sustain themselves beyond the life of the project (4.2.4.3).

In sum, the findings indicate that the mine representatives thought that the community did not take opportunities that the project provided them to ensure ownership and shared-power in the project. Some of them also indicated that the community lacks self-reliance to take ownership of their lives beyond the life of the project.

In conclusion, the mine representatives consider the community to have participated actively in the resettlement project. Although they identified some problems regarding communication, they hold the idea the communication process resembles dialogue. In line with this, the representatives are under the impression that the mine respected and accommodated the cultural identity of the mine, even though it was not a specific focus of the project. Lastly, the mine representatives' perception regarding empowerment is that the project ensured distribution of power between the mine and the community and provided the community with opportunities to take ownership of the project. However, not all representatives are convinced that the community can function without future assistance from the mine. It seems as if all the representatives are not convinced that the community was empowered by the project.

Taking the above into consideration, it can be concluded that the mine representatives' perceptions are that the nature of communication between the mine and the community adhered to a large extent to the principles of the participatory approach to communication for social change.

Similar to this section, the next section discusses the perceptions of the community representatives regarding the nature of communication between the mine and the community in the Dingleton resettlement project.

5.2.3 The Community's Perceptions Regarding the Nature of Communication Between the Mine and the Dingleton Community

This section focuses on answering the following specific research question:

What are the perceptions of the Dingleton community regarding the nature of the communication between themselves and Kumba Iron Ore in the resettlement project? (1.4.3).

In order to answer this research questions, focus group discussions were facilitated with community representatives including the elderly community, refusers group, OCP renters, RWG members and the youth (4.3.2.2).

The concepts and constructs that were derived from the theoretical statement will be used as categories:

5.2.3.1 Community Participation

The following constructs were derived from the theoretical statement on community participation: active participants in planning, active participants in implementation phase, active participants in the evaluation phase, active participants in the decision making and responsibility (Table 3.1).

In terms of participation in the planning phase, the majority of the community members, other than the homeowners, thought that the whole community was not actively involved in the planning. Some of the community representatives believe that the mine had already set out a plan and made decisions on how the whole project would roll out before the community was consulted (4.2.1.1).

The majority of the community members, likewise, held the view that the community did not actively participate in the implementation phase of the project. Some of the community representatives even emphasized that the mine used force during the implementation phase. They indicated that the project forced the move on the community by closing shops, water and electricity which left people no choice but to move out (4.2.1.2).

In terms of the evaluation phase of the project, the majority of the community representatives expressed their uncertainty on how the community is going to participate in the evaluation phase of the project. It seems the community members were not convinced that they would participate in the evaluation process (4.2.1.3).

The majority of the community members, other than the RWG, were of the opinion that the whole community did not actively participate in the decision making process of the project. Meanwhile, the RWG members believed the community played a pivotal role in some of the decisions in the project, although not most (4.2.1.4).

Lastly, the majority of the community members indicated that the community was not given the opportunity to share the responsibilities of the project with the project team (4.2.1.5).

In conclusion, the majority of the community representatives did not consider the community to have fully participated in the planning and implementation phases, decision making processes nor

were they provided opportunities to take responsibilities in the project. Additionally, they felt uncertain as to how the community will participate in the evaluation phase of the project.

5.2.3.2 Dialogue

From this theoretical statement, the following constructs regarding dialogue were identified: two-way communication, horizontal communication, mutual understanding and respect, continuous process (See Table 3.1).

The community representatives shared similar views with the mine representatives regarding two-way communication between mine and the community (5.2.2.2). The majority of the community representatives thought that community meetings and one-on-consultations failed as a platform for two-way communication. They also indicated that the project did not provide them equal access to communication channels such as the one-on-one consultations it provided the homeowners (4.2.2.1).

The majority of the community representatives did not feel that there was horizontal communication during the course of the project due to lack of equal access to communication for all community members; and the mine having an upper hand in discussions and decision making processes (4.2.2.2). Likewise, the community did not believe there was mutual understanding and respect between the community and the mine. They indicated that the mine did not share understanding of the concerns and situations of the community, instead, they took advantage of their vulnerable situation (4.2.2.3). In addition, the community indicated that they did not feel respected by the representatives of the mine, because of the disrespectful way in which most people talk and manipulation and empty promises used by the mine.

On the topic of continuous process, the majority of the community representatives, other than the RWG, felt that the communication process was not accessible and similar for all community members. The community also stressed that the process of communication stopped once the mine got what they needed from the community (4.2.2.4).

In conclusion, the majority of community representatives indicated that the project failed to ensure consistent and equal communication processes for all community members. In addition, they are of the opinion that the project failed to facilitate mutual understanding and respect between the community and the mine.

5.2.3.3 Cultural Identity

The following constructs were derived from the theoretical statements: accommodation, sensitive and respect (See Table 3.1).

On the topic of accommodating cultural practices in the project, the majority of the community representatives, other than the RWG members found the project did not take into consideration the cultural diversity of the Dingleton community. Meanwhile, the RWG considered the project to have accommodated some of the cultural practices including replacement of churches, exhumation of graves and language barriers (4.2.3.1).

The majority of the community representatives believed the project was not sensitive to their cultural identity and lacked knowledge of the cultural practices of the community (4.2.3.2). Likewise, the community were of the opinion that the project was not respectful towards their wishes to preserve and practice their cultures (4.2.3.2).

In conclusion, the majority of the community representatives thought that the project was not accommodative, sensitive nor respectful to their cultural identities.

5.2.3.4 Empowerment

The following constructs were derived from the theoretical statement on empowerment: ownership, shared power and self-reliant (Table 3.1).

On the topic of ownership, the majority of the community representatives thought the project did not allow the community the responsibilities, leadership roles and involvement in decision making processes that could have provided the community the ownership of the project. Contrary to the majority view, the RWG and the elderly homeowners held the view that the project produced a lot of positive results the community gained from, such as more employment and business opportunities for the Dingleton community, improved housing and convenience in terms of amenities (4.2.4.1).

In terms of power sharing in the project between the mine and the community, the majority of the community representatives felt that no power sharing existed between the mine and the community. However, some community representatives believed t there was some level of power sharing between the mine and the community, but also admitted that most power was held by the mine, especially in decision making (4.2.4.2).

Lastly, on the topic of self-reliance, the majority of the community representatives emphasized that the community lacked skills and their own resources to gain self-reliance. They were adamant that the project did not give the community the opportunity to participate in the project in order to enable them to gain self-reliance beyond the life of the project (4.2.4.3). Meanwhile, the RWG and refusers were hopeful that the project will enable self-reliance of the community during the evaluation phase of the project (4.2.4.3).

The community representatives' overall perception regarding empowerment is that the project failed to provide the community ownership and distribute equal power between the community and the mine. They also felt that the community lacked the resources and skills necessary for self-reliance.

In conclusion, the community representatives' perceptions on community participation showed that they did not believe the community was actively involved in the project. Secondly, communication between themselves and the mine was not dialogical. Thirdly, they found that their cultural identity was insufficiently respected and accommodated in the project and finally, the majority of the community representatives are not convinced they were empowered by the project.

From this, it can be concluded that the community's perceptions regarding the nature of communication between themselves and the mine are that it did not adhere to the principles of the participatory approach and can therefore not be considered as participatory communication.

After answering the specific research questions, the answers to these questions can be integrated to answer the general research question.

5.3 CONCLUSION: ANSWERING THE GENERAL RESEARCH QUESTION

The following section answers the general research question: *What is the nature of communication between the mine and the community in the Kumba Iron Ore's Dingleton resettlement project?* (1.3).

This general research question is answered by integrating the theoretical framework of the literature review to the findings of the empirical study. The four theoretical statements and the concepts and constructs derived from them are used to answer the general research question.

5.3.1 Community Participation

From the theoretical discussion on community participation, the following theoretical statement was formulated to indicate how community participation should have been facilitated in the Dingleton resettlement project:

For communication between the mine and the Dingleton community to facilitate community participation, the community must be active participants in planning, implementation, evaluation as well as in all decision makings of the programs that are aimed to benefit the (2.5.4).

The overall perception of the mine representatives with regards to community participation is that the community participated in all the phases of the project including the decision making process. The mine representatives also believe that the community took to some responsibilities in the project (4.2.1).

In contrast, the overall perception of the majority of the community representatives on the concept of community participation is that the community was not equally and fully involved in the phases of the project and did not actively participate in the project. The community also felt that they had no clearly articulated responsibilities and their participation in decision making was very limited (4.2.1).

Given the strong reaction of the majority of community members, the study concludes that the project failed to facilitate sufficient community participation as reflected in the principles of participatory approach, due to lack of active participation by the community in the planning, implementation and evaluation phases of the project. Likewise, the project failed to actively engage the community in decision making or share responsibilities equally between the community and the mine.

Arnstein's ladder of citizen participation (Figure 1.1) was used as a benchmark for the community's participation in the project, and the findings indicated that the community's participation in the project did not reach the desired level of partnership, at which participation starts taking place.

5.3.2 Dialogue

The following theoretical statement was formulated during literature review to indicate how dialogue between the mine and the community in the Dingleton resettlement project should be:

For communication between the mine and the Dingleton community to be dialogical, there must be a process of two-way, horizontal communication where all partners have equal opportunity to

talk, participate and listen to each other as equal voices to create mutual understanding through continuous reflection (2.5.1).

The general perception of the mine representatives regarding dialogue between the mine and the community is that the project ensured constant communication with the community by providing the community access to information and opportunities to voice their concerns; which in turn created mutual understanding between the two parties. They, however, admitted to using some communication platforms that failed to facilitate two-way communication with the community (4.2.2).

Overall, the perception of the majority of the community is that the project failed to provide them with consistent and equal access to communication. The community members also argued that there was neither a continuous process of two-way, horizontal communication nor mutual understanding and respect between the community and the mine (4.2.2).

From the different perceptions on dialogue, it seems Buber's most desirable form of dialogue, which is genuine dialogue was not met by the project's communication between the mine and the community. The strong opinions from the community regarding the absence of two-way communication, acknowledgement of both parties that there was no continuous process of communication; and the perception from both parties that there was no mutual respect between them, are clear indications that communication was not dialogical. This lack of genuine dialogue between the community and the mine contributed to a lack of mutual understanding between the parties.

5.3.3 Cultural Identity

The following theoretical statement was formulated during theoretical discussions about cultural identity, in order to indicate how the project should ensure consideration of the community's cultural identity:

For communication between the mine and the Dingleton community to support cultural identity, the project must accommodate the community's cultural practices as well as being sensitive and respecting the community's histories, social structures, value systems, and cultural understandings of the world (2.5.4).

The general perception of the mine representatives regarding the concept of cultural identity is that the project had limited knowledge of the cultural identity of the community, however, they are of

the opinion that the project accommodated and was sensitive to most of community's cultural practices that were brought forward, in so far it was possible (4.2.3).

The perception of the majority of the community representatives is that the project did not accommodate and was not sensitive to the cultural practices, value systems and cultural understanding of the Dingleton community (4.2.3). They also stressed that the mine did not acknowledge the cultural diversity of the community (4.2.3).

Although the mine provided the community with some of the aspects of their cultural identity such as the replacement of churches and relocation of graves, it, however, did not embrace multiplicity – which insists on sensitivity and accommodation of diverse cultural practices of local communities. Instead, the project treated the cultural identity of the Dingleton community as homogenous. In conclusion, the project failed to be fully sensitive, accommodate and respect the cultural practices of the Dingleton project, even though a number of initiatives were implemented to show cultural sensitivity.

5.3.4 Empowerment

The following theoretical statement of empowerment was formulated during literature review to indicate how the project should facilitate empowerment of the community:

For communication between the mine and the Dingleton community to facilitate empowerment, there must be equal power sharing between the community and professionals appointed in the projects and the community must gain self-reliance and take ownership of the programs that are intended to benefit them (2.5.2).

The overall perception of the mine representatives with regards to empowerment of community is that the project provided the community ownership and power in the project, but the majority of the community did not make use of the opportunities provided to them. The mine representatives also thought that the community lacked self-reliance to function independently from the mine (4.2.4).

The general perception of the community on the concept of empowerment is that the community lacks resources and skills to sustain themselves. The community also held the view that the project failed to provide them with opportunities to sustain themselves beyond the life of the project and were therefore not empowered by the project (4.2.4).

In essence, the project failed to provide the community with the desired ownership of the project and failed to facilitate power sharing between the community and the mine. Furthermore, all

parties seem to agree that the community lacked self-reliance beyond the life of the project. It can therefore be concluded that the project did not facilitate empowerment as it is viewed within the participatory approach.

5.3.5 Conclusion on Answering the General Research Question

In conclusion, it is clear the community did not actively participate in the planning, implementation, evaluation or in any decision making in relation to the programs that were aimed to benefit them. Therefore, the initiative did not succeed in facilitating active community participation.

With regards to dialogue, communication between the mine and the Dingleton community did not adequately provide a continuous process of two-way, horizontal communication where all partners had equal opportunity to talk, participate and listen to each other as equal voices; to create mutual understanding through continuous reflection and therefore communication cannot be considered dialogical.

In terms of cultural identity, the project failed to fully accommodate, be sensitive to and respect the community's cultural practices, histories, social structures, value systems, and cultural understanding of the world.

Lastly, the project failed to facilitate empowerment of the community, since the community did not take ownership of the project and there was no equal power sharing between the mine and the community.

Therefore, it can be concluded that the nature of communication between the mine and the community, within the context of the Dingleton resettlement project, for the most part, did not adhere to the principles of the participatory approach to communication for social change and consequently the nature of communication cannot be described as participatory.

In answer to the general research question, it seems as if communication between the mine and the community regarding the Dingleton resettlement project leans more towards communication as proposed by the modernisation and dependency approaches. The project's lack of sensitivity to cultural identity of the Dingleton community is indicative of the modernization approach (2.3.2). Likewise, the nature of one-way, linear flow of communication between the mine and the Dingleton community is indicative of modernization and dependency approach (2.3.2).

5.4 LIMITATION OF THE STUDY

One evident limitation experienced is the inability of the study to report on the nature of communication between the mine and the community during the evaluation phase, due to this not having taken place yet.

It is also acknowledged that not all members of the community could participate in this qualitative study and the sample is not necessarily representative of the whole community, therefore the perceptions found cannot be generalised to the whole community.

5.5 OPPORTUNITIES FOR FURTHER RESEARCH

Since the evaluation phase of the Dingleton project has not yet taken place, the study recommends that further study be conducted on the nature of communication between the mine and the community during the evaluation phase of the project.

Further research could focus on designing a model of the participatory approach to communication for social change that is specific to mining resettlement projects. If this occurs, resettlement projects such as the Dingleton resettlement project could use the model as a guideline for implementation of the participatory approach when communicating with project affected communities.

Future studies could also examine the appropriate techniques that could assist the mine in facilitating community participation, dialogue, cultural identity and empowerment.

5.6 SUMMARY

This chapter aimed to answer the three specific research questions and the general research question of this study by drawing conclusions on the theoretical framework of the literature review and the findings of the empirical study. The findings of the empirical study were analysed using the literature review, in order to answer the general research question. This brought the study to the conclusion that the nature of communication between the mine and the community in the Kumba Iron Ore's Dingleton resettlement project does not fully adhere to the normative principles of participatory approach to communication for social change, but instead leans more towards modernization and dependency approaches.

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ANNEXURES

1. Annexure A: Solemn Declaration and Permission to Submit

SOLEMN DECLARATION AND PERMISSION TO SUBMIT

1. Solemn declaration by student

I, **Boitshoko Luka**

declare herewith that the thesis/dissertation/mini-dissertation/article entitled (exactly as registered/approved title),

Communication between the mine and the community in a mining resettlement project: A case study on the Kumba Iron Ore's Dingleton Project.

which I herewith submit to the North-West University, Potchefstroom Campus, is in compliance/partial compliance with the requirements set for the degree:

Master of Arts in Communication

is my own work, has been text-edited in accordance with the requirements and has not already been submitted to any other university.

LATE SUBMISSION: If a thesis/dissertation/mini-dissertation/article of a student is submitted after the deadline for submission, the period available for examination is limited. No guarantee can therefore be given that (should the examiner reports be positive) the degree will be conferred at the next applicable graduation ceremony. It may also imply that the student would have to re-register for the following academic year.

Signature of Student **Boitshoko Luka** Digitally signed by Boitshoko Luka
DN: cn=Boitshoko Luka, o=na, email=boitshokoluka@gmail.com, c=ZA
Date: 2019.03.11 17:44:41 +0200

University Number **26928108**

Signed on this **11** day of **March** of 20 **19**

2. Permission to submit and solemn declaration by supervisor/promoter

The undersigned declares that the thesis/dissertation/mini-dissertation complies with the specifications set out by the NWU and that:

- the student is hereby granted permission to submit his/her mini-dissertation/ dissertation/thesis:
 - Yes No
- that the student's work has been checked by me for plagiarism (by making use of Turnitin software for example) and a satisfactory report has been obtained:
 - Yes No

Signature of Supervisor/Promoter


Date
15/03/2019

2. Annexure B: Ethics Approval Certificate of Project



NORTH-WEST UNIVERSITY
YUNIBESITHI YA BOKONE-BOPHIRIMA
NOORDWES-UNIVERSITEIT

Private Bag X8001, Potchefstroom
South Africa 2520

Tel: (018) 299-4900
Faks: (018) 299-4910
Web: <http://www.nwu.ac.za>

**Institutional Research Ethics Regulatory
Committee**

Tel +27 18 299 4849
Email Ethics@nwu.ac.za

ETHICS APPROVAL CERTIFICATE OF PROJECT

Based on approval by Research Ethics Committee of the Faculty of Arts, the North-West University Institutional Research Ethics Regulatory Committee (NWU-IRERC) hereby approves your project as indicated below. This implies that the NWU-IRERC grants its permission that, provided the special conditions specified below are met and pending any other authorisation that may be necessary, the project may be initiated, using the ethics number below.

Project title: <i>Communication in community enqagement within a mining resettlement project: A case study on the Kumba Iron Ore's Dingleton Project</i>																																	
Project Leader:	Dr Elbé Kloppers																																
Student:	B Luka																																
Ethics number:	<table border="1"> <tr> <td>N</td><td>W</td><td>U</td><td>-</td><td>0</td><td>0</td><td>4</td><td>7</td><td>2</td><td>-</td><td>1</td><td>5</td><td>-</td><td>A</td><td>7</td> </tr> <tr> <td colspan="3">Institution</td> <td colspan="5">Project Number</td> <td colspan="2">Year</td> <td colspan="5">Status</td> </tr> </table>			N	W	U	-	0	0	4	7	2	-	1	5	-	A	7	Institution			Project Number					Year		Status				
N	W	U	-	0	0	4	7	2	-	1	5	-	A	7																			
Institution			Project Number					Year		Status																							
<small>Status: S = Submission; R = Re-Submission; P = Provisional Authorisation; A = Authorisation</small>																																	
Approval date:	2015-11-12	Expiry date:	2018-11-30																														
Category	N/A																																

Special conditions of the approval (if any):

- The questionnaire and interview schedule must be submitted to Dr. van Wyk for ethical evaluation.

General conditions:

While this ethics approval is subject to all declarations, undertakings and agreements incorporated and signed in the application form, please note the following:

- The project leader (principle investigator) must report in the prescribed format to the NWU-IRERC:
 - annually (or as otherwise requested) on the progress of the project,
 - without any delay in case of any adverse event (or any matter that interrupts sound ethical principles) during the course of the project.
- The approval applies strictly to the protocol as stipulated in the application form. Would any changes to the protocol be deemed necessary during the course of the project, the project leader must apply for approval of these changes at the NWU-IRERC. Would there be deviated from the project protocol without the necessary approval of such changes, the ethics approval is immediately and automatically forfeited.
- The date of approval indicates the first date that the project may be started. Would the project have to continue after the expiry date, a new application must be made to the NWU-IRERC and new approval received before or on the expiry date.
- In the interest of ethical responsibility the NWU-IRERC retains the right to:
 - request access to any information or data at any time during the course or after completion of the project;
 - withdraw or postpone approval if:
 - any unethical principles or practices of the project are revealed or suspected,
 - it becomes apparent that any relevant information was withheld from the NWU-IRERC or that information has been false or misrepresented,
 - the required annual report and reporting of adverse events was not done timely and accurately,
 - new institutional rules, national legislation or international conventions deem it necessary.

The IRERC would like to remain at your service as scientist and researcher, and wishes you well with your project. Please do not hesitate to contact the IRERC for any further enquiries or requests for assistance.

Yours sincerely

Linda du Plessis
Digitally signed by Linda du Plessis
DN: cn=Linda du Plessis, o=NWU,
ou=Vaal Triangle Campus,
email=Linda.duplessis@nwu.ac.za,
c=ZA
Date: 2015.12.08 19:36:08 +0200

Prof Linda du Plessis
Chair NWU Institutional Research Ethics Regulatory Committee (IRERC)

3. Annexure C : Confirmation of language editing

Lebohang Mojapelo
M.A English Literature
University of Western Cape
lebohangmojapelo@gmail.com
0815129773

March 14, 2019

Dear Boitshoko Luka

Re: Research report language editing

This is to confirm that I, Lebohang Mojapelo, edited your research report titled *Communication in community engagement within a mining resettlement project: A case study conducted at the Kumba Iron Ore's Dingleton project*.

Through my editing, I directly applied all language, grammatical and structural changes, without compromising the intended meaning. Please contact me if there are any queries or if I can be of further assistance.

Yours Sincerely
Lebohang Mojapelo