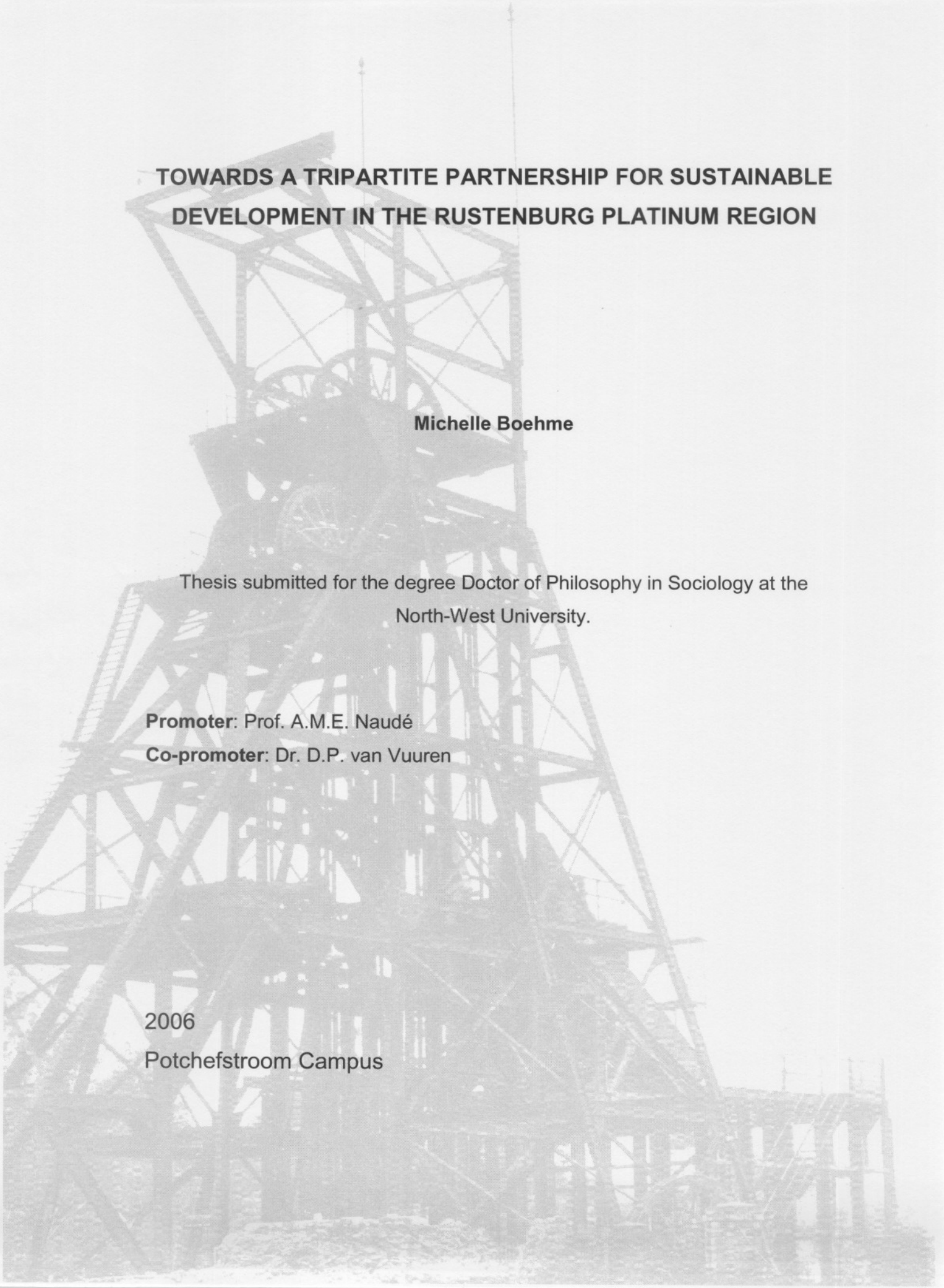

TOWARDS A TRIPARTITE PARTNERSHIP FOR SUSTAINABLE DEVELOPMENT IN THE RUSTENBURG PLATINUM REGION

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ABSTRACT

Development has always been problematic especially in the mining sector where it often takes place at a rapid pace. Not only is the physical environment influenced but other aspects such as legislation and the relationship between role players are also influenced.

The focus of this thesis is tripartite **partnership formation** between business, local government and the community for sustainable development in the Rustenburg platinum region. In essence the study was about answering the broad question of "how can one improve the chances of setting up a sound foundation, that in turn can lead to a successful, integrated, cooperative and unified partnership in the Rustenburg platinum region?"

In an attempt to answer the above, both a theoretical and practical approach was used. Functionalism and the exchange theory were used to set up practical guidelines for successful partnership formation. The thesis also investigated how appropriate these two theories are for the mining industry in South Africa today, i.e. they were validated against the data obtained from the study. In addition, other existing case studies in the mining industry were studied in order to validate the guidelines formulated from the two theories.

At a methodological level, expanded qualitative data analyses were applied in a comprehensive manner to ensure a close relationship between empirical data and theory. The empirical data was gathered both by desk research and by in-depth personal interviews.

The results of the study produced some models of how a partnership could be structured to function optimally. As part of the results an "ideal" model for the partnership in the Rustenburg platinum region was created and the set of guidelines was ranked according to its importance in the Rustenburg platinum region. Should these guidelines and this model be used the chances of setting up a successful, integrated, cooperative and unified partnership in the Rustenburg platinum region could be significantly increased.

KEY WORDS:

Tripartite partnership, business, government, community, joint forum, strategic alliances, social partnerships, collaborative partnerships, problem solving networks, joint structures, cooperation, collaboration, collective strategies, sustainable development.

OPSOMMING

Ontwikkeling was nog altyd problematies veral in die mynbousektor waar dit dikwels teen 'n hoë spoed plaasvind. Nie alleen word die fisiese omgewing beïnvloed nie, maar ander aspekte soos wetgewing en die verhouding tussen rolspelers word ook beïnvloed.

Die fokus van hierdie proefskrif is driesydige **vennootskapvorming** tussen die sakesektor, plaaslike regering en die gemeenskap vir volhoubare ontwikkeling in die Rustenburgse platinumstreek. In wese het die studie gegaan oor die beantwoording van die breë vraag "Hoe kan 'n mens die kanse verbeter om 'n hegte fondament daar te stel wat op sy beurt kan lei tot 'n suksesvolle, geïntegreerde, koöperatiewe en verenigde vennootskap in die Rustenburgse platinumstreek?"

In die poging om bogenoemde te beantwoord, is sowel 'n teoretiese as praktiese benadering gebruik. Funksionalisme en die ruilingsteorie is gebruik om praktiese riglyne op te stel vir suksesvolle vennootskapvorming. Die proefskrif het ook ondersoek hoe toepaslik hierdie twee teorieë is vir die mynindustrie in Suid-Afrika vandag d.w.s. hulle is getoets teen die data wat verkry is gedurende die studie. Verder is ander bestaande gevallestudies in die mynindustrie bestudeer ten einde die riglyne wat uit die twee teorieë geformuleer is, te bevestig.

Op 'n metodologiese vlak is uitgebreide kwalitatiewe data-analises gebruik in 'n omvattende wyse om 'n goeie verhouding tussen empiriese data en teorie te verseker. Die empiriese data is verkry deur sowel literatuurnavorsing as persoonlike in-diepte-onderhoude.

Die resultate van die studie het 'n aantal modelle opgelewer oor hoe 'n vennootskap gestruktureer kan word om optimaal te funksioneer. As deel van die resultate is 'n "ideale" model vir die vennootskap in die Rustenburgse platinumstreek geskep en die stel riglyne is gerangskik volgens hulle belangrikheid in die Rustenburgse platinumstreek. As hierdie riglyne en model gebruik sou word, sou die kanse vir die oprig van 'n suksesvolle, geïntegreerde, koöperatiewe en verenigde vennootskap in die Rustenburgse platinumstreek aansienlik vergroot.

SLEUTELWOORDE:

Driesydige vennootskap, besigheid, regering, gemeenskap, gesamentlike forum, strategiese alliansies, sosiale vennootskappe, samewerkende vennootskappe, probleemoplossende netwerke, gesamentlike strukture, samewerking, kollektiewe strategieë, volhoubare ontwikkeling.

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CHAPTER 1

Orientation, problem statement and aims of study

PROLOGUE

Development has always been problematic especially in the mining sector where it often takes place at a rapid pace. Not only is the physical environment influenced but other aspects like legislation and the relationship between role players are also influenced. In this thesis the economic, environmental and social aspects of development will be looked at.

The focus of this thesis is a tripartite **partnership formation** in the Rustenburg platinum region between business, local government and the community. In this chapter, the reader will be sensitised to the choice of discipline used to study the phenomenon of partnership formation, the history that led to the problem statement being formalised as well as the research questions and specific aims of the study. The methodology used will also be briefly summarised, as chapter four will have a detailed discussion on the methodology. Before the above-mentioned is discussed, a brief justification for the research being undertaken will be given.

The research was commissioned by Anglo Platinum[1]. The original brief Anglo gave the researcher was very broad and along the line of; "find out how responsive the role players would be towards a *joint forum*". The researcher wrote a proposal, broadly outlining how the concept test would be done. As Anglo had agreed that the researcher would do her thesis on the research data, other information was also gathered on partnership formation. Thus the research was not just undertaken for commercial reasons and had other practical and theoretical contributions (see p. 234-235).

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[1] It was specifically commissioned for their Rustenburg operation i.e. Rustenburg Platinum mines (PTY) LTD. In the rest of this thesis this role player will simply be referred to as Anglo.

1.1 Positioning of study within field of sociology

Fairchild (1965:302) defines sociology as: "The scientific study of the phenomena arising out of the group relations of human beings. The study of man and his human environment in their relations to each other". Fairchild also points out that there are various schools in sociology and that some of them stress the *relationship* themselves, i.e. the *interaction* and *association*, while others focus on the various *roles and functions* in society. In this study, both the relationships and the roles and functions were studied.

The *relations* and interactions between and within each of the three main groupings, i.e. business, local government and the community that make up the tripartite partnership in the Rustenburg platinum region were examined. Both the history of interaction and association that led to the present situation and the possibility of future *interaction and association* were addressed. Principles of how to strengthen these relationships, i.e. strengthen the cohesion/solidarity between role players were also formulated in chapters two and three. If one studies partnership formation, one needs to look at how one can strengthen the relationships between role players and how one can minimise the conflict in interaction. The *roles and responsibilities* of each of the role players were also looked at in chapter three.

Both functionalism and the exchange theory[2] were used to study the relationships, interaction and role assignment between the different role players in a tripartite partnership during the course of this study.

Although sociology is the main discipline used to study the phenomenon of partnership formation as discussed in this thesis, the study was inter-disciplinary in nature, with disciplines such as industrial psychology, economics, public management and communication being touched upon.

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[2] Both of these theories are prominently used in the field of sociology. In chapter two these theories will be discussed in more detail.

1.2 Definition of some key concepts

The most pertinent concepts used during the course of this thesis will briefly be discussed here, as they will be discussed in more detail in the chapters to follow, especially chapter three (literature review).

This study examined different types of social partnerships, with the emphasis on tripartite partnerships. The following broad definition would suffice to encompass the term **partnership**: "Partnerships is a term that can be applied to a wide variety of inter-organizational forums to share and exchange resources and information and to produce outcomes that one partner working alone would not achieve. In their broadest sense they include everything from informal forums... to formal systems" (USAID, 1997:189).

Tri–sector partnerships is described as a voluntary collaboration to promote sustainable development based on an efficient allocation of complementary resources across business, community and the government (NRC, 2003).

According to the last definition partnerships are not just about cooperation, but also about collaboration[3]. This implies that people do not just work together, but contribute something towards that relationship – a give and take. This links up very well with the following statement of the US Agency for International Development (1997:230): "Cooperation and partnerships can only be meaningful and effective if based on mutual interest and real potential or reciprocal benefits".

During the literature research done for this study it was found that the partners in the partnership were sometimes referred to as stakeholders and at other times as role players. A **stakeholder** is somebody who has a stake or interest in what an entity does. This stake is not always in capital, as one would rather talk about a "shareholder" than a "stakeholder". When talking about a "stakeholder", the stake might even be labour, or land or even consumer interest (McLean & McMillan, 2003:509). When one talks about a **role player** there is the underlying idea that there are specific rights and obligations assigned to partners (Jary & Jary, 1991:422; Hoult,

---

[3] Due to the fact that partnerships are about cooperation and collaboration, both functionalism and the exchange theory were used to explore the phenomenon of partnership formation.

1969:276). In this study the partners are stakeholders as they have a stake or interest in the partnership that is not always financial. However, they are also role players. As discussed in great detail in chapter three (p. 105-106) there will be roles/duties assigned to the different partners. As there is such an emphasis on the assignment of roles for a successful partnership, the term "role player" will be used in the thesis. The only times an exception was made, was in the literature review chapter, where the term "stakeholder" was used at times, where the original source used it. It should also be noted that the respondents interviewed used these two terms as synonyms.

According to the literature research, most of the proposed study fell within the first stage of forming any partnership. The US Agency for International Development Resource Guide (1997:118) refers to this stage as the **incipient** stage.

This study focussed on the **incipient**/first stages of a **partnership** between three main categories of role players (**tripartite**) in order to try and obtain **sustainable development** for all.

According to Marais *et al.* (2001:72) **sustainable development** encapsulates tree strands of meaning, viz.:

- Balanced economic growth
- People-centred development
- Environmental management

Thus in essence for development to be sustainable the economic, social and environmental factors need to be considered. Hence the fact that this study looked at economic, social and environmental needs/problems in the Rustenburg region.

1.3 Background of study

As development has become a key issue in the world today the concept of partnership formation in order to address development issues has also become imperative.

On an international level the trend of partnership formation for development came to the fore strongly at the United Nations (UN) conference at Rio de Janeiro held in

1992 (UN, 1992). This trend of thought was also evident throughout the World Summit on Sustainable Development held in Johannesburg during 2002 and is encapsulated by the following words in an article written by Schmitt (2002:65) during the World Summit "But the dominant tone was ... pro-partnerships...there's a recognition that no single group is going to be able to do this alone".

The emphasis on partnership formation has not just been on an international level, but also on a national level in South Africa. This was already evident in the Reconstruction and Development Programme's (RDP) principle that stated that any development process must integrate all levels of the state together with non-governmental organizations (NGOs) and community–based organizations (CBOs) (Lyons *et al.*, 2001:1239). Chapter three in the South African Constitution (Act 108 of 1996) titled "Co-operative Government" advocates co-operation between all spheres of government (South Africa, 1996). In chapter seven about "Local Government" one of the objectives stated is "to encourage the involvement of communities and community organizations in the matter of local government" (South Africa, 1996). The Municipal Structures Act (MSA) of 1998 and the Integrated Development Plan (IDP) are other examples where the importance of partnership formation is stressed in the statutory environment of South Africa in general (Zybrandts, 2002). In the mining industry specifically the Mining Charter of 2002 places emphasis on ownership and participation of historically disadvantaged South Africans (Department of Minerals and Energy, 2002).

It is not just government driving this new mindset. According to the Commonwealth Business Council (CBC, 2003:3), "good corporate citizenship" can contribute significantly to sustainable development. In fact, corporate citizenship is defined as "*the process of identifying, analyzing and responding to the company's social, political and economic responsibilities* as defined through law and public policy, stakeholder expectations, and corporate values and business strategies" (James, 2000:8). For corporate citizenship to work effectively there needs to be a participatory approach between business and the other role players. To this effect Anglo has a thirty page Stakeholder Engagement Policy stating one of their objectives as follows: "Developing partnerships with key stakeholders in addressing social, economic and environmental matters of common interest" (Khambula, 2002).

Although the idea of partnership formation is at the core of development and a common trend currently, recent South African history shows a severe lack of understanding of and commitment to partnership formation as a strategy for sustainable development, especially in the mining industry.

Historically the relationships between and within the role players in the South African mining industry were tumultuous and characterised by conflict. There was *government* imposing labour laws on the business sector (or so it was perceived). The *community* complained about the mines that just dump their waste and pollute the environment without a thought for the people. To this effect a community-based organization, "*Save the Vaal Environment*", took Sasol Mining to court and won a landmark ruling where mines have to ensure that the effects on the environment be taken into consideration in the planning of all future mining projects (Anon, 1999). Bennett (2003:12) also wrote an article entitled "AngloPlat faces pollution battle" in which Anglo was accused of causing such severe pollution, that it was making local children sick.

Not only were there inter-relationship strains between the three categories, i.e. business[4], local government and the community but to add to all these complexities the intra-relationships were also strained. For example within the business sector labour would strike and the platinum mines viewed each other as competitors for market share. Russel (1996:19-20) wrote an article titled "Amplats: platinum price more worrisome than strike" where the effects of the platinum price on a producer compared with the effects of labour trouble was discussed. Often the various role players viewed each other as adversaries where each of them tried to get the better of the other.

The history discussed above also influences partnership formation in the Rustenburg platinum region. To complicate matters even more, Rustenburg is presently viewed as the fastest growing city in Africa (Rustenburg municipality, 2005:19). Thus there is an influx of people to the city and surrounding areas and this can cause problems as the infrastructure needed to support not only the people but also expanding economic activities like mining is inadequate. Not only is there an impact on the

[4] For the purposes of this study labour was categorized with business.

actual physical environment but there are also many social problems that accompany the economic and environmental problems. In fact, the economic, environmental and social problems are so interlinked that it would be difficult if not impossible to separate them. Some of the problems currently experienced are informal settlements, migrant workers, pollution, prostitution and a lack of sufficient amenities. Although these are problems that are experienced in all developing regions, due to the pace of developments in Rustenburg there are some fears that development might not occur in a systematic, planned and sustainable fashion. The following statistics serve to illustrate the above discussion.

- According to The Bureau of Market Research (BMR), it is estimated that the Rustenburg local municipality will have a population of 452 500 by the end of 2005 and 514 700 by 2010 (Rustenburg municipality, 2002:23). Thus according to this growth estimate there will be an additional 62 200 people in a mere five years. Considering that there is already a lack of infrastructure (illustrated by the example of lack of piped water and flush toilets, see some bullet points below) this will just add to the burden.
- Socio-economic surveys indicate that there has been a growth of 17% in the informal areas between 1995 and 1999 (Rustenburg municipality, 2002:24). As the population is still expanding at a rapid rate (see bullet point above) this housing problem has the potential to become worse.
- Only 83% of households in the Rustenburg local municipality have piped water[5] (Rustenburg municipality, 2005:24).
- According to The Demarcation Board, only 44% of people in the Rustenburg local municipality have flush toilets (Rustenburg municipality, 2002:42). It only stands to reason that the lack of piped water (bullet point above) and the lack of flush toilets could lead to other health hazards.
- 77,2 % of the Rustenburg economic activities is related to the mining and quarrying industry (Rustenburg municipality, 2005:23). Thus much of the development in the Rustenburg region centres on the mining industry.

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[5] Be that piped water inside dwelling, inside yard or on a community stand.

The most prominent role players that can help solve these problems and contribute to sustainable development in the Rustenburg platinum region are business, government and the community. Due to the fact that there will always be scarce resources some conflict will exist between the role players, however an interest in *cooperation* and partnerships is emerging in Rustenburg following the international and national trend.

1.4 Problem statement

In the light of the above, this study looked at how the problem of a history of inadequate cooperation and collaboration in the Rustenburg platinum region could be overcome, in order to increase the odds of establishing a strong unified partnership. The study centred on the first step in the establishment of a tripartite partnership between business, government and the community in the Rustenburg platinum region. Thus in essence the study was about answering the broad question of " *how can one improve the chances of setting up a sound foundation, that in turn can lead to a successful, integrated, cooperative and unified partnership in the Rustenburg platinum region?*"

Having a mindset change towards partnership formation is just the start as there are practical issues that need to be addressed. What role players must do to unify (*integrate*) themselves into a *collaborative and cooperative* partnership, as well as what they should do to stay together (*cohesion/solidarity*) was studied[6]. The partnership would be based on shared social, economic and environmental needs ensuring sustainable development in the region. The role players' attitudes, perceptions and expectations towards business, government and the community working together (tripartite partnership) on economic, environmental and social needs to ensure sustainable development for all, was gauged (also see illustration seven on p. 70). All of the above is also encapsulated in the title of this thesis: "Towards a tripartite partnership for sustainable development in the Rustenburg platinum region". Although a definition of each of the central concepts that make up

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[6] Not only was the phenomenon of partnership formation studied but in chapter seven recommendations on how to achieve an integrated, collaborated, cooperative and cohesive partnership will be given.

the title has been given in this chapter, the title and what it entails will be discussed in more detail in chapter three (literature review).

1.5 Research questions

Bearing the focus of the study in mind, it was structured in an attempt to answer the following questions:

- How could both functionalism (cooperation) and the exchange theory (collaboration) be applied as a practical guide for the formation of a partnership?
- How could a partnership best be harmonised and unified (integrated), as well as stabilised and maintained (solidarity/cohesion) in the Rustenburg region?
- To what extent had the partnership progressed during the first stage of the implementation in the Rustenburg region?

1.6 Goals

Specific goals were formulated to answer the above-mentioned questions. They are listed as follows:

- To determine how functionalism and the exchange theory could be applied as a practical guide in partnership formation by formulating principles from these theories;
- To determine what could be done to optimise the harmony and unity as well as the stability and maintenance of a partnership in the Rustenburg region, once the role players' attitudes and perceptions had been gauged;
- To briefly explore the course of the partnership, once the process had commenced in the Rustenburg region.

1.7 Theoretical frameworks

To study the cooperation needed to form a successful tripartite partnership *functionalism* provided useful assumptions on how each role player could contribute to the functioning of the whole/partnership.

Partners would be more willing to cooperate if the output balanced with the input into the relationship. This is promulgated by the *exchange theory* and therefore the assumptions of this theory were also applied in this study.

1.8 Central theoretical arguments

From the functionalist theory perspective social systems consist of different interdependent parts or subsystems. Each of these parts/subsystems performs an important function to ensure the survival of the system. The system strives towards a state of equilibrium and if one part changes, the rest reorganise to bring the system back to harmony/equilibrium (Wallace & Wolf, 1995:16-68).

According to the exchange theory people are rational and base their actions on what they perceive as the most effective means to achieve their goals. People are therefore always looking at the relationship between their cost/investments and the rewards in any interaction situation (Wallace & Wolf, 1995:289-342).

Both of these theories were applied to the research problem in order to establish a tripartite partnership in the Rustenburg platinum region. Functionalism was used to investigate how role players should cooperate in order to survive. The exchange theory in turn was used to look at the distribution of resources and rewards, as these aspects are integral parts of cooperation. In the theoretical chapter, some principles of what could inhibit or enhance the success of a partnership were formulated from the two theories.

1.9 Methodology

Although most of the research was interpretive, some form of critical research was also done in so far as some recommendations are given in chapter seven. There were also traces of action research, in the hope that the study would be the first step in the formation of an actual partnership between the role players. With action research you "pursue action (or change) and research (or understanding) at the same time" (Dick, 1999). According to Marshall (1998, 4) action research consists of the following actions:

- An *investigation* of (a) problem(s), i.e. the case study in this thesis and an attempt to answer all the questions set out in the *problem orientation* section.
- A presentation of the *results* to the subjects with some proposed solutions. To this effect a feedback session was given to all the participants and after completion of this thesis the recommendations in chapter seven will also be given to them.
- *Implementation* of results. As this case study focussed on the first stages of a partnership, the implementation was limited to this stage at first.
- Further investigation to *assess outcomes*. To this effect there were some follow-up interviews after a few months, to ascertain how the process of partnership formation was faring in the region.

As the focus of the study was tripartite partnership formation in the **Rustenburg platinum region**, one deals with a case study. Thus many of the data analyses were qualitative in nature. El Ansari *et al.* (2001:222) states that "qualitative methods...are required to describe the change process and answer the why and how collaboration works".

1.9.1 Research/Methods

In-depth interviews that are questionnaire-based were used.

1.9.2 Sample and data collection

Since the study was aimed at a restricted population, non-probability sampling was used, combining judgemental and snowballing procedures. Initial respondents in each of the three categories (business, government and the community) were identified with the help of Anglo Platinum Rustenburg as they already had a broad idea of who the role players were and could also give the researcher some contact details to start from. Even though the universe was restricted, due to funding limitations, the snowballing procedure was not used to infinity but within the boundaries budgeted for.

Once the process of partnership formation had started, some of the original respondents were re-visited to ascertain how the partnership formation was doing. This was done on a limited scale as partnership formation is a timely process and it

had not evolved too far during the course of the writing of this thesis. If the partnership started off badly, it could however impact on the rest of the process. Thus there are further research possibilities once the partnership has had some time to make real progress.

Interviews were recorded with the participants' permission. Furthermore, the four aspects of research ethics as outlined by Bassey (1999:73-74) were followed throughout the research process: respect for democracy, respect for truth, respect for persons and conducting research so as not to hamper future enquiries of other researchers.

1.9.3 Data analyses and validation

Qualitative content analyses on the interview data was done, thus the researcher became very intimate with the data. Themes/concepts (Flick, 2002:185-188) were identified and coded and was later put into categories as patterns and trends emerged (a pattern is a relationship among categories). Thus inductive research was done as the categories and patterns emerged from the data rather than being imposed on the data. Both similarities within (intra) and similarities between (inter) the expectations of the groups (business, government and the community) were noted. Some peers were also asked to look at the coding structure to ensure as much objectivity in the formation of codes as possible. Differences were also noted. Categories were also formed for the analyses of the data in terms of the principles formulated in the theory and literature chapters – here the analyses was deductive as the conceptual framework around these principles was set.

Validation of research results (the role players' expectations, attitudes and opinions) was done by data triangulation in that the research studied the expectations and opinions of all the involved parties. Arksey and Knight (1999:27) note: "In relation to data sources, another key feature is that the researchers have made efforts to document as many perspectives as possible". Triangulation is thus not always about obtaining the same answer from various sources, but about ensuring that all sides have been heard. Theoretical validation was also done as information obtained from the theories, literature research and actual case study was compared.

To try and validate the data further a research journal was kept for research notes and for critical self-reflection in the hope that the researcher would be able to be more objective after some introspection.

As mentioned before, there was also a feedback session with all the participants about the results in the form of a workshop at the end.

1.10 Chapter allocation

Now that this chapter has placed the reader in the framework of the study, i.e. given a general overview, it is an opportune moment to look briefly at the rest of the chapter allocations for this thesis.

Chapter two comprises a theoretical framework discussion based on both functionalism and the exchange theory.

In **chapter three** there will be a literature review of the different types of social partnerships with the emphasis on tri-partite partnerships, steps in the formation of a partnership (especially step one) and some principles (what works and what does not work) for partnership formation. The literature research will not just be done in general, but will focus on partnerships in the mining industry.

In **chapter four** the methodology and collection of data are discussed in detail.

In **chapter five** some general results are presented.

Chapter six comprises the results/interpretation based on the principles formulated in the theory and literature chapters.

The final chapter, **chapter seven** includes conclusions and recommendations based on the analyses of the data and the literature review.

CHAPTER 2:

Theoretical framework: functionalism and exchange theory

PROLOGUE

In this chapter functionalism and the exchange theory will be discussed. Although there will be a separate section to discuss each, the two theories often overlap or complement each other to such an extent that aspects of the one theory might be discussed under the section of the other. In fact there are often lengthy discussions about how the two theories seem to include aspects of each other naturally. However even though these two sections might not be mutually exclusive, the flow of the discussion and the links between the theories will be harmonised so as not to confuse the reader.

Reason for choice of theories

The choice of these two theories can be motivated on general academic grounds as well as from a more sociological point of view.

From an academic point the two theories fit the subject matter being studied. The subject matter of this study was the formation of a tripartite partnership in the Rustenburg platinum region. As discussed in chapter three (see p. 70) the partnership in the study will most probably end up in the format of a forum. A forum is nothing more than a structure and to truly understand any structure, one needs to look at the needs that precipitated the formation of a structure or needs that led to changes in a structure. If one understands the needs, one will understand the *function* and if one understands the function, one will understand the structure. Thus from an academic point of view functionalism was an applicable theory to use in an attempt to grasp the subject matter being studied. The exchange theory complements functionalism well as reciprocity/exchange is needed for a structure consisting of various interdependent parts to function in harmony.

As discussed in chapter one (see p. 4) the aim of this partnership is to try and solve shared social, economic and environmental needs in a way that would lead to

sustainable development for all in the region. According to the definition of sustainable development (Chapter three, p. 75) the needs of the current and future generations should be considered. This can lead to conflict as needs differ and resources are limited. To solve this conflict, *cooperation* is needed. This cooperation quite often takes the format of negotiation, where a *win-win* situation is seen as the ideal outcome. According to the **functionalists** the various parts of a whole need to *cooperate* for survival and according to the **exchange theorists**, humans try to *gain/win* something from exchange transactions. Thus both functionalism and the exchange theory seem to be an appropriate choice when it comes to interpreting the data of this study. The type of research questions asked in the questionnaire will also be linked to the two theories in chapter four (see discussion of appendix T on p. 120).

It should also be noted that both theories have a long history and some academic standing.

There has been a long tradition of functional explanations being used when studying societies (Scott & Marshall, 2005:232). In fact Henslin (1999:20) notes functionalism as one of the three major theories sociologists use. In the 1970s some interest in functionalism as a theory was lost, but in recent years it has been revived (Scott & Marshall, 2005:234).

The exchange theory can be traced as far back as the 18th century. This theory does not just feature prominently in sociology, but also in the political and economic sciences (Scott 7 Marshall, 2005:546).

As the rest of this chapter will be devoted to a discussion of both of the above-mentioned theories, more of the academic reasoning for the choice of theories will become apparent. In chapter six and seven these two theories will be discussed at some length again.

As a sociologist it would also be remiss of the writer not to take into account that our culture influences us. What people look at (subject matter of study), the research methods (including the research questions) and the interpretation of what they find (theories) are based on their metaphysical view of the world. Van der Walt (1999:12-13) states that there are various dimensions to *culture* and that our view of life or reality can be seen as one of the deeper layers of culture.

Functionalism as a theory was also chosen as it best confirmed the researcher's own metaphysical view of life. Looking for parts of a system and for links between them seems to come naturally and with ease. In fact if one looks at the definition of "analyse", it seems that whenever one analyses a phenomenon, one is being a "functionalist" without even realizing it.

To analyse:

- to take apart or break down the whole into its component parts
- to examine or consider in detail the component parts or features of the whole (Craig *et al.*, 1994:6).

The exchange theory also conformed well to the researcher's view of reality that life consists of give and take.

Although both these theories can be used to try and better our understanding of the subject matter, it is also true that other theories could for that matter do the same and here the conflict theory[7] in particular comes to mind. Perhaps now that some space has been used on explaining why the two theories have been chosen, it would be an appropriate moment to explain why the conflict theory will not be used. Another researcher could well have chosen the conflict theory as focus and found much to substantiate this theory by using the same results. Thus although the researcher is aware of the bigger picture (i.e. that there are other theories and ways of looking at interaction) the focus of **this** study will be on functionalism and the exchange theory. This does not mean that the *concept* of conflict will be ignored, as it is part of everyday interaction. Where it can be linked to functionalism, i.e. as functional conflict or as a dysfunction or negative function that needs to be corrected in order for the system to function in harmony or to return to equilibrium, it will be included.

The social context/time a study is done in can be of such a nature that one theory can be a better fit than another at that particular time. Currently people in the Rustenburg platinum region are more cooperatively inclined. It thus seems that many of the people are moving away from focusing on conflict in interaction, to focusing

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[7] Although the conflict theory will not be used in this thesis the reader can obtain detailed information on this theory from Wallace and Wolf (1995:75-180).

more on cooperation. According to Fairchild (1965:285) "The chief forms of social interaction are opposition (including competition and conflict) and cooperation".

El Ansari and Phillips (2001a:127) are also of the opinion that conflict theories are more appropriate where there are diverse goals and values and that cooperation takes place when there are shared goals. Thus as this study looked at partnership formation on the basis of **shared** social, economic and environmental needs, it seems more appropriate to focus on cooperation than conflict.

Sociological concepts to be emphasised

Further reasons for choosing the exchange theory and functionalism will become clearer once the theories have been discussed in more detail. Specific emphasis will also be given to the sociological concepts of **cooperation**, **integration** and **cohesion/solidarity.** How these concepts link to the phenomenon being studied (i.e. partnership formation) will be discussed throughout this thesis. The linkage between these concepts and the two theories chosen will also be discussed either in the text or as footnotes at times.

Integration can be defined as "that social process which tends to harmonize and unify diverse and conflicting[8] units, whether those units be elements of personality, individuals, groups or larger social aggregations" (Fairchild, 1965:159). **Cohesion/solidarity** can be defined as "the stability of social organizations" (Fairchild, 1965:278) or as the Concise Oxford Dictionary puts it a "tendency to remain united; sticking together" (Sykes, 1976:194). Ekeh (1974:75) also defines solidarity as "the product of interaction between the processes of differentiation and integration". **Cooperation** in turn can be defined as "any form of social interaction in which personalities or groups combine their activities, or work together with mutual aid, in a more or less organized way, for the promotion of common ends or objectives, in such a way that the greater the success of one party to the interaction, the greater the success of the other party or parties[9]" (Fairchild, 1965:68).

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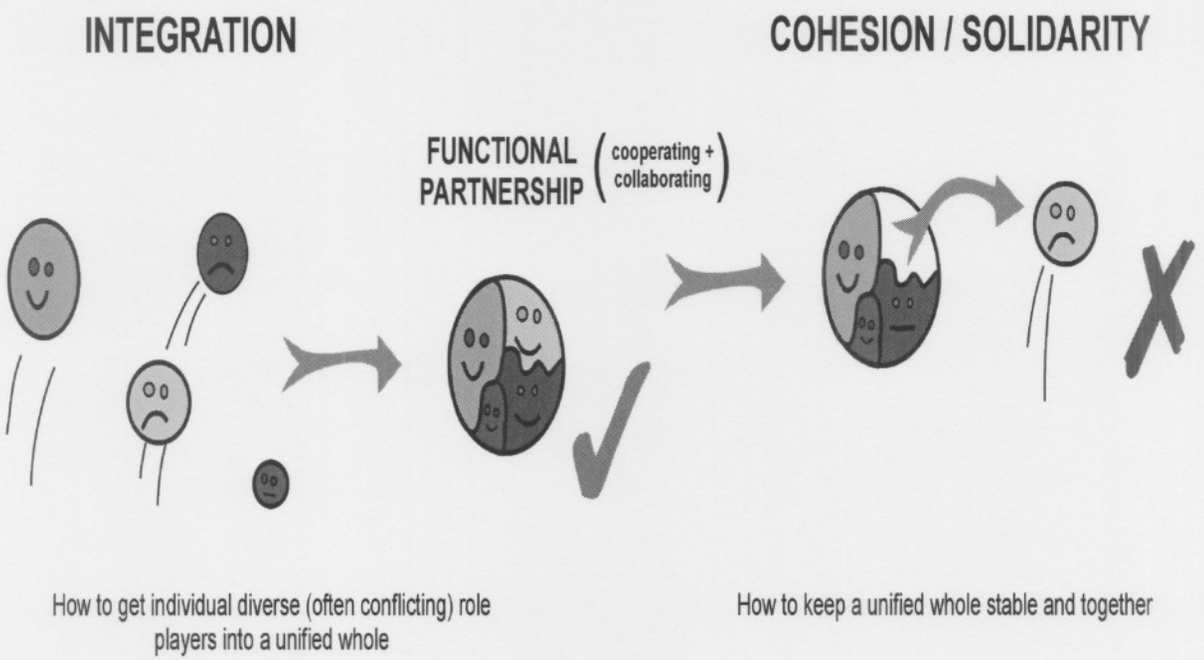
[8] Even in the definition of integration, the concept of conflict appears. Thus it seems that even by definition, they are not mutually exclusive

[9] Even in the definition of cooperation, elements of the exchange theory are found e.g. the exchange of success between parties.

These concepts can be linked to the phenomenon being studied, i.e. partnership formation. The integration of role players is needed to form a functional partnership, where all the role players can collaboratively cooperate. A partnership can also only stay functional if there is cohesion/solidarity (see illustration below).

ILLUSTRATION 1: THE TASK OF INTEGRATION AND COHESION IN PARTNERSHIP FORMATION



Some sociology and anthropology theorists will now be discussed in more detail under the exchange theory and functionalism. These theorists will be discussed approximately according to the time line of the work they published where possible. Where there are similarities between the theorists to be discussed, not much space will be spent reiterating the same ideas. However if the one theorist adds something to an already mentioned fact or contradicts it, more space will be expended on the discussion.

There are many more functionalists and for that matter exchange theorists than the scope of this thesis covers. However, the main idea was to look at the foremost theorists and to formulate some broad principles of what is needed for a functional partnership.

After the discussion of each theorist, principles[10] (as gleaned from the theories) will be summarised. The principles are guidelines, i.e. some "dos and don'ts" that need to be heeded in order to increase the chances of a successful partnership. In some instances these summaries may be put in broader terms so as to facilitate generalisation, but none of the essence of what the theorist said will be lost or compromised in any way. These principles will again be referred to in chapter six, where some of them might be combined and re-numbered. As one progresses through the theorists, one finds that the principles formulated under one often link or add to principles formulated under another and to assist in the flow of discussion through the consecutive theorists, it is not always possible to combine principles in this chapter without some confusion. Links will however be pointed out and principles combined where possible in this chapter, i.e. where the combinations are logical and do not impede the flow of the discussion. When principles are finally combined in chapter six, it will also be pointed out clearly.

Before the discussion of individual theorists a broad outline of functionalism and the exchange theory will be given.

2.1 FUNCTIONALISM

According to functionalists, a social system consists of different parts or subsystems. Each of these parts performs an important *function* to ensure harmony and equilibrium in that system (Henslin, 1999:23). This leads to a stable and integrated social unit. Functionalists are of the opinion that each part contributes to the survival of the system/whole (Schaefer & Lamm, 1995:18). For the social system to survive, its needs should be met. The parts of the system are interrelated and a change in one part leads to a change in the other parts/system. However if there is a change, parts will reorganise to bring things back to normal/equilibrium (Wallace & Wolf, 1995:18). When all parts fulfil their function, the system is in a "normal" state

[10] Principles formulated from functionalism will be noted as F-principles and those formulated from the exchange theory as E-principles. Later in chapter three L-principles will be formulated from the literature research.

(Henslin, 1999:23). To maintain order in a system or to restore a system to equilibrium, shared values/ value consensus is needed [11](Wallace & Wolf, 1995:19).

Some functionalists do acknowledge that all the parts in a system do not always contribute to the stability in the system. "A ***dysfunction*** refers to an element or a process of society that may actually disrupt a social system or lead to a decrease in stability" (Schaefer & Lamm, 1995:19). Some functionalists state that values can be functional or for that matter dysfunctional for the whole or parts of it and Merton even speaks of a "net balance[12] of functional consequences" (Wallace & Wolf, 1995:60). Here the idea of what is seen as functional to one individual can be seen as dysfunctional to another and vice versa comes to the fore. This type of functionalism reminds one more of the conflict theory, than the usual "conservative" functionalism, where a dysfunction is seen as a disruption of the system that should be corrected in order for the system to return to equilibrium. After discussing some functionalists and just before the exchange theory will be discussed, the idea of functional conflict or cooperation as a conflict behavioural style will be explored in more detail.

In sum, functionalists are of the opinion that a group is a functioning whole, with each part related to the whole. "Whenever we examine a smaller part, we need to look for its functions and dysfunctions to see how it is related to the larger unit. This basic approach can be applied to any social group [system], whether an entire society, a college, or even a group as small as a family" (Henslin, 1999:24).

Some individual theorists will now be discussed and a summary of principles given after each.

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[11] Under the section of Coleman (p. 65-67) the importance of values and norms will be summarized. Throughout the discussion of both functionalism and the exchange theory these concepts are repeatedly mentioned.

[12] Although Merton is a functionalist, this idea is reminiscent of that of some exchange theorists i.e. that you should set up a type of balance sheet, where you would subtract your inputs from your outputs in order to ascertain if you are on the credit or debit side of the page. Here you would subtract the "dysfunctional" from the "functional" in order to obtain a net balance of how functionally sound your system is. It should just be remembered that what can be on the "functional" side of one person's page, can be on the "dysfunctional" side of another person's page and thus they might not arrive at the same "net balance of functional consequences".

2.1.1 H. Spencer

In the history or emergence of functionalism both Comte and Spencer come to mind. Both had an evolutionary idea of society and "it was Spencer who converted Comte's vague analogies into rigorous sociology" (Ritzer, 2003:73). Spencer viewed social systems much like a living and growing organism[13]. With the growth, an increase in complexity and differentiation in structure occurs. The differentiation in structure leads to a differentiation in function.

For any social system to survive and remain viable, it needs to do the following (Ritzer, 2003:73-74):

- All systems must be able to obtain and transform resources.
- All systems must replace members and symbols in order to maintain the individual units and the whole.
- All systems must control and coordinate activities[14].
- All systems must be able to distribute resources, information and individuals throughout the whole.

The whole/system can only be understood in terms of the operation of specific structures, each of which has a function for maintaining the social whole. To understand the function, the needs of the system must be understood (Turner & Maryanski, 1979:10).

Principle F1: Links to principle L12 (see appendix D) *Social systems are growing organisms that evolve with time. Thus nobody can expect a fully functional partnership from day one. Any partnership will go through stages.*
Principle F2: Links to principle L8 (see appendix D) *For a partnership to survive it needs to obtain and distribute resources.*

[13] In chapter three the evolution/phases of a partnership will be discussed.

[14] In order to coordinate, cooperation is needed

Principle F3: Links to principle E2 and E7 (see appendix C) *For a partnership to survive role players need to be replaced when necessary and be made aware of the values and norms that form the basis of the partnership.*
Principle F4: Links to principle E29 and L7 (see appendix C and D) *For a partnership to be successful, role players must coordinate their activities.*
Principle F5: Links to principle E6 and L4 (see appendix C and D) *For a partnership to be successful both the needs and functions of the individual role players and the whole should be understood.*

2.1.2 E. Durkheim

Modern functionalism had its origins with Durkheim. According to him there was mechanic solidarity in traditional societies due to the integrative force of the "conscience collective". This collective conscience depends on the existence of individuals sharing beliefs, values and norms (Ashley & Orenstein, 1998:118). However as traditional societies became industrialised more division of labour occurred and organic solidarity/integration developed. Organic solidarity occurs when members become specialists and in so doing become dependent on each other, i.e. they need to cooperate to survive. Cooperation is nothing more than the participation in a common task[15] and reciprocity[16] is possible only where there is cooperation. If this cooperation is divided into tasks qualitatively similar, but mutually indispensable there is a simple division of labour in the first degree as found in traditional societies. If the tasks are of a different character, i.e. highly specialised, there is a compound division of labour as found in industrialised societies (see table below) (Durkheim, 1964:124).

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[15] In the partnership discussed in the case study done for this thesis, sustainable development for all is the one common task all role players work towards.

[16] According to Sykes (1976,933) **reciprocity** is a practice of give-and-take. This links well with the exchange theory.

TABLE 1: INTERPLAY BETWEEN DIFFERENTIATION AND INTEGRATION/SOLIDARITY IN DURKHEIM'S THEORY

Simple division of labour	**Compound division of labour**
*Structural differentiation	*Functional differentiation
Mechanic solidarity/integration	**Organic solidarity/integration**
Traditional society	Industrial society
Conscious collective/common values integrate	Division of labour, new basis for solidarity

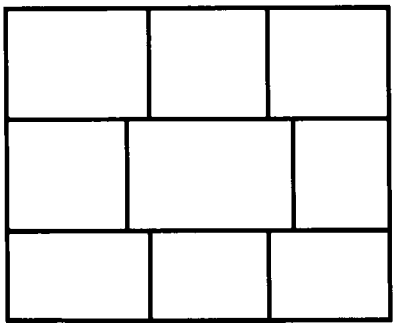
**The difference between structural and functional differentiation will be briefly looked at here. Under the discussion of Levi-Strauss (see p. 51-52) restricted exchange and generalised exchange and how these forms of exchange link to structural and functional differentiation will be discussed.*

Structural differentiation leads to mechanic integration and functional differentiation leads to organic integration. Although structural and functional differentiation is part of the functionalism discussion here, it will be discussed again under the exchange section as the two theories complement each other well and the logic of the link between the two will become even clearer once more detail of the exchange theory has been read.

2.1.2.1 Structural differentiation

Here the whole is made up from similar segments. "This organization, just like the horde, of which it is only an extension, evidently carries with it no other solidarity than that derived from resemblance, since the society is formed of similar segments and these in their turn enclose only homogeneous elements. No doubt, each clan has its own character and is thereby distinguished from others; but the solidarity is proportionally weaker" (Giddens, 1972:142). Thus in (laymen's terms) structural differentiation can be seen as a puzzle that consists of pieces that all basically have the same shape, if not the exact same size (see illustration below) and due to this the integration and cooperation between segments are weak.

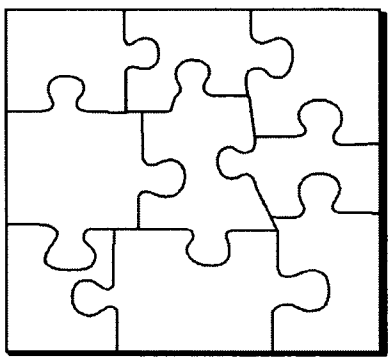
ILLUSTRATION 2: STRUCTURAL DIFFERENTIATION LEADS TO MECHANIC INTEGRATION



2.1.2.2 Functional differentiation

Here the whole is made up of segments that differ. "These are formed, not by the repetition of similar, homogeneous segments, but by a system of different organs each of which are themselves formed of differentiated parts. Not only are social elements not of the same nature, but they are not distributed in the same way" (Giddens, 1972:143). Thus (in laymen's terms) functional differentiation can be seen as a puzzle that consists of pieces that are not all the same shape (see illustration below) or size and due to this integration and cooperation between segments are strong.

ILLUSTRATION 3: FUNCTIONAL DIFFERENTIATION LEADS TO ORGANIC INTEGRATION



According to Durkheim (Turner & Maryanski, 1979:16) there needs to be solidarity/integration in order for social systems to survive. As we can surmise from the above, there will be more solidarity in functional differentiation than in structural differentiation. Durkheim states that to understand a structure, one needs to look at how a given structure meets the integrative needs of the larger system (Turner & Maryanski, 1979:16). However he cautions us that the function of a social fact, i.e.

the role it plays in regard to the individual/the whole's needs should not be confused with the cause, i.e. what brought it into existence (Ritzer, 2003:198). This statement seems to be in total contradiction to the following line from p. 14 of this chapter "A forum is nothing more than a structure and to truly understand any structure, you need to look at the needs that precipitated the formation of a structure".

Durkheim though might have found that it is not as easy as it seems to discern the needs of a structure from the cause in day-to-day life. These two are often interrelated and to unbundle the two often becomes impractical if not impossible. To this end Turner and Maryanski (1979:135) are of the opinion that one should not become too caught up in the exercise of separating the history/cause of a structure and the needs. They rather feel that a structure operates "to resolve problems faced by humans and therefore, 'do something for' social systems" (Turner & Maryanski, 1979:135).

See principle F3 again: (appendix B) *For a successful partnership, shared values and norms are important.*
See principle F4 again: Links to principle L7 (see appendix B and D) *For a partnership to survive role players should work together, i.e. cooperate.*
Principle F6: *A partnership based on functional differentiation has a higher level of cohesion, integration and cooperation than one based on structural differentiation. However without some form of integration, no partnership will survive.*
See principle F5 again: (appendix B) *To understand a partnership (that consists of various individual role players) one will have to understand the needs of the whole.*

2.1.3 A.R. Radcliffe-Brown

Radcliffe-Brown was of the opinion that there are necessary conditions that need to be met for social integration to occur. He lays particular emphasis on two such conditions i.e. *consistency* and *continuity*[17]. Herewith a brief discussion of each:

[17] The importance of consistency and continuity will again be discussed in chapter three.

(1) the need for social systems to evidence "consistency" of structure, meaning: the establishment of clear rights and duties over things and persons so as to avoid conflict (Turner & Maryanski, 1979:42).

(2) The need for social systems to reveal "continuity," meaning: the maintenance of rights and duties[18] between persons so that interaction can proceed smoothly and regularly (Turner & Maryanski, 1979:42).

For any structure to function the above-mentioned two conditions will have to be taken into account.

Principle F7: Links to principle F3, E28, L17 and L29. (see appendix B, C and D)

For a partnership to survive there must be consistency and continuity. For these two conditions to be met, clear rights and duties should be assigned to role players. The role players should also not vary from day to day as this complicates the maintenance of the roles and duties.

2.1.4 B. Malinowski

This theorist will also be discussed again under the exchange theory section. Although the issue of needs has been discussed in section 2.1, Malinowski orders them in a hierarchy/ladder. The first step in this ladder is biological needs. The second step on the ladder is social structural/instrumental needs and lastly there is symbolic/integrative needs (Turner & Maryanski, 1979:48-54).

2.1.4.1 Biological needs

These are the individual impulse-satisfaction type of needs i.e. hunger, thirst, pain, etc. As this thesis is not in the discipline of biology, this need will not be discussed in detail.

2.1.4.2 Social structural needs

As humans become organised to meet needs, social institutions are formed. These institutions are organised activities among humans that have a definite structure. All

[18] This reminds one of the exchange theory, where people expect to get something i.e. "rights" in this instance and in exchange give something i.e. "duties" in this instance.

institutionalised structures share the following similarities (Turner & Maryanski, 1979:49-50):

- Each has role players.
- Each has defined reasons, purposes, and goals.
- Each has a set of norms on how the role players should behave.
- Each has typical activities/roles[19] that its role players are to perform.
- Each reveals resources such as tools or facilities for conducting the activities.
- Each institution has a function, i.e. it meets some need of its members or of the culture as a whole.

Some of the above reminds one very much of what Spencer said about what a social system needs to survive as discussed on p. 21 of this chapter.

Malinowski, unlike Durkheim and Radcliffe-Brown (both discussed above) however, was not so focussed on the need for integration in social institutions. According to Malinowski there are four basic "instrumental" needs or prerequisites a social institution needs to fulfil, if it is to remain a viable structure (Turner & Maryanski, 1979:53). All four these needs must be met, however, quite often one of these needs are met more often than the others. These four needs are presented in the table below and will be discussed again under section 2.1.6 as they link well with Parsons's four-functional paradigm.

[19] In chapter three the importance of roles will be discussed in great detail.

TABLE 2: MALINOWSKI'S INSTRUMENTAL NEEDS/NEEDS ACCOMPLISHING SOMETHING FOR HUMANS (TURNER & MARYANSKI, 1979:53)

Economics The cultural apparatus of implements and consumers' goods must be produced, used, maintained, and replaced by new production.	**Social control** Human behaviour, as regards its technical, customary, legal or moral prescription must be codified, regulated in action and sanctioned.
Education The human material by which every institution is maintained must be renewed, formed, drilled and provided with full knowledge of tribal condition.	**Political organisation** Authority within each institution must be defined, equipped with powers and endowed with the means of forceful execution of its orders.

2.1.4.3 Symbolic/Integrative needs

As humans organise on a collective basis in order to deal with their biological and instrumental needs, they create a set of symbols. Malinowski was of the opinion that these symbols have an integrative function. Thus although he did not focus on integration quite as much as Durkheim, he did see it as a derived need that holds institutions together (Turner & Maryanski, 1979:54). He isolates three of these derived integrative needs as follows:

> "(1) the need for members... to transmit a system of principles[20] for dealing with the world around them. (2)The need for members of a society to have a sense that they control their destiny and change events in the world around them. And (3), the need for members of a society to share a 'communal rhythm' in their activities and lives." (Turner & Maryanski, 1979:54)

Principle F8: Links to principle F5, E6, E29 and L9 (see appendix B, C and D).

Social organizations (like a forum) are formed to meet the needs of the role players. There also needs to be a purpose or goals that the forum works towards.

[20] These are nothing more than values.

See principle F3 again: Also links to principles E20, F9 and F18 (see appendix B and C) *Partnerships have values and norms that role players have to conform to. New members need to be socialised to accept these norm, i.e. internalise them. Those who do not conform should be sanctioned.*
See principle F2 and principle F5 again: Also links to principle E6 (see appendix B and C) *Resources are needed for a partnership to survive and both the needs of the separate role players and that of the whole should be met.*
Principle F9: Links to principle E20 and L13 (see appendix C and D). *Through the use of power, the role players can be made to conform to the norms.*
Principle F10: Links to principle L36 (see appendix D) *The role players in a partnership need to feel that they are part of the group. They also need to feel that they have some control over their destiny.*

2.1.5 R. K. Merton

Much like the other functionalists, Merton is of the opinion that a system can only survive if its needs are met. However, he feels that the needs differ from system to system and therefore must be established for each system. Thus, unlike Malinowski, he does not identify prerequisite needs that he feels each system should fulfil. Instead he feels that needs or requisites should be empirically established, as each system is unique[21]. Something else that makes his approach to functionalism interesting is the fact that unlike some other functionalists he feels that one cannot assume that unity/integration exists in all systems. The fact that there is unity/integration in a system cannot be a prior assumption; it needs to be the product of a careful investigation[22] (Turner & Maryanski, 1979:63-67).

As mentioned earlier in this chapter not all functionalists ignore conflict or feel that all parts have a positive contribution to the whole. Merton is conspicuous when it comes to this (in some ways he is perhaps more of a middle range theorist, than a pure functionalist). Merton addresses the fact that *dysfunctions* can and do occur.

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[21] In chapter three the idea that each partnership is unique, will be discussed again.

[22] Part of the goals of this study will also be to see how the partnership in the Rustenburg region progresses in the first stage. Once a partnership has been formed, one cannot just assume it will work/function as a unity.

Schaefer and Lamm (1995:19) define dysfunction as "an element or process of society that may actually disrupt a social system or lead to a decrease in stability...[that] should not automatically be interpreted as negative. The evaluation of a dysfunction depends on one's own values, or, as the saying goes, on 'where you sit'."

In fact Merton talks about the *net balance of consequences* of an item. "This assessment involves determining if an item of concern has positive... negative... or no discernible consequences for various system referents...Functional analysis thus becomes a kind of 'balance sheet'..."[23] (Turner & Maryanski, 1979:66).

When he looked at the functions, Merton also looked at *manifest functions* and *latent functions*. "**Manifest functions**[24] of institutions are open, stated, conscious functions. They involve the intended, recognized consequences of an aspect of society...By contrast, **latent functions**[25] are unconscious or unintended functions and may reflect hidden purposes of an institution" (Schaefer & Lamm, 1995:18-19).

Another contribution Merton made to functionalism is the conjecture of *functional alternatives.* The gist of this idea is the fact that not just one institution can fulfil a function or alternatively stated an alternate structure can have the same function [26](Turner & Maryanski, 1979:63-67).

See principle F5 again: Also links to principle E8 (see appendix B and C) *For a partnership to survive, the needs of the whole should be met.*
Principle F11: Links to principle L5 (see appendix D) *For a partnership to be successful, the role players should be aware of the fact that each partnership is unique and that the needs of their partnership may differ from the needs of another partnership.*

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23 The functionalism and exchange theory complement each other quite effectively as one can assess the degree to which balance of functions, promotes or retards social change and stability.

24 For example the manifest function for the partnership in the Rustenburg platinum region is sustainable development for all.

25 An example of a possible latent function of the partnership in the Rustenburg region is the building of social ties.

26 Although the partnership in the Rustenburg region looks like it might end up in the format of a forum, another format could also work.

Principle F12: Links to principle L23 (see appendix D) *For a partnership to survive the role players should be aware of the fact that a partnership is not without its conflicts. It is not about the conflicts, but how they are overcome and what impact they make.*
Principle F13: Links to principles F8 and E29 (see appendix B and C) *In most partnerships there are openly stated/set goals, however some indirect/unplanned goals can also be attained.*
Principle F14: *For a partnership to be successful, it need not always be in the format of a forum i.e. an alternate structure can perform the same function.*

2.1.6 T. Parsons

The concept of a system is core to Parsons's theory. He started with his theory of action, where he postulated that an *actor* (either a single person or a collectivity) would be motivated to achieve a desirable goal. This action takes place in a situation where the resources to achieve this goal and the obstacles[27] that can hinder the achievement of this goal should be considered (Wallace & Wolf, 1995:30). Parsons also identifies four subsystems of action and these will briefly be discussed here (Wallace & Wolf, 1995:328-30).

2.1.6.1 Cultural system

Here the focus is on shared values. A society [or for that matter any social group] share values and these values are perpetuated in the group by the fact that members are socialised in these values and they internalise them[28]. The process of socialisation then becomes the integrative force that binds the whole. Once again the idea of integration/cohesion/cooperation can be seen as the golden thread throughout most of the work of the functionalists. Thus in essence this cultural system is nothing more than a system of symbols that is created and used by humans.

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[27] In the Rustenburg case study the respondents were emphatically asked to list all the hurdles that would need to be overcome to achieve a partnership (see question 27-28 on appendix A).

[28] The formation of a partnership takes time i.e. it evolves. One cannot expect to have a 100 % functional partnership from day one. This will be discussed in chapter three again.

2.1.6.2 Social system

Here the focus is on role interaction. According to Parsons "A social system consists in a plurality of individual actors interacting with each other in a situation which has at least a physical or environmental aspect, actors who are motivated in terms of a tendency to the 'optimization of gratification[29]' and whose relation to their situations, including each other, is defined and mediated in terms of a system of culturally structured and shared symbols" (Wallace & Wolf, 1995:29). For a social system to function it needs to meet the following two requirements (Turner & Maryanski, 1979:72):

> (1) The social system must have "a sufficient proportion of its component actors adequately motivated to act in accordance with the requirements of its role system"
>
> (2) "The social system must seek to avoid a situation in which cultural patterns' either fail to define a minimum order or place impossible demands on people and thereby generate deviance and conflict'"

Thus in essence the social system is all about the roles and positions *actors* are expected to play.

2.1.6.3 Personality system

Here the focus is on the individual need or motivation for satisfaction. As this thesis is not in the discipline of psychology, this system will not be discussed in more detail.

2.1.6.4 Behaviour/organismic system

Here the focus is on the physical being and the physical environment in which they live. As this thesis is not in the discipline of biology, this system will not be discussed in more detail.

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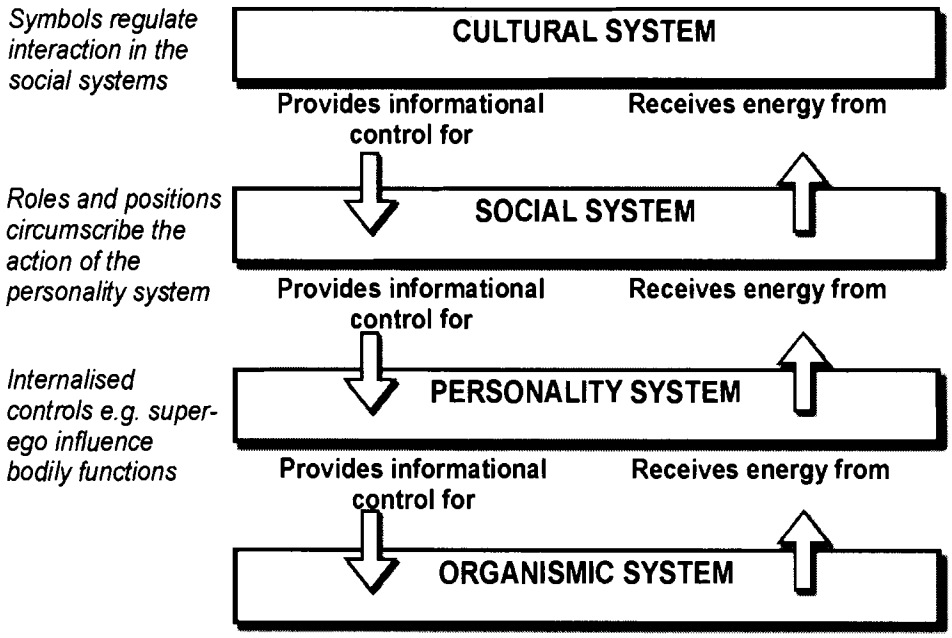
[29] Some exchange theorists also postulate that when we engage in an exchange situation, most of us would try to optimise our own gain.

Relationship between four subsystems discussed above

There is a relationship between the cultural, social, personality and behaviour systems and Parsons sees this interaction as a hierarchy of control where the one system provides information and the other system receives energy (Turner & Maryanski, 1979:80-81). Thus in a way there is a type of exchange taking place between these systems (the exchange idea often comes through as a subsection within functionalism).

In this hierarchy of control the cultural system and the symbols[30] in this system regulate the interaction in the social system. The roles and positions of the social system lead to action in the personality system and the internalised controls (such as the super-ego) influence the bodily functions of the organismic system. The organismic system in turn provides the energy for the personality system and so forth (see illustration below from Turner & Maryanski, 1979:81).

ILLUSTRATION 4: THE CYBERNETIC HIERARCHY OF CONTROL



For the above four subsystems of action to function, they must fulfil four basic prerequisites/functional imperatives. The four prerequisites are adaptation, goal attainment, integration and latency (Turner & Maryanski, 1979:75) and are exemplified in the table below.

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[30] Once again the importance of norms are inferred to.

TABLE 3: AGIL/FOUR–FUNCTIONAL PARADIGM

Adaptation *Institution*: Economy *Medium*: Money/markets *Action system present in*: Organismic	**Integration** *Institution*: Law *Medium*: Influence (capacity to persuade) *Action system present in*: Social
Goal attainment *Institution*: Government *Medium:* Power (capacity to induce/coerce conformity) *Action system present in*: Personality	**Latency (pattern maintenance & tension management)** *Institution*: Family/education *Medium*: Commitment to roles *Action system present in*: Cultural

These four requirements need to be met if a social system is to survive and will briefly be discussed here.

2.1.6.5 Adaptation

In order to survive each social system needs to adjust/adapt to its broader social and non-social environment[31] (Steyn & Van Rensburg, 1987:151). To be able to do this the system has to search for resources from its environment and convert it to usable facilities. The system must not just have the ability to find these resources, but it should also have the ability to distribute them throughout the system (Turner & Maryanski, 1979:75). There are traces of the exchange theory within functionalism as these resources are often scarce and need to be exchanged (Steyn & Van Rensburg, 1987:151). Within each of the functional requirements there are also institutions that help with the optimal performance of each requirement and the institution mostly involved in adaptation is the economy (market). Adaptation as a functional requirement also reminds one of the *economic* instrumental need as discussed under Malinowski.

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[31] In the case study both the social and non-social environment is looked at as the social, economic and environmental factors are considered.

2.1.6.6 Goal attainment

In all social systems there are one or more aims/goals that need to be achieved through the cooperation of the members (Steyn & Van Rensburg, 1987:151). Thus the system must set goals/priorities and allocate resources in order to achieve them. The institution mostly involved here is the government (Turner & Maryanski, 1979:82). Here "government" is not always used in the usual concrete sense (Parsons & Smelser, 1956:60). As discussed in chapter one the tri-partite partnership investigated in the study includes the government, community and business. However when we look at Parsons's theory and the way the term *government* is used, it does not refer to the "government" leg as such, but can be seen more as the "power structure". The goal attainment functional requirement also reminds one of the *political organisation* as an instrumental need as discussed under Malinowski.

2.1.6.7 Latency

For any system to function effectively there needs to be relatively stable behavioural patterns. "At the societal level, this sub-system focuses on the institutionalised culture, which in turn centres on patterns of value orientations" (Parsons & Smelser, 1956:49). Thus there needs to be pattern maintenance or alternatively stated the system must generate units that can fit into the system. *Actors* must be motivated to play their part and there should be tension management[32] to reduce any tension between units (Turner & Maryanski, 1979:75). The institutions mostly involved here are the family, education and media (Turner & Maryanski, 1979:82). The latency requirement also reminds one of the *education* instrumental need as discussed under Malinowski.

2.1.6.8 Integration

Systems must maintain coherent interrelationships among its component parts. Thus mutual adaptation is needed between the various subsystems of a social system in order for all the parts to contribute to the effective functioning of the whole (Steyn & Van Rensburg, 1987:151). The institution mostly involved here is the law (Turner & Maryanski, 1979:82). The integration requirement is reminiscent of the *social control*

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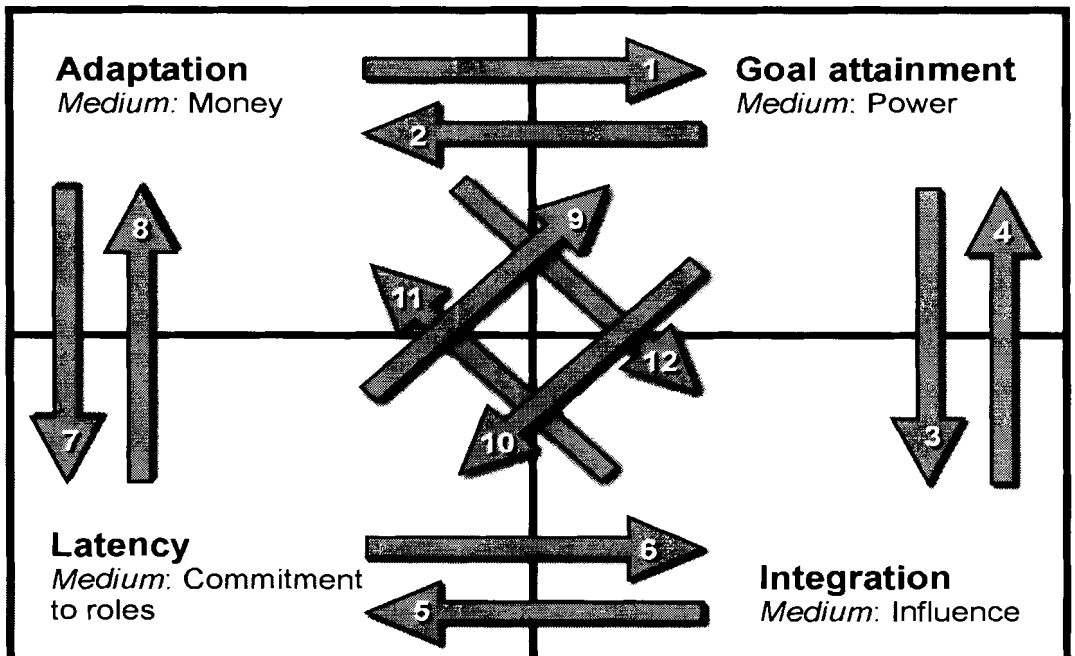
[32] In chapter three, the fact that conflict is unavoidable and therefore should be managed in a partnership will be discussed in greater detail. Although this thesis does not focus on the conflict theory, the concept is not ignored.

instrumental need as discussed under Malinowski. Parsons also sees the integrative functional requirement as the core of society (Parsons, 1977:134). Thus once again the golden thread of integration that runs through most of the functionalist theorists' work comes to the fore.

There is also an exchange or to be more precise an interchange[33] between the four functional imperatives. In the exchange between the four functional imperatives each one receives something from the other three (can also be seen as an output from the other three) and gives something (can also be seen as an input) to the other three (see illustration below from Parsons & Smelser, 1956:68).

ILLUSTRATION 5: INTERCHANGES OF SUBSYSTEMS AND FUNCTIONAL SECTORS OF A SOCIETAL SYSTEM



1. Productivity	7. Consumer goods and services
2. Capital	8. Labour services needed
3. Imperative co-ordination	9. Political loyalty
4. Contingent support	10. Allocation of power
5. Motivation to pattern conformity	11. Organization
6. Pattern content	12. New output combinations

[33] Interchange is nothing more than restricted exchange where the systems benefit directly from each other

Each of these functions has a distinctive medium that exchange is conducted in (Parsons & Smelser, 1956:51-85). *Money* is the exchange medium for the adaptation function and can be exchanged for example for the latency sector's medium, which is *commitment to roles*. The medium used for goal attainment is *power* (capacity to induce or coerce conformity) and the medium used for exchange in the integration function is *influence* (capacity to persuade).

The adaptation function gets capital/the creation of credit from the goal attainment function, as the medium of exchange of the goal attainment function is *power,* which is nothing more than a means of control over the access of capital facilities. In exchange the adaptation function gives productivity to the goal attainment function. Please note that *productivity* as it is used here, does not comply with the normal economic definition given to it, i.e. production per unit of effort (Sykes, 1976:885). When the adaptation function is *productive*, it has managed to satisfy the shared needs/goals as set out by the goal attainment function.

The goal attainment function gives co-ordination to the integrative function as the common goals set by this function, has an integrative purpose. With power (the exchange medium of the goal attainment function) one has the capacity to induce/ coerce conformity, which leads to integration. In turn the goal attainment function receives contingent support from the integration function. This support can be positive and induce cooperation with the goals or it can be negative and intervene with the attainment of goals. The medium of exchange used in the integration function as mentioned before is *influence* and it is nothing more than the capacity to persuade actors to cooperate with the common goals or for that matter not to cooperate with them.

The integration function also gives the motive of pattern conformity to the latency function and in turn receives the pattern content from the latency function. Thus in essence the latency function gives shared values to the integrative function and the integrative function makes sure there are social controls to promote conformity to the given values.

The latency function gives labour/services to the adaptation function and this is needed due to the fact that there is role differentiation. As stated before, the latency function has to motivate *actors* to commit to/play their part, i.e. participate in the roles

that have been assigned to them. Thus the adaptation function receives various types of resources (capital/money from the goal attainment function and labour from the latency function). Consecutively the latency function receives goods and services from the adaptation function, which often is nothing more than the fulfilment of individual goals. Shared goals were discussed as part of the goal attainment function. Parsons and Smelser (1956:71) also state that "the divergence of interest [arise] from the fact that typical firms and typical households [or social structures] are primary centred in different functional sub-systems of society and hence have different primary goals".

The latency function also gives loyalty to the goal attainment function. To achieve the shared goals set by the goal function, actors must be motivated to play their part and the latency function should generate units that fit in with the shared goals, i.e. create loyal *actors*. Sequentially the latency function receives allocation of power from the goal attainment function.

The last *quid pro quo* exchange is that between the adaptation and integration function. The adaptation function gives new output combinations to the integration function, thus the economy has an integrative function. In exchange the integration function gives organisation to the adaptation function. Thus for the adaptation/survival of the system, there needs to be integration between all the units.

Although the four functional requirements as discussed in sections 2.1.6.5-2.1.6.8 need to be met if a social system is to survive, some of these four functions can be collapsed in simpler societies i.e. traditional societies. Thus there seems to be a reverberation of Durkheim's idea of the evolution from traditional to modern societies through differentiation as discussed in section 2.1.2. Parsons argued that increasing differentiation is the key to the evolution of systems. Thus there is a "change from a situation in which roles are fused to a situation in which roles have been allocated to different role incumbents[34]" (Wallace & Wolf, 1995:48). However, differentiation poses new problems of integration for a system. "The operations of two structural units must be coordinated where only one category existed before" (Parsons, 1977:49). As seen in table three: AGIL/Four-functional paradigm, the integrative function occurs mostly

[34] In chapter three role assignment will be looked at again.

in the social action system and for true integration to exist the societal community should form a *functional* unity (Parsons, 1977:135). Thus there is an echo of Durkheim as traditional societies have structural differentiation and more developed societies have functional differentiation (a sort of coordination of structural activities and not just a reproduction of them).

In summary it can be said that when differentiation in roles occurs, the system has to find a way to functionally re-integrate again. This integration can be achieved through cooperation. As the separate sections of the whole become dependent on each other due to role differentiation they need to cooperate in order to survive and operate in harmony. However, as discussed before and highlighted under some of the other functionalists discussed in this chapter (especially Merton) all the parts in a system do not always contribute to the stability and harmony of a system and for this reason functional conflict will be discussed in section 2.1.7.

See principle F8 again: Also links to principle E29 (see appendix B and C) *For a partnership to survive it should have a purpose or goals. The role players need to cooperate to achieve these goals.*
See principle F2 again: Also links to principles F8 and F17 (see appendix B) *For a partnership to survive it needs to obtain resources in order to achieve its goals and adjust to changes.*
See principle F3 again: (appendix B) *The idea perpetuated in principle F3 reverberates throughout the discussion of both functionalism and the exchange theory [see principles E2 and E7 in appendix C].* *The view that members of any group are socialised in the values and norms of the group to such a point that they internalise them, is thus not alien to sociologists (see p. 66 for the definition of values and norms).*
Principle F15: Links to principle E28 and L17 (see appendix C and D) *For a partnership to survive a sufficient proportion of the role players should be motivated to act out the roles bestowed on them.*
****Principle F16:** Links to principles F15 and L17 (see appendix B and D) *For a partnership to be successful the roles/obligations placed on role players should not be unattainable.*

**Both principle F16 above and principle E17a (p. 59) deal with expectations. Expectations and their management are important when it comes to successful partnerships. If one does not meet the expectations of role players (E17a) or one's expectations of them are unrealistic (F16) one could experience problems.

***Principle F17:** Adds to principle F1 and L12 (see appendix B and D) *For a partnership to survive it needs to be malleable, i.e. adjust to change, be that change in the social or non-social environment.*

***Thus just as implied in principle F1 a partnership goes through phases/stages as it adjusts and evolves with changing times, etc.

See principle F12 again: (appendix B) *For a partnership to survive there needs to be mechanisms to reduce tension.*
Principle F18: Links to principles F9, E20 and L16. Also adds to principles F3, E2 and E7 (see appendix B, C and D) *To ensure that role players conform to the values and norms of a partnership, there should be some social control.*

2.1.7 Functional conflict

As mentioned before the focus of this thesis will be on cooperation and not on conflict. Conflict, however, is part of every day interaction and cannot be ignored and thus in the next few pages how conflict can be used *functionally* will be discussed. Even some conflict sociologists view conflict as functional and here Simmel and Coser come to mind. Simmel in (Wallace & Wolfe, 1995:86-87) was of the opinion that society is integrated by numerous crosscutting conflicts and that social action has aspects of harmony, conflict, love and hatred. Coser in (Wallace & Wolfe, 1995:155-156) also felt that although conflict is important, it is only one side of social life and that social stability and change can both be consequences of conflict. In fact he states outright "conflict as well as co-operation has social functions" (Coser, 1964:31). He also feels that external conflict can lead to group identity and cohesion (Coser, 1964:93) and that interdependence makes internal conflict less likely (Wallace & Wolf, 1995:159).

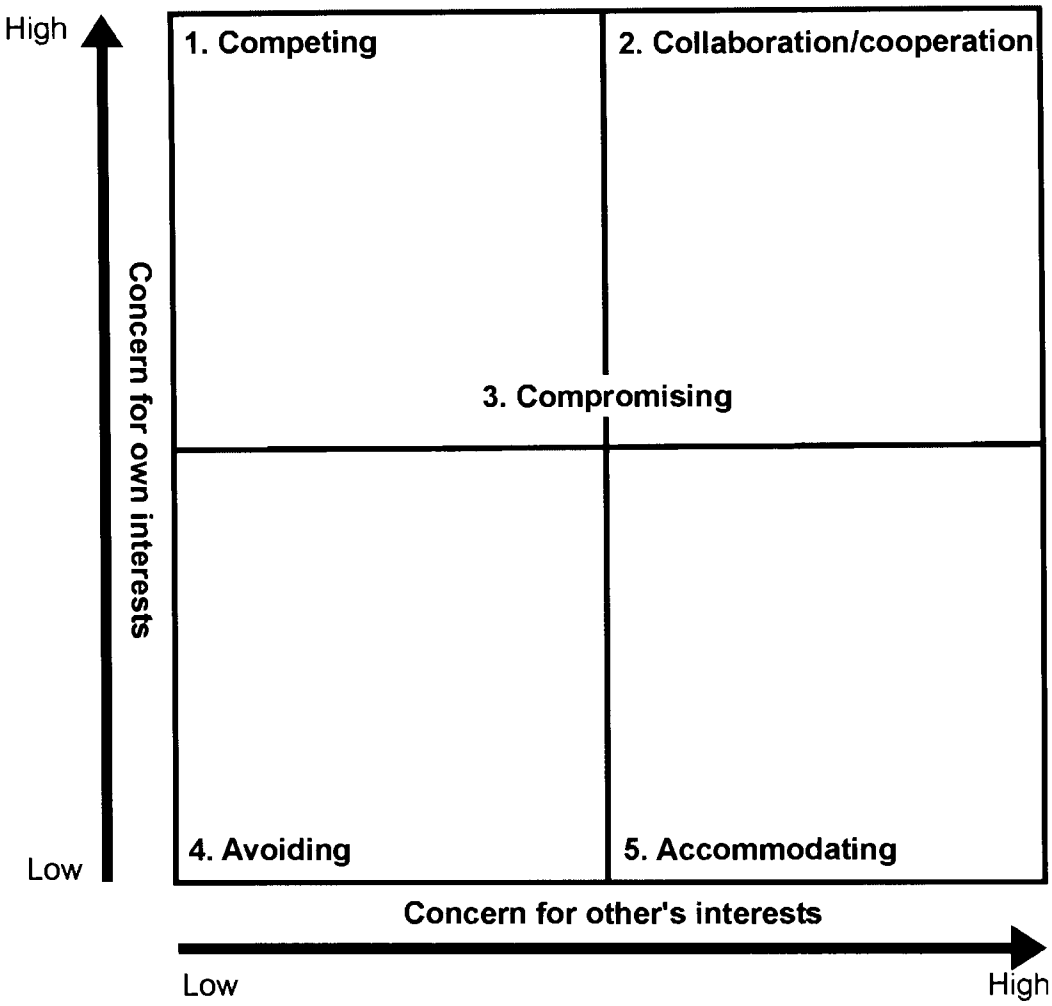
Another reason for briefly looking at how conflict can be functional in a system is that (in the writer's opinion) many of the above-discussed functionalists either totally

ignore conflict or do not spend *enough* time looking at it. This view does not obliterate all of what functionalism entails, but should rather be seen as positive critique and something that can be added to the theory in general. It is also true that one can gain insight into something, by studying the inverse or what can be perceived as the inverse by some, i.e. one can understand order by looking at conflict or even find that conflict can lead to order or vice versa (as any person who has dealt with a bureaucracy can attest).

While doing some literature research, it became apparent that not all people view cooperation (as discussed under functionalism) and conflict as two disparate sides. Cooperation is rather seen as a conflict behaviour/management style and Fairchild (1965:69) even gives the definition of **cooperative conflict** as "strife in which hostility is limited by the existence of some common goals, mutually desired by the participants". This view is also often encountered in industrial psychology and as such is well suited for the mining industry. The researcher first encountered this view in Slabbert *et al.* (1993:152-154) and later re-encountered it in a paper presented at the sustainable communities conference in Burlington, Vermont U.S.A. in July 2004. Not only does this view see conflict as a functional management style, but it also incorporates aspects of the exchange theory.

According to Slabbert *et al.* (1993:152-154) there are various approaches to conflict management of which cooperation is just one. These approaches can be placed on an axis as seen in illustration six (Slabbert *et al.*, 1993:153).

ILLUSTRATION 6: APPROACHES TO CONFLICT MANAGEMENT



The above illustration will now briefly be discussed and the link to the exchange theory outlined in each conflict management style.

2.1.7.1 Competing conflict management style

The exchange theory is about give and take (see p. 47) and in the above illustration the "give" part can be interpreted as the "concern for other's interest" (axis X) and the "get" can be interpreted as the "concern for your own interests" (axis Y). In the competing management style there is a high concern for your own interest and a low concern for the other role players' interests, which leads to a win-lose exchange situation. The gains/benefits and the costs inherent to each of these exchanges are listed in table four.

2.1.7.2 Collaborating/cooperation conflict management style

In the collaboration/cooperation management style there is a high concern for both your own and the other role players' interests, which leads to a win-win exchange situation. Without a doubt it is the best exchange situation possible as attention is given to all the role players' needs. The focus here is on the solution of common problems and not on victory as in the competing management style. Role players strive towards the integration of needs in order to achieve a common group aim.

2.1.7.3 Compromising conflict management style

Here, according to the definition, there is a settlement of disputes by mutual concession thus in essence all the role players have to give up something and no party gains much out of the exchange, which leads to a lose-lose situation.

2.1.7.4 Avoiding conflict management style

Here both own interest and the interest of the other role players are low on the satisfaction scale. All in all a totally unsatisfactory exchange situation for all as conflict is mostly denied and not dealt with.

2.1.7.5 Accommodating conflict management style

In the accommodating management style there is a low concern for own interest and a high concern for the other role players' interests, which leads to a lose-win exchange situation.

TABLE 4: THE GAINS/BENEFITS AND THE COSTS INHERENT TO EACH OF THE EXCHANGES OCCURRING IN THE CONFLICT MANAGEMENT STYLES (O'DONNELL, 2004:22-26).

Management style	Benefits/gains	Costs
1. Competing	• Protects your strong interests and values • We think: "gets things done" • We think: " we will win"	• Seen as uncaring, aggressive, argumentative, inflexible, controlling, unreasonable, unfair, selfish • Creates competing behaviour by other party • Escalates conflict • Maintains or creates a power imbalance • Could lead to aggression, anger, revenge, hate • *Hurts the relationship from the other party's perspective*
2. Collaborating/ Cooperation	• Seen as caring, concerned, friend, trustworthy, reasonable, team player, integrative, empowering, not controlling, fair, good negotiator, partner • Each party WINS • Creates/builds rapport, respect, understanding • Creates/builds climate of sharing, trust • Enlarges the pie • Resolves conflict, problem • Addresses underlying issues	• Takes time • Takes hard work

	• Empowers all parties • Gives ownership to all parties • Everyone accepts/ works towards implementation of resolution • Best way to work through bad histories • Creates team approach and commitment-partnership • Seen as learning and growing experience • Equalises power • *Creates/improves relationships from both party's perspective – only behavioural response to conflict which does this*	
3. Compromising	• Could be seen as reasonable, fair • Divides the pie • Something is better than nothing • Avoids underlying issues	• Could be seen as uncaring, aggressive, controlling, unreasonable • Does not enlarge the pie • All parties feel they have lost • Creates power war in future • Creates climate of suspicion, distrust • *Hurts the relationship from both parties' perspective*

4. Avoiding	• Do not have to address the conflict • Do not waste time, money or other resources on something unimportant • Gives us time to gather resources and other information	• Seen as uncaring, detached, passive, uninvolved • Builds frustration • Creates power imbalance • *Hurts the relationship from the other party's perspective*
5. Accommo-dating	• Heals past wounds • Seen as understanding, benevolent, peace-loving • Cuts losses • We think: "this is the way to build relationships" • We think: "they will owe us"	• Seen as weak, pushover etc. • Creates a desire for more from other party • Creates a climate of suspicion and distrust • Creates or continues a power imbalance • *Hurts the relationship in the long term from our perspective*

Although none of the above discussed conflict management styles is more "right" than another (O'Donnell, 2004:26), the collaborative/cooperative style is more *functional* than the rest as the real underlying needs of all parties/individual parts are discerned and role players work towards satisfying all needs to the maximum extent possible, thus optimising the benefits for the individual parts and the whole. This links to principles F5 and E6 (see appendix B and C).

From functionalism to the exchange theory

Throughout the above discussions of functionalism the exchange theory came to the fore a number of times. Sometimes it was very overt and the functionalists themselves used common exchange terminology like "interchange/reciprocity/net balance". At other times the link was subtler, but in every instance the link was looked at (even if it was just as a footnote). As pointed out before this was unavoidable as these two theories seem to entwine naturally. Due to the fact that these two theories complement each other so well, there will be traces of

functionalism in the discussion of the exchange theory to follow. In some instances there will even be referrals back to the functionalists or comparisons will be made to certain aspects of functionalism. The link or for that matter overlap will, however, be made as clear as possible. Concepts like **cooperation**, **integration** and **cohesion/solidarity** (see p. 17) will be looked at again. As the subject matter of this thesis is the formation of a tripartite partnership that would ensure sustainable development for all, these concepts need to be studied closely. *Cooperation* is needed in a partnership and a partnership is just as strong as the *cohesion/solidarity* among its members. Also the higher the *integration* in a partnership, the higher the likelihood of success of the afore-mentioned partnership.

As was done with the functionalists a broad outline of the exchange theory will be given, before some specific exchange theorists will be discussed. After each theorist has been discussed, the main principles that are needed for a partnership to be established or to be functional/successful will also briefly be summarised again.

2.2 THE EXCHANGE THEORY

During the Sustainable Communities conference in Burlington 2004 some of the participants were of the opinion that for sustainable development to be productive, there has to be a return on your investments, i.e. the rewards should in some way account for the costs. Being rational beings, humans as a matter of course weigh the rewards (what they get) to the costs (what they give) of any interactive situation. Humans do this, especially when scarce resources[35] are involved. According to the exchange theory people are rational and base their actions on what they perceive as the most effective means to achieve their goals. People are therefore always looking at the relationship between their costs/investments and the rewards in any interactive situation (Wallace & Wolf, 1995:278-340). When it comes to sustainable development, people have to take it one step further and not just do the calculation for themselves, but also for generations to come. Thus they need to look at the costs for this generation and for others yet to be born and weigh that to their current goals and to the possible goals of future generations.

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[35] When it comes to exchange and scarce resources, people are forced to cooperate to obtain some of the scarce resources.

As was done in the functionalism section, individual exchange theorists will now be discussed and principles formulated from their work.

2.2.1 J.G. Frazer

In a historical perspective Frazer may be said to have offered the first theory of social exchange. According to him social exchange processes serve the economic[36] needs of a group of people. To further social exchange, social institutions of a primary nature are developed. According to Fairchild (1965:157) an institution is an enduring, complex, integrated, organised behaviour pattern through which social control is exerted and by means of which fundamental ... needs are met[37]. Secondary institutions are also developed to subserve the needs of these primary institutions. Some people for the purpose of gaining power and/or status can exploit these social exchange processes once established. Lastly as can be expected from the economic emphasis Frazer had, he was of the opinion that all exchange items had a functional economic value (Ekeh, 1974:24).

Principle E1: Links to principle L8 (see appendix D) *A partnership needs to fulfil the economic needs of the role players.*
Principle E2: Links to principle F3 (see appendix B) *For a partnership to succeed a social institution needs to be developed that will exert pattern maintenance. This social institution could be in the format of a forum.*
Principle E3: Links to principle L13 (see appendix D) *The possible exploitation of power and/or status should be looked at as it can influence a partnership.*

[36] Progressing through the different exchange theorists to be discussed in this thesis, one finds that the others were not all so one-dimensional in their thoughts. Although Frazer was pre-occupied with the economic motives, this does not negate the fact that he did have some good insights into the exchange process. In the case study done for the completion of this thesis, a broader outlook was used and economic, social and environmental needs/problems were considered.

[37] If one looks at the definition of an institution, it is clear that integration and cooperation is needed in a partnership. Further according to the definition of an institution pattern maintenance is needed in exchange situations. This links up with Parsons and his latency function, where he states that there should be pattern maintenance for any system to function (see p. 35)

2.2.2 B. Malinowski & M. Mauss

Malinowski was also discussed under the functionalism section (see p. 26-29). Unlike Frazer he made a distinction between economic and social exchange. He was of the opinion that exchange is not always economic in nature and that the value of exchange often lies within the partnerships or social ties that are formed during an exchange process (Ekeh, 1974:27).

Malinowski was not the only exchange theorist who looked at social ties.

Mauss in a way adds to this idea, as he believed that every social exchange transaction creates social bonds and that these bonds tie individuals to each other as well as segments of society to one another[38] (Ekeh, 1974:32).

Not only does Malinowski feel that exchange is about more than fulfilling our economic needs, he also addresses the relationship between individual needs and the needs of the greater whole. In effect he is of the opinion that an institution that both meets the needs of individuals and helps to maintain the society as an on-going concern will be more stable than an institution that ensures the one but not the other of these two functions[39] (Malinowski, 1993:938).

Principle E4: Links to principle L8 and L27 (see appendix D) *Exchange in a partnership is not always about economic needs; it could fulfil social needs, i.e. networking opportunities.*
Principle E5: Adds to principle E4 above. Also links to principle L2 and L27 (see appendix D) *Social bonds/ties/networking are often the consequence of a partnership (following principle E4), but at times they are the cause of a partnership.*
Principle E6: Links to principles F5, F8 and L4 (see appendix B and D) *A partnership is more likely to be successful if it meets both the needs of the individual role players and that of the whole as far as possible.*

[38] Thus social exchange leads to social networks, that in turn increase solidarity.

[39] If ever there was a reminder that Malinowski is also a functionalist, this is it. In essence he says that if you meet both the needs of the sub-parts of a social system and the needs of the whole, the system is more likely to survive.

2.2.3 C. Levi-Strauss

According to Levi-Strauss exchange has symbolic value. Thus, unlike Frazer, he was of the belief that social exchange should not be envisaged from an economic viewpoint, as it is the exchange that counts and not the things that are exchanged (Levi-Strauss, 1969:139).

He also views exchange as a regulated form of behaviour that takes place in the context of societal rules and norms[40] (Ekeh, 1974:45). There are institutional definitions of these norms and values, i.e. individuals do not create them.

Levi-Strauss also made a few other statements about social exchange that will be briefly discussed here and later generalized in the principles section on p. 54.

- Collective orientations in social exchange:

Although social exchange may involve individual self-interest, it cannot sustain the social exchange process. Thus although individuals might be involved in an exchange situation for their own interest, the exchange process will only continue in the long run, if the needs of the whole are met in some way (Ekeh, 1974:43).

- Social scarcity and societal intervention:

When there are scarce symbolic resources, society intervenes in the distribution of these resources. It should be pointed out that social scarcity is not the same as economic scarcity according to Levi-Strauss. Thus there are rules to exchange, when one deals with scarce social resources (Ekeh, 1974:46). For example, if social standing in a group is limited, there will be norms that regulate what role players can do to obtain higher social standing.

- Social cost of exchange:

The cost involved in a social exchange situation is not always attributed to the receiver(s) in the exchange situation (Ekeh, 1974:47). For example, if role player X spends money to help with the education of role player Y, X will not always attribute the cost to Y, but rather to the values underlying the ideas of sustainable

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[40] This reminds one very much of the functionalists who are of the opinion that shared values are needed to maintain order. Once again one is also reminded of Parsons and his latency function, i.e. pattern maintenance (see p 35).

development. Thus X did not incur the cost for Y's sake, but for the greater good of sustainable development.

- Exploitation:

Ideally social exchange should be devoid of exploitation for the sake of stable social exchange relations (Ekeh, 1974:56).

- Reciprocity:

When it comes to generalised/univocal exchange, there has to be an equality of partnership for the social interaction to continue. Equality, cooperation and reciprocity develop in the absence of status differentiation. Non-equals, however, do partake in an exchange situation, if status is not an important issue (Ekeh, 1974:47-49). Equality between partners should also lead to greater social solidarity (Ekeh, 1974:157).

Perhaps now that the term generalised exchange (also referred to as univocal exchange) has been mentioned in the above paragraph, a *broad* discussion on the types of exchange will be given. This will be a *general* discussion and not just the ideas of Levi–Strauss. However, it will be done under his section as he discussed both types. As pre-empted during the discussion of functionalism (see p. 23) these types of exchange will also be linked to structural and functional differentiation[41].

2.2.3.1 Restricted/mutual exchange/direct exchange

In this type of exchange the actors benefit each other directly. In essence there is a *quid pro quo* mentality (Ekeh, 1974:51). Here the actors not only keep track of the cost incurred by them and the direct benefit received by them, but also from whom they received the benefit. There is an expectation that if one gives something to another role player, one will receive something in return from him/her. In this type of exchange one gets the idea that actors are more individually inclined, i.e. more worried about what they as separate parts of a loosely constructed whole can gain and about whether they survive.

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[41] Again more proof that functionalism and the exchange theory go hand in hand as one can hardly look at one and not find a link to the other.

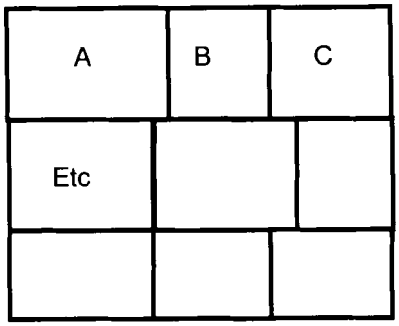
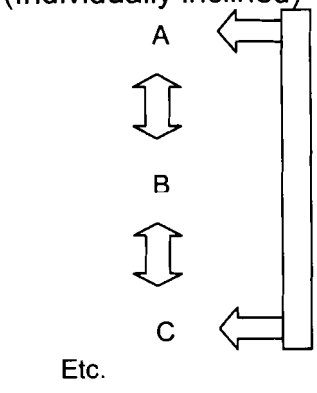
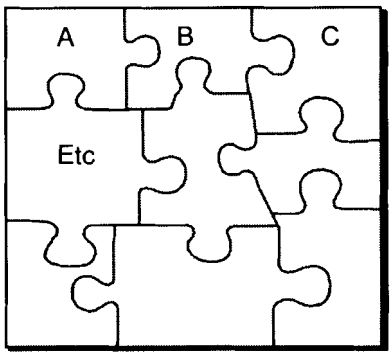
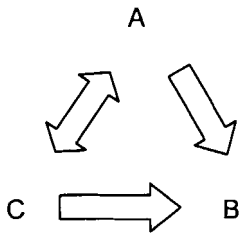
2.2.3.2 Generalised/univocal exchange/indirect exchange

In this type of exchange the actors do not benefit each other directly, but indirectly. Thus all parties might be linked in the exchange, but reciprocity is not always direct (Ekeh, 1974:52). With this type of exchange one could form the opinion that the actors are more collectively[42] inclined as they seem to be more worried about the survival of the whole.

If one looks at the above discussion and add the discussion on structural and functional differentiation as discussed under Durkheim (p. 23-24), the following table can be compiled:

[42] As the actors are more collectively inclined, one would expect a higher incidence of cooperation and solidarity.

TABLE 5: THE RELATIONSHIP BETWEEN DIFFERENTIATION AS DISCUSSED UNDER FUNCTIONALISM AND THE TYPES OF EXCHANGES AS DISCUSSED UNDER THE EXCHANGE THEORY

Type of differentiation (Linked to functionalism)	**Individual vs. collective inclination**	**Type of exchange** (Linked to exchange theory)
Structural differentiation  See p. 23	Here the whole is no more than the sum of its parts (Whole =A+B+C+...), thus it is more individually inclined. The integration and cooperation between parts are also weak. Functional output of whole not enhanced much.	*** Restricted exchange** (Individually inclined) 
Functional differentiation  See p. 24	Here the whole is greater than the separate parts (Whole >A+B+C...), thus it is more collectively inclined. The integration and cooperation between parts are strong. Functional output of whole enhanced.	*** Generalised exchange** (Collectively inclined)  Etc.

**When an arrow points away from an actor he/she gives something and when it points towards them, they receive something in the exchange.*

Although Levi-Strauss looks at both types of exchange as mentioned before, he is of the opinion that generalised/indirect exchange is more functional [43] as there is higher solidarity and thus a more stable group (Levi-Strauss, 1969:441).

[43] Here the actual terminology used in functionalism, crops up in the discussion of the exchange theory.

See principle E4 again: (appendix C) *Exchange/networking opportunities (social needs) are important.*
Principle E7: Adds to principle E2. Also links to principle F3 and L16 (see appendix C, B and D) *In a partnership, there should be rules/norms that regulate the exchange, especially if the social resources are scarce. These norms have institutional (following principle E2) definitions.*
Principle E8: Links to principle E6 that states that the interests of the individuals and the whole should be considered. Also links to principle F5 (see appendix C and B) *A partnership cannot be sustained if it is based on individual self-interest.*
Principle E9: *The costs incurred during an exchange transaction in a partnership are not always attributed to the recipient in the exchange transaction. At times the cost is attributed to some other value.*
Principle E10: Adds to principle E3 (see appendix C). In principle E3 "power exploitation" is emphasised, here it is more general *For the sake of a stable partnership, ideally exchange should be devoid of exploitation.*
Principle E11: Adds to principle E3. Whereas principle E3 is very general, this principle is more specific. Also links to principle L13 (see appendix C and D) *For social interaction to continue in a partnership, there has to be an equality of role players. Non-equals do, however, partake in an exchange situation, if status is not an important issue. Equality in a partnership also leads to greater solidarity in the partnership, i.e. a stronger partnership.*

2.2.4 G.C. Homans

Homans was very critical of Levi-Strauss's argument that an institution based on generalised exchange[44] is more efficient than those based on restricted exchange. Thus whereas Levi-Strauss was more collectively inclined (according to table five, generalised exchange[45] is more collectively oriented), Homans looks at the individual

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44 Levi-Strauss was of the opinion that generalised exchange is more effective for the integration of a group.

45 By implication the levels of cooperation are also higher in generalised exchange.

self-interest that can occur in exchange transactions and is of the opinion that "an institution is what it is because it results from the drives, or meets the immediate needs, of individuals or subgroups within a society. Its function[46] is to meet these needs. We may call this an individual self–interest theory"(Homans & Schneider, 1955:15). Most people would see these two views as contradictory, but perhaps it should be seen as an opportunity to create a synthesis as follows:

Thesis-derived from Levi-Strauss: Partnerships are more successful if they are geared towards the greater good of the collectivity, i.e. fulfilling the needs of the whole.

Anti-thesis derived from Homans: Partnerships are more successful if they are geared towards the greater good of the individual role players, i.e. fulfilling the needs of the individual role players. The reader should also be reminded that Levi-Strauss did acknowledge that individual self-interest is part of the exchange, but that it could not sustain the relationship in the long run (see p. 50 of this chapter).

Synthesis: Partnerships are more likely to succeed if they meet both the needs of the individual role players and that of the whole as far as possible[47]. This is not a new insight, as it is nothing more than principle E6 as derived from Malinowski and discussed on p. 49 of this chapter.

Homans's idea of exchange is also in contrast to that of Levi-Strauss's on another level. Homans and Frazer for that matter were of the opinion that social exchange is utilitarian and Levi-Strauss was of the opinion that it has symbolic value (Ekeh, 1974:86). Once again perhaps one can combine the two ideas and state that a partnership should meet both the symbolic and utilitarian needs of role players, if it is to survive. This statement in effect is nothing more than principle E4 as discussed on p. 49 in this chapter.

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[46] Simply by reading this quote, one cannot be blamed if one thinks of the functionalism as discussed earlier. However, if one looks at the more traditional functionalists, some of their theories often remind one more of the functional type of differentiation than the structural type, i.e. they are more interested in the collective and its survival. Where they mention both types as per Durkheim, functional differentiation is usually seen as a more evolved type of differentiation. Homans on the other hand reminds one more of the structural type of differentiation.

[47] In the case study done for this thesis both needs were looked at. Role players were asked to list their own needs and then to comment on whether they were of the opinion that their needs were also the needs of most of the other role players. Thus an overlap between individual needs and the needs of the whole could be discerned.

As Homans's theory is more individually inclined, it should fit in better with the structural differentiation and restricted exchange, mentioned in table five. Thus one can assume that he would see exchange as a *quid pro quo* transaction, where the actors keep strict tract of their costs vs. the rewards they gain from interaction. To this effect he states that: "we define profit as reward less cost, and we argue that no exchange continues unless both parties are making a profit" (Homans, 1961:61). He even goes further and states that "The open secret of human exchange is to give the other man behavior that is more valuable to him than it is costly to you and to get from him behavior that is more valuable to you than it is costly to him" (Homans, 1961:62). Homans does not just look at profitable exchange, where people compare their own rewards to their own costs; he also looks at the concept of fair exchange. Here one would not just compare *your* rewards to *your* costs, but also the costs and rewards of the *other* party vs. yours. The first is a kind of intra-comparison and the second a type of inter-comparison[48]. To the latter he states, "a man in an exchange relation with another will expect that the rewards of each man be proportional to his costs... and that the net rewards, or profits, of each man be proportional to his investments" (Homans, 1961:75).

Now that Homans has sensitised us to the fact that all of us are constantly busy looking at the rewards we gain from any interaction, it will be appropriate to look at the five propositions he formulated. In these propositions he looks at how rewards and our actions are linked (Timasheff & Theodorson, 1976:343). These propositions will also be used in the summary of the principles section, to follow in due course.

2.2.4.1 The success proposition

The more frequently a person is rewarded for a particular action, the higher the probability of a repeat performance of said action becomes.

2.2.4.2 The stimulus proposition

If a person were granted a reward for an action based on a specific stimulus in the past, a similar stimulus in the present would increase the probability of a repeat action or of a similar action.

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[48] One could assume that if the exchange in a partnership is seen as both profitable and fair, the cohesion could be higher.

2.2.4.3 The value proposition

The more valuable the reward of a specific action is for a person, the higher the probability for a repeat performance.

2.2.4.4 The deprivation-satiation proposition

The more frequently a person has been rewarded in the recent past with a specific reward, the less valuable any further unit of that reward becomes.

2.2.4.5 The aggression-approval proposition

a) If a person does not receive the reward he/she was expecting for his/her actions or receives a punishment they did not expect, the probability of aggressive behaviour increases and the results of this type of action actually become valuable to the individual.

b) The inverse of the above statement is also true. If a person receives an expected reward, a greater than expected reward or escapes an expected punishment for an action, he/she will be pleased and more likely to perform approving behaviour. The results of such behaviour become valuable to the individual.

In conclusion and just before some broad principles are generated from the above, one last aspect of Homans's theory should be mentioned as it can be summarised as a principle or two in itself. According to him social approval can be used as an exchange unit. Due to the fact that people value social approval, it can create conformity, as people would comply with what is expected of them in order to gain approval. He also identifies social approval as the goods people offer when they have nothing else desirable to exchange. This imbalance, where a party has relatively little to offer leads one to look at the root of the exchange theory's analysis of power. Homans sees power as nothing more than the ability to provide scarce and valuable rewards/resources that are in demand. According to him there are two types of power namely coercive and non-coercive power. In essence coercive power

entails the ability to punish and non-coercive power the ability to reward[49]. Homans is of the opinion that non-coercive power is more effective (Wallace & Wolf, 1995:298-300).

See principle E6 again: (appendix C) *If one combines what Homans & Levi-Strauss said, in effect you are looking at principle E 6 again.* *E6 states that a partnership is more likely to be successful if it meets both the needs of the individual role players and that of the whole as far as possible.*
See principle E4 again: (appendix C) *If one combines what Homans & Levi-Strauss said, in effect you are looking at principle E 4 again.* *E4 states that exchange in a partnership is not always about economic needs. It could fulfil social need, i.e. networking opportunities.*
Principle E12: Links to principle L35 (see appendix D) *For a partnership to continue, exchange transactions have to be perceived as profitable and fair by the role players.*
Principle E13: Links to principle L8 and L34 (see appendix D) *If one frequently acknowledges or rewards the role players in a partnership for their contribution(s), the probability of them repeating their actions increases. Thus in effect you are contributing to pattern maintenance and cohesion within the group.*
Principle E14: Links to principle L8 (see appendix D) *One can "condition" role players in a partnership to exhibit certain actions after a specific stimulus by rewarding them every time they display the afore-mentioned actions. Thus once again in effect you are contributing to pattern maintenance and cohesion within the group.*
Principle E15: Links to principle L8 (see appendix D) *For a partnership to continue role players should receive rewards they value, as this will increase the probability of a repeat performance. Once again conformity can be encouraged and cohesion enhanced.*

[49] If one looks at this from a sociological perspective, Homans sees power as nothing more than the ability to provide positive or negative sanctions in an effort to get people to conform. Parsons, as discussed under functionalism, also saw power as an exchange medium and defined it as the capacity to induce or coerce conformity (see p. 34) The exchange theorist Frazer also mentioned power and the fact that it can be exploited in the exchange process (see p. 48).

Principle E16: Links to principle E15 above *If a role player has received a reward too frequently in the recent past, the reward loses its value. Thus in effect cohesion can adversely be affected, as role players are not motivated to conform.*
Principle E17a: *If the expectations of role players are not met, the probability of aggressive behaviour increases. In effect this could destabilise partnerships or lower cohesion.*
Principle E17b: *If the expectations of role players are met or even exceeded, they would be more likely to perform approving behaviour, i.e. conform. In effect this increases solidarity within the group/partnership.*
Principle E18: Adds to principle E4. Also links to principle E13 and L8 (see appendix C and D). Here social approval is mentioned pertinently as a social need that can be fulfilled or a reward that can be given. *Role players can gain social approval from a partnership and that in turn motivates them to comply with what is expected from them. Thus increasing cohesion/solidarity in the partnership.*
Principle E19: Links to principle E18 above and L8 (see appendix D). *Social approval can be something role players gain within a partnership (according to principle E18), but also something they give.*
Principle E20: Adds to principle E3. The fact that power has an influence on partnerships is elaborated upon. Also links to principles F9, F18and L13 (see appendix C, B and D). *Role players are more likely to conform if they receive positive sanctions (non-coercive power) than when they are negatively sanctioned (coercive power) i.e. punished.*

2.2.5 P.M. Blau

The flow of the discussion between Homans as discussed above and Blau to be discussed here comes with great ease as Homans and his ideas influenced Blau. Blau, similarly to Homans, argued that "people compare themselves in terms of their investments as well as in terms of their rewards, and expect differences in the rewards to correspond to differences in the investments" (Blau, 1964:156). He also states that "an individual is attracted to another if he expects associating with him to

be in some way rewarding for himself" [50] (Blau, 1964:20.) Thus the *quid pro quo* or restricted exchange or individual self–interest exchange idea comes to the fore again.

Blau did, however, also look at generalised/expanded exchange when he looked at the relationship between exchange, trust and reciprocity. He was of the opinion that it is very difficult to measure precisely what one is exchanging, i.e. the sum we all do of what we gave vs. what we got is not always clear-cut. Thus, although social exchange may originate in pure self-interest, it expands with time as trust is generated between participants[51]. Both reciprocation and expanded exchange are accompanied by a corresponding growth of mutual trust (Wallace & Wolf, 1995:322). He also pointed out that indirect exchange (where rewards come to one in a roundabout way, i.e. generalised exchange) depends on the strength and internalisation of social norms[52]. Thus he is of the opinion that all social interaction is not always governed by self-interest in the rewards to be gained. At times moral values as stated before and other irrational forces drive it[53] (Blau, 1968:452). To this effect he stated: "Conformity to normative standards often requires that group members refrain from engaging in certain direct exchange transactions...Conformity frequently entails sacrificing rewards that could be obtained through direct exchange, but it brings other rewards indirectly" (Blau, 1964:259). Blau also found that the social cohesion of a group is directly related to whether they cooperated, i.e. the more people exchange services, the more they like each other and the higher the cohesion (Wallace & Wolf, 1995:322).

Although Blau has an economic utilitarian view of exchange (as does Homans), he also compares economic and social exchange[54]. According to him the basic

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50 One could assume that an individual would be more willing to cooperate if he/she could gain something from the cooperation.

51 Exchange leads to trust, which in turn helps with cohesion and integration in a group.

52 The functionalists also point out that order in a society is obtained by values and norms that are internalised.

53 This statement does not negate the fact that he was of the opinion that most exchange situations are based on the interest of profiting.

54 As one has progressed through the discussions of the exchange theorists, some focussed on economic exchange and others on social. Perhaps it is yet another synthesis in life that exchange is based on both types according to Blau, Malinowski and some others.

difference between them is that the obligations[55] incurred and benefits received in any social transaction are not specified in advance. When it comes to economic exchange the obligations and benefits of the parties are agreed upon, i.e. a contract is made. This implies that social exchange is a process that requires trust[56], whereas the economic exchange transaction can simply be enforced by the use of a contract (Blau, 1968:454). Blau also believes that an important *function*[57] of social exchange is the creation of friendships (Wallace & Wolf, 1995:318). This last statement links up with principle E5 as discussed on p. 49.

The idea of power came to the fore in the above discussion of Homans as well as in the discussion of Parsons (one of the functionalists discussed in this thesis, see p. 31-40). Considering the fact that Blau also looks at this issue, one can only gain the opinion that power is an important issue when it comes to cooperation/partnerships and the exchanges within these partnerships. According to Blau social exchange leads to the acquisition of power and power is gained by having valuable exchange items or services (Ekeh, 1974:183). He is also of the opinion that people can and do exploit their power[58] to gain the maximum benefit for themselves where possible (links with principle E3 on p. 48) (Ekeh, 1974:184). He also states that power is nothing more than a way to obtain what one wants by using punishment or withholding rewards, thus forcing the other party to comply with what one wants (Wallace & Wolf, 1995:326).

Some other viewpoints of Blau that can be used in the summary of principles to follow are:

- Interaction between parties occurs when their status is more or less equal. The interaction between parties who are not equal is less strained if the inequality is

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55 Exchange hinges on give and take. Some exchange theorists see the "give" as nothing more than responsibilities/roles or obligations or duties role players have and the "take" as the rights or privileges they receive in return.

56 Blau was of the opinion that indirect exchange also necessitates trust. The issue of trust was also discussed under the conflict management styles in the functionalism section, where trust was seen as a gain and distrust as a cost in a partnership.

57 Terminology used in functionalism, often appears in the exchange theory.

58 It has been pointed out before, that the functionalism and exchange theories will be used in this thesis and not the conflict theory.

clearly defined/demarcated (Wallace & Wolf, 1995:320). This reminds one of principle E11 on p. 54 and adds to it.

- Blau believed, as did Homans, that social approval leads to conformity (Wallace & Wolf, 1995:323-324).

See principle E12 again: (appendix C) *For a partnership to continue, the exchange transactions have to be perceived as profitable.*
See principle E6 again: (appendix C). Also see principle L9 (appendix D) *Although a partnership should meet the individual needs, it is not always just about meeting them.*
See principle E7 again: (appendix C). Also see principle L16 (appendix D) *Internalised norms regulate exchanges in a partnership.*
See principle E5 again: (appendix C). Also see principle L27 (appendix D). *The more people cooperate in a partnership, the more they like each other, i.e. social bonds are the consequence of partnerships.*
See principle E4 again: (appendix C) *Both social and economic needs should be fulfilled in a partnership.*
Principle E21: This principle has been hinted at during the discussion of some of the other exchange theorists, but will be stated pertinently here. Also links to principle L20 (see appendix D) *For a partnership to succeed there needs to be trust.*
See principle E20 again: (appendix C) *Power gives one the ability to sanction people in order to obtain what one wants in a partnership. However, Blau does focus more on negative sanctions.*
See principle E3 again: (appendix C). Also see principle L13 (appendix D). *Power can be exploited in a partnership.*
See principle E11 again: (appendix C) *One must look at the equality of role players in a partnership.*

Principle E22: Adds to principle E11. Also links to principle L13 (see appendix C and D)

Whereas principle E11 states that non-equals do partake in exchange situations if status is not an important issue, principle E22 states that the interaction between non-equals is less complicated if the inequality is clear.

See principle E18 again: (appendix C)

Social approval leads to conformity in a group/partnership.

2.2.6 R.M. Emerson

The issue of power comes to the fore again and although Emerson's ideas overlap with some already mentioned, he also adds some new insights to this discussion. Parsons, Homans and Blau viewed power as the accessibility and use of valuable/scarce resources. Thus in essence, if you have something that is valuable to the other party you can exert power over them. The following opinion of Emerson adds an interesting element to the idea of valuable resources or services. According to him valued resources have relative value and not absolute value. Thus the worth of something is in the eye of the beholder[59] and is often expressed in terms of what you had to give up to get it (Cook, 1990:13). Homans did however hint at this when he said people in exchange situations try to obtain things that are valuable to them and yet will not make them incur great costs. Blau also voiced the opinion that the sum of what we give vs. what we get is not always clear-cut.

Emerson also ties power to the dependence of role players. He was of the opinion that when role players are unequally dependent on each other for a valued outcome, the less dependent role player has a power advantage (Cook, 1990:101). The levels of inter-actor dependence (interdependence) do not just determine the power imbalances, but also the cohesion of an exchange relation (Cook, 1990:130).

At this point what Emerson said could be linked to the discussion of structural and functional differentiation as discussed on p. 23-24. In structural differentiation role players are not very dependent on one another and thus one could assume that the

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[59] The functionalist Merton had a similar idea with his view that values can be functional for some and dysfunctional to others and that one had to set up a net balance of functional consequences (see footnote on p. 20). In the same way, gains from an exchange transaction, do not always have the same value to all, i.e. what is valuable to the one role player might be worthless to another. This is especially true if it is measured in terms of what the role player had to give up to obtain it.

power they have over each other is limited and the cohesion not as strong. When it comes to functional differentiation role players are very dependent on each other and thus we could assume their power over each other is stronger as well as the cohesion.

Emerson does, however, hold the view that even if there is a power imbalance (where the one role player has more power than the other) people vary in the use of their power. Quite often role players do not use the full potential of their power. This happens when other values (for example equity, commitment and negotiation) contrary to the maximisation of your own rewards enter into the interaction[60] (Cook, 1990:102). However, in the annual meeting of the Global Knowledge Partnership (GKP, 2004) a partnership was described as a type of participation that builds on the principle of equality. Thus although a partnership of inequality (power discrepancy) can work, it still seems as if one based on equality is seen as the better or only option by some[61].

Lastly, Emerson also distinguishes between resource based power and bargaining power. Bargaining power is nothing more than the role player's location in the social network (Cook, 1990:135). Emerson sees power in general as a structural position, that gives one control over another person's outcome (Cook, 1990:102).

Although the issue of power has been discussed under the various theorists in this thesis and has even been looked at as a footnote, the following table gives a global synopsis of all the views before the principles of this section are summarised[62].

TABLE 6: WHAT POWER ENTAILS ACCORDING TO VARIOUS THEORISTS

Theorist	View of power
Parsons	Power is the capacity to induce or coerce conformity. If one looks at the interchanges of subsystems and functional sectors in illustration five, it would be noted that power as the exchange medium of the goal attainment function, gives mostly capital to the adaptation function. Capital is nothing more than a scarce resource.

60 Blau also said that all exchange relations are not governed by self-interest, but that other moral values at times drive these relations (see p. 60).

61 This idea is discussed at length in chapter three (see p. 89 90).

62 In chapter three all the principles concerning power issues are reviewed again (see p. 89).

Homans	Power is the ability to provide scarce and valuable resources, i.e. the ability to provide positive or negative sanctions to get people to conform.
Blau	People with power are those who have valued exchange articles. With power one can obtain what one wants by providing negative sanctions, i.e. punishment or withholding of rewards.
Emerson	Power is a structural position, that gives one control over another person's outcome.

Principle E23: Links and adds to principles E12 and E15. (see appendix C) *What a role player receives from an exchange transaction should be perceived as profitable (principle E12) and valuable (principle E15). The value of an exchange item, however, is relative.*
Principle E24: Also discussed power in principle E3, E10 and L13 (see appendix C and D) *The more dependent a role player in a partnership is on another, the more power the other role player has over him/her. The higher the dependency in a group, the higher the cohesion.*
Principle E25: Adds to principle E7. Also links to principle E3, L13 and L16 (see appendix C and D) *Even though there are power imbalances in a group, other values/norms/rules (as per principle E7) can regulate the exchange, thus overcoming the power imbalance (see principle E3).*
Principle E26: Links to principle E3 and L13 (see appendix C and D) *A role player's position in the social network of a partnership, gives them power or for that matter divests them of power.*

2.2.7 J.S. Coleman

Throughout the discussion of the functionalist and exchange theorists, concepts like values, norms, institutionalisation, conformity and sanctions came to the fore. Coleman also focussed on norms and how they aid exchange transactions. Some space will be utilised now, to look at how the above concepts in general have unfurled in this thesis up to now as well as the links between them, before a very brief overview of Coleman and his views on norms are given.

General discussion on link between norms and other sociological concepts

According to Tischler (1996:654) **values** are our perceptions of what is good and bad/acceptable and unacceptable and **norms** are rules of behaviour (1996:648). In essence values are our beliefs and these values are embedded in our norms/rules of behaviour. According to Steyn and Van Rensburg (1987:142) norms become **institutionalised** when they are accepted by most of the role players, internalised and sanctioned. Lastly **sanctions** according to Tischler (1996:651) are rewards and penalties used to regulate role players' behaviour.

One can now link the above concepts as follows:

For a partnership to be functional (and this includes the exchange transactions within the partnership) there has to be shared values and norms that tell the members what is expected of them. The formulating of these norms are just step one, as they need to be institutionalised by the role players and the role players need to conform to these norms. The group ensures conformance[63] to these norms, i.e. they enforce them with the help of sanctions, that can be positive (rewards) or negative (punishment). Some of the theorists already discussed placed emphasis on positive sanctions and others on negative sanctions.

Coleman and his views on norms

Coleman as the last theorist where *norms* will be discussed, was of the opinion that whether or not people obey norms depends on rational choices. People weigh up what they can get away with and how much they hope to gain. Although norms are rules of behaviour as pointed out before, Coleman states that they have rights underlying them[64]. These norms arise during interaction and conforming[65] to them can give a role player status[66] within a group (Wallace & Wolf, 1995:314-316).

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63 When it comes to the conformance to rules, some of the following phrases have also been used throughout this thesis:
"Capacity to persuade"
"Pattern maintenance"
"Actors motivated to play their parts"

64 Coleman, as did Blau, infers here that exchange transactions consist of responsibilities/roles/obligations and rights/privileges. Even Radcliffe-Brown discussed under the functionalism section (see p. 26) points out that a social system can only function if there are clear rights and duties assigned to role players.

See principle E12 again: (appendix C) *Exchange needs to be seen as profitable.*
See principle E7 again: (appendix C). Also see principle L16 (appendix D) *There are rules/norms that regulate exchange transactions or for that matter any interaction.*
Principle E27: Status also discussed in principle E11 and principle E22. Also links to principle L16 (see appendix C and D). *If the role players in a partnership conform to the values and norms of said partnership, they can gain status.*
Principle E28: Although this was not formulated as a principle under Blau, he did also touch on this aspect. Also links to principles F7, F15, F16 and L24 (see appendix B and D) *In a partnership role players have both responsibilities/roles/obligations on the one hand and rights/privileges on the other hand.*

2.2.8 R.H. Turner

Turner will be the last theorist to be discussed. Turner, just like Durkheim looked at the division of labour and the implications that it has for a partnership. Some of the core issues Turner discussed and that can be formulated into principles are (Ekeh, 1974:66):

- Whenever there is a division of labour, each role player finds that they neglect some essential task in order to perform the task/role assigned to them. However, if the role players share common sentiments, they trust that another role player will perform the neglected part[67].
- With the division of labour/specialisation of tasks, each role player needs the group/whole to validate that they are doing something useful[68] i.e. contributing to

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65 Conformation to norms increases cohesion in a group.

66 When Blau was discussed, it was pointed out that interaction occurs between parties of more or less equal status (see p. 61). Now Coleman points out that parties can obtain status not just by having more resources than others, but simply by conforming to the set norms and for some role players this might be the only way to obtain status.

67 The functionalists also stated that a system could only survive if each part contributes to the function of the whole. Thus role players need to cooperate if they are to survive.

68 If a role player feels he/she is doing something useful, i.e. is part of the group, the solidarity within the group increases.

the whole. This validation motivates them. This reminds one of principle E 13 (see p. 58).

- Once labour is divided an individual role player does not have the ability to control the over-all direction of the group effort. Thus, there has to be a general agreement on the direction in which the group is heading[69].

The above can be summarised in the following principles:

See principle E28 again: (appendix C) *The importance of responsibilities/roles/obligations is pointed out again.*
See principle E21 again: (appendix C) *Trust is needed in a partnership.*
See principle E13 again: (appendix C) *Partners should receive acknowledgement for their contributions.*
Principle E29: Links to principles F4, F8, F13 and L9 (see appendix B and D) *For a partnership to succeed there has to be shared/common goals.*

CONCLUSION

Not only were there principles formulated in this chapter, but in chapter three (literature review/desk research) some more principles of what to do, or not to do in order to maximise one's chances for a successful partnership will be formulated. Where they link or add to principles formulated in this chapter, it will be pointed out as was done in this chapter. Both the principles formulated in this chapter and in chapter three, will be summarised and the duplications removed in chapter six. The data obtained during the course of the research (desk and field-based) will be analysed based on these principles.

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[69] In essence Turner is just once more confirming what Parsons said, when he stated that shared goals are needed for a system to function.

CHAPTER 3:

Conceptual context and literature review

PROLOGUE

As noted before the title of this thesis is "Towards a tripartite partnership for sustainable development in the Rustenburg platinum region". Although chapter one has touched on some of these aspects, **this** chapter will be used to analyse each of the concepts that make up the title[70] in detail and to formulate some more principles (as gleaned from relevant literature research) that could contribute to a successful partnership.

Where there are links to other principles that have already been formulated in the theory chapter, they will be pointed out. If the principles formulated in the theory chapter are also found in the literature review, these theories are in fact already validated in some way. The writer took the liberty to assume that some links to existing principles are so clear that they need not be discussed in detail, but simply be pointed out. Where the link is not as clear (from the writer's perspective), some space will be used to discuss the link in more detail.

If one looks at the title the word "towards" implies that a partnership is a process[71] and this will be discussed later in this chapter. The thesis will focus on the first stages of a partnership. As the focus will be on the first stages of the partnership, it makes the principles even more important as one needs to look at all the factors that can inhibit and encourage partnership formation, right from the start. These principles obtained from the literature research[72] can be used when one is about to start a partnership. One of the most important skills required in phase one of a partnership formation is openness to learning, as well as providing information on partnering and

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70 Some underlying aspects that are not specifically mentioned in the title, but that are indirectly insinuated within the title will also be discussed.

71 As a partnership evolves through stages, the integration that is needed to unify the different role players into a functioning whole and the cohesion that is needed to keep the partnership stable, does not happen overnight either.

72 The principles formulated in the theory chapter can also be used as suggestions of what should be considered if one would like to increase the chances of a partnership being successful.

in the last phase one is encouraged to pass one's own experiences on to others (see table nine).

According to the title, the partnership studied here will be based on a tri-partite basis. Thus some space will be used in this chapter to discuss partnerships in general and then to discuss tri-partite partnerships. Some space will also be devoted to discussing forums. Although the study was not prescriptive when it came to the format of the partnership, the interviewees were exposed to the concept of a forum. The structure[73] of a partnership/forum will also be looked at, as well as the advantages of partnerships.

According to the title this will be a case study in the Rustenburg platinum region. The aim of the partnership will then also be for the role players to ensure sustainable development[74] for all in the *region* by trying to solve shared social, economic and environmental problems/needs. For this purpose the researcher will also discuss the impact of a localised scenario and the specific needs that should be addressed for sustainable development to occur in that region. Sustainable development will also be discussed in general. In effect some of the aims of the study were encased in the title (see illustration below).

ILLUSTRATION 7: VISUAL REPRESENTATION OF SOME AIMS OF STUDY

[73] The structure of a partnership, determines the type of integration. See discussion on the differences of mechanic versus organic integration in chapter two (p. 22-23).

[74] With a shared goal (sustainable development for all in this instance) integration and cohesion are less problematic.

According to the above illustration one of the aims of the study was to gauge role players' expectations, perceptions and attitudes[75] towards business, government and the community working together (tri-partite partnership) on economic, environmental and social needs in the Rustenburg platinum region, to ensure sustainable development for all.

The discussion of each concept will however not be done in the same order as they were discussed in the prologue. In the prologue they were basically discussed as they appeared in the title of this thesis. For the body of the text the reader will be sited in the area the sample covered, then the reason for this partnership, i.e. *sustainable development* based on shared needs in the *region* will be looked at. The type of partnership and format will be briefly discussed. Lastly the phases of a partnership, the reasons to invest one's energy and time in the process and some critical success factors (dos and don'ts) for a successful partnership will be looked at. Although new principles will indirectly be noted throughout this chapter (especially under the critical success factors) the chapter will be concluded by a formal summary of these principles[76] in table format. These principles and those set up in the theory chapter will be recapitulated in chapter six. The data obtained during the study will be scrutinised to see if it contradicts or affirms these principles where possible.

3.1 Defined region/area and multiple dimensions of study

3.1.1 Region/area defined in general and detailed to case study

The study focussed on the Rustenburg Platinum region (see Appendix E and F). Appendix E places Rustenburg into the general South African mining context and appendix F delineates the area described as the "Rustenburg platinum" region in the title.

Before the specific case study is looked at, what a region is according to a sociology dictionary will be examined. According to Fairchild (1965:253) a region is a "measure of areal and cultural differentiation of human *society*[77], delineated in scientific units of

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[75] The expectations, perceptions and attitudes of people influence their willingness to cooperate and collaborate.

[76] The summary will contain both principles that are echoes from ones found in the theory chapter and new ones.

[77] Italics used for own emphasis.

observation of likeness and differences". A society is "a group of human beings co-operating in pursuit of several of their major interests...Society is a functional group, so much so as to be frequently defined in terms of relationships and processes[78]." (Fairchild, 1965:300). Fairchild (1965:253) also notes the following major attributes of a region, each of which pertains to the case study done for this thesis in some way:

- It is a geographic unit[79] and appendix F delineates the geographic area of the study done for this thesis. This geographic unit has specific geological and climatic factors, which help determine the functional aspects discussed two bullet points below.
- It has some degree of homogeneity in a number of *selected* characteristics. This does not imply that every role player in the study area is homogeneous[80], as this is not true.
- The structural or functional aspects dominating the region determine the aspects of homogeneity mentioned above. In the Rustenburg case study, the one homogeneous functional aspect is mining[81]. In fact, if one looks at the geographic map (appendix F) of the area, one would note that the functional aspect determines the physical layout of the sample area, as people and companies cluster around the actual reef of platinum ore that is actively being mined.
- There is a sense of unity as the land and its people were culturally conditioned through time and relationships, i.e. it has a specific history. As noted in chapter one (see p. 6-7) this history[82] can influence a partnership. The influence of

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78 The view that society is a functional entity that cooperates in pursuit of their interests fits in well with functionalism.

79 This implies that it is an aggregated whole or totality, a reverberation of functionalism.

80 The less homogeneous role players are, the more complicated integration and cohesion can become. On the other hand, the fact that role players are not homogeneous, is often part of the reason for cooperation and collaboration as their differences often complement and/or supplement each other.

81 Some role players were directly affected by the mining industry as they were employed by the mines or serviced the mines (business and parts of the community working for the mine). Other role players were indirectly affected as they stay in the area (community). Then there is the local government who needs to coordinate all services in the area in order to keep their electorate (consisting of both the community and business) happy.

82 History influences role players' willingness to cooperate and if there is a bad history it can inhibit integration. Vice versa a good past history can facilitate integration and for that matter cohesion.

history will also be discussed again under the "critical success factors" section of this chapter.

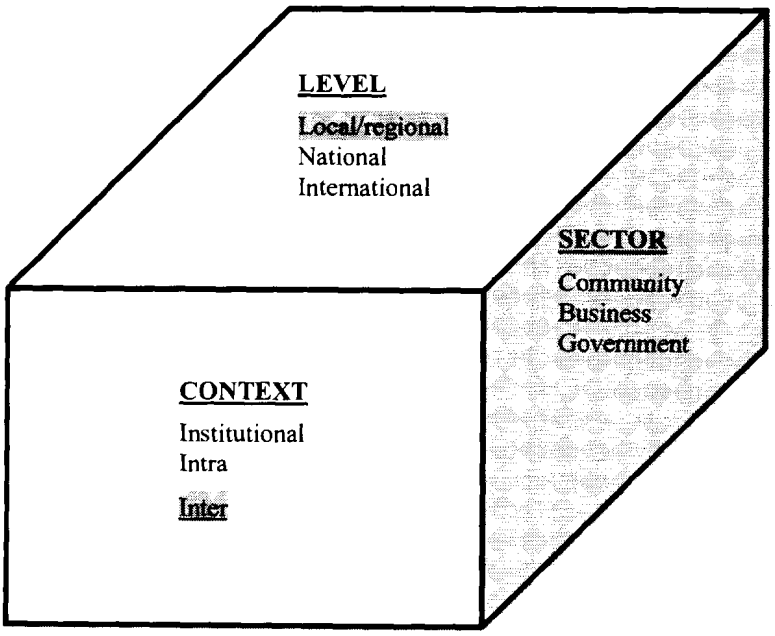
In summary it should be noted that the Rustenburg platinum region thus has both geographical and social boundaries.

Even when the focus of partnerships for sustainable development is localised as per this case study, it should not be forgotten that other dimensions also influence the local level. As per point in case the influence of laws[83] (made at the national and international levels) are discussed under the types of partnerships (see p. 82-85).

3.1.2 The multiple dimensions that affect partnerships at the local level

The following illustration (adapted from USAID, 1997:113) depicts the multiple dimensions that are affected even when development is looked at on a **local level.**

ILLUSTRATION 8: THE MULTIPLE DIMENSION OF A LOCAL TRI-PARTITE PARTNERSHIP.



When looking at local development, as pointed out above, the bigger picture[84] i.e. that the national and even the international level can influence the local level in direct and

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[83] Often laws enforce cooperation and integration. However, if neither of these two are spontaneous it can negatively impact on cohesion or lead to a superficial cohesion.

[84] Yet another reverberation of functionalism i.e. to fully understand any sub-section, one needs to also be aware of the whole.

indirect ways, should never be lost. All the sectors, i.e. business, community and government should be involved. Lastly it should not be forgotten that each role player might be part of the whole, but is also a whole on its own[85] (see discussion on p. 108). Thus one should remember that each of the *separate* role players classified under the business sector, for example Anglo, should function as a whole by itself (**institutional context**). The business sector by itself is also a unit that shares certain interests, i.e. all the mining companies are part of the same cluster and their needs may differ from perhaps the general communities' needs (**intra context**). When one looks at the tri-partite partnership mentioned in the topic of this thesis, one deals with the **inter context**. Here all three the main categories/sectors need to function as a whole. In summary it can be said that one can only understand the inter relationships between business, government and community (the tri-partite partnership) at the local level, if one is aware of the whole cube as depicted in the above illustration.

For sustainable development to occur, the question of whether it should be addressed at the local, national or global level should be asked and answered first. According to the International Institute of Environmental Development (2002:23) this question should be addressed and answered by all the role players. In Rustenburg the focus was on a local level. As a partnership becomes stable[86] and functional it can be broadened to include more role players and perhaps advance to another level. Mizrahi and Rosenthal (2001:8) also state that over time a partnership gains legitimacy and as this happens, more role players want to join in.

The success of any project requires an understanding of its location and social context[87], thus the vision of sustainable development should always be consistent with a local vision (IIED, 2002:198). Each area is unique and the process of sustainable development needs to be within the confines of available resources and capacities of each unique case, i.e. the Rustenburg platinum region in this study.

At the local level, the gains are also more localised. This just seems fair as people living in the area of mining are more adversely affected by the mining activities. They

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85 Functionalism to the fore yet again.

86 Once a partnership is stable/has good cohesion, it is less painful to integrate new role players.

87 To truly get role players to cooperate, collaborate and integrate an understanding of the specific region is needed. This is also one of the reasons that partnership formation is easier if organised by the internal role players and not just forced by external vigour.

should then perhaps receive a larger share of the benefits[88] of sustainable development (World Bank and International Finance Corporation, 2002:2). If not, the exchange can be seen as unfair and according to principle E12, a partnership will only continue if the exchange is perceived as profitable and fair. If the exchange is viewed as unfair, the cohesion of a partnership can be threatened.

Lastly it should be pointed out that although each case study is localised, i.e. unique, some knowledge could be gleaned from it (see discussion on p. 69-70). The idea that each case study is both unique, but also can be generalised up to a certain point, will recur throughout this chapter. How far a case study can be generalised will be discussed in the methodology chapter.

3.2 Sustainable development defined

Most of the role players (directly or indirectly affected by the mining industry) have come to realise that they have to adapt to a changing environment[89] where concepts like *sustainable development* and *cooperation* in order to obtain sustainable development have become run of the mill terminology and practises.

The concept of sustainable development can be broken into the words "sustainable" and "development". Wates and Brown (2003:4B-7) note that "development" implies that something becomes better or more useful over time and "sustainable" implies that development should be kept up. Thus in essence sustainable development is about improving the quality of life on a continual basis. Unfortunately breaking the concept into its component words is not enough to truly encapsulate the concept.

Sustainable development is hard to define, as the definition changes over time and encases different aspects for different people, thus being a very fluid concept.

The two main definitions in use today are that of the Bruntland commission and the ICLEI (International council for local environmental initiatives).

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[88] Here the exchange theory is hinted at. As discussed during the exchange section, humans as part of their natural propensity are always busy with a calculation of their losses versus their benefits. One is hardly likely to partake in a partnership if there are no gains and only severe losses.

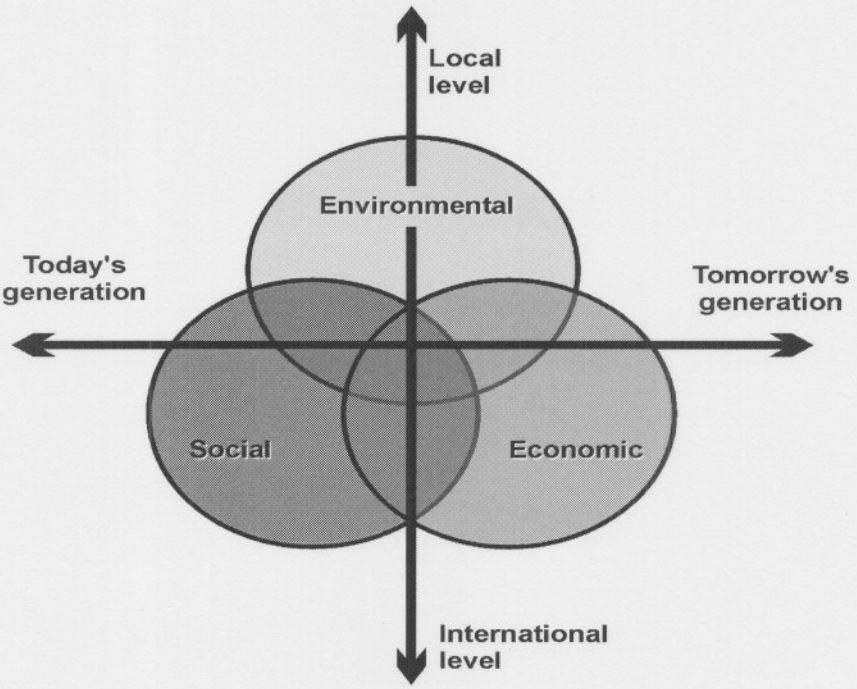
[89] Cooperation and collaboration seem unavoidable in the fast changing environment. Yet another reason the functionalism and exchange theories were chosen in an attempt to grasp the subject matter (partnerships) being studied.

The Bruntland commission defines sustainable development as "development which meets the needs of the present generation without compromising the ability of future generations to meet their own needs" (Patel, 2000:386).

The ICLEI defines it as "development that delivers basic *environmental, social and economic*[90] services to all residents of a community without threatening the viability of the natural, built and social systems upon which the delivery of these services depends" (Patel, 2000:387). Other sources also list these three "pillars" of sustainable development i.e. environmental, social and economic development (Marais *et al.*, 2001:72; Wates & Brown, 2003:4B-8; Lyons *et al.*, 2001:1239; World Bank, 2001; Elkington, 2005; Federal Office for Spatial Development, 2005).

For sustainable development to occur, one needs to integrate these three pillars[91] as they often form the basis for partnerships at local, national and international levels. See illustration adapted from Federal Office for Spatial Development (2005) below.

ILLUSTRATION 9: THE VARIOUS DIMENSIONS OF SUSTAINABLE DEVELOPMENT



90 Italics used for own emphasis.

91 These three pillars cannot be isolated from one another as they interact with each other and form a whole.

As pointed out above, although the case study focussed on the local level, there are impacts from national level[92] when it comes to sustainable development. To attest to this fact the South African Mineral and Petroleum Resources Development Act (28/2002) section 2 (h) which is a national law, states that the nation's mineral and petroleum resources should be "developed in an orderly and ecologically sustainable manner while promoting justifiable social and economic development". This act also defines sustainable development as "the integration of social, economic and environmental factors into planning, implementing and decision making so as to ensure that mineral and petroleum resources development serves present and future generations". Thus by implication role players are actively compelled by law to strive for sustainable development.

If one looks at the concept of sustainable development as discussed up to now, one can find the exchange theory imbedded in the idea of sustainable development[93]. There are many and very complicated decisions that need to be made on the road to sustainable development that entails compromises or trade-offs. These trade-offs can be between different objectives, the different legs of sustainable development (economic, social and environmental), different role players and even different generations, to name just a few. Both gains and losses occur and they should be carefully weighted, before one proceeds with any action. The idea in sustainable development is to maximise the "win-wins" (where the well-being of most of the role players are met simultaneously) and minimise the "trade-offs" where one gains much and the other nothing or very little. Thus for sustainable development to occur role players need to collaborate and cooperate, i.e. try and have a symbiotic relationship and not a parasitical one. Cooperation creates new synergies that enhance the effectiveness of all concerned.

Perhaps, after all is said and done, sustainable development should not only be seen as a concept. It should also be seen more as a framework for change than a list of prescriptions that have to be fulfilled (IIED, 2002:21).

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92 For that matter as pointed out before, there are also international implications.

93 Not only is the exchange theory imbedded in sustainable development, but it is also a measurement tool to measure the actual impact of mining on a community. When one measures the cost and the gains for any mining activity and the costs far outweigh the gains, one can conclude that the mining activity in that community has a negative impact and vice versa (World Bank, 2002: 4; Warner, 2002:7).

There should be a holistic framework to sustainable development and for this integration and cooperation is needed. According to Yakovleva and Alabaster (2004:83) sustainable development can only be truly effective if there is constructive input, i.e. cooperation from all role players. Thus for sustainable development to occur, there need to be meaningful partnerships and effective planning.

According to the IIED (2002:74) the "fulfilment of 'needs' is central to the definition of sustainable development". Thus for the above-mentioned partnerships to succeed, they should be based on fulfilment of the role player's needs.

Parnell and Pieterse (Patel, 2000:386) point out that there is a blind spot in sustainable development due to the fact that it often works on the assumption of homogeneous needs, i.e. common interests in an area. According to them it is not always the case, as there can be real conflicting interests that need to be addressed before people can work together.

3.3 Needs

For the purposes of this study *needs* do not just refer to a "lack of necessaries" (Sykes, 1976:729). It also implies all "circumstances requiring some course of action" (Sykes, 1976:729). The respondents were actually asked to list all the needs/problems in the region as a problem also requires "treatment" (Sykes, 1976:883) i.e. action.

Although a long list of needs/problems that can be fulfilled by partnerships can be compiled from the literature research, the writer will briefly focus on the needs that could correlate to that of the case study, i.e. needs listed for other mining operations that can be pertinent at a local level[94]. This list is by no means complete and as each case study is a unique study, **no** complete list will exist. Part of the study was to do analyses of the needs in the Rustenburg platinum region by asking all the interviewees for their input (see questions twelve to fourteen in appendix A). Thus the actual list obtained from the interviewees would be of greater interest, although there should be an overlap with the literature research.

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[94] Case studies where partnerships were formed at a local level were used. In some instances these case studies were from Africa and in other instances from other continents.

Regardless of the type of needs found in the literature research, it was interesting to note that not only is the identification of needs important, but the prioritising of afore-mentioned needs are also important[95]. "While priority should be given to areas of greatest needs, it is also important to remember that changes in any one element will have ramifications for all other elements[96]. Therefore, priority attention should also be given to those areas most likely to be *significantly* affected by change made in the areas of greatest need" (USAID, 1997:119).

The needs mentioned mostly in the literature research can be summarised in the following table. They are listed as they were encountered during the literature research and thus no ranking on a priority scale has been assigned to them. When looking at the needs identified in the Rustenburg case study, their priority will be discussed (see chapter five p. 157-158).

TABLE 7: TYPE OF NEEDS/PROBLEMS IN MINING AREAS

Need	**Source**
Lack of social and cultural opportunities	IIED (2002:65)
Prostitution	IIED (2002:65) & World Bank and International finance Corporation (2002:13)
HIV/AIDS	IIED (2002:65) & World Bank and International Finance Corporation (2002:13)
Alcoholism	IIED (2002:65) & World Bank and International Finance Corporation (2002:13)
Loss of indigenous culture	IIED (2002:152)
Waste management/pollution	IIED (2002:234) & MEPC (2001:12-13)
Poverty alleviation	IIED (2002:365-366)
Job creation	IIED (2002:365-366) & MEPC (2001:12-13)

[95] For true cooperation based on "shared" needs, not only must the needs be mutual but there should be an overlap in the priorities assigned to them.

[96] An echo of functionalism.

Human resource development/ capacity building/education	IIED (2002:365-366)
Housing	MEPC (2001:12-13)
Migrant labour	MEPC (2001:12-13)
Effects of blasting	MEPC (2001:12-13)

One could assume that the greater the overlap of needs and their prioritisation, the stronger the integration and cohesion in a partnership. Thus, in a way, the overlapping of needs and their ranking of importance can determine the type of partnership, i.e. if there is not a great overlap a partnership might be less structured or permanent. Other factors also determine the type of partnership and in the next section some of them will be examined.

3.4 Partnerships/types of cooperation

This section will broadly cover what partnering entails, before the continuums that partnerships can range on will be discussed briefly. Some space will be utilised to look at how tasks/goals as well as statutory frameworks[97] impact on the type of cooperation. Tri-partite partnerships as a specific and unique type of partnership will be discussed, as well as the role players/partners that will make up the tri-partite partnership. Lastly some attention will be paid to partnership versus paternalism.

3.4.1 Partnerships in general and the continuums they range on

"Partnering involves sharing visions, capacities, and power to build something different from the individual visions of each player"[98] (USAID, 1998). Thus partnering is about **collaboratively** addressing [development] problems that are collective, i.e. partnering is about actors interacting to achieve common ends. These common goals that need to be achieved is the one constant, regardless of the type of partnership (El

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97 In South African there are specific laws that govern and propose partnerships.

98 This statement advocates a more functional differentiation than a structural differentiation (see discussion under functionalism p. 23-24). This links to principle F6 that states that a partnership based on functional differentiation has a higher level of cooperation than one based on structural differentiation.

Ansari *et al.*, 2001:216; Waddock, 1991:481). With partnerships one can avoid duplication and encourage an **exchange** of ideas. Thus partnering is both a process[99] and a result.

Once again the above indirectly re-affirms that both functionalism and the exchange theory are applicable theories to use in the explanation of the phenomenon of a partnership.

The format of a partnership can be diverse and broad ranging. According to (USAID, 1997:117) and the NRC (1999) a partnership can vary from a very informal arrangement to a very structured unit. A partnership can also be short-term or more permanent. Even the size of a partnership can vary and laws can regulate the type of partnership formation. Warner (1999) also states that partnerships can range on a spectrum from mere knowledge sharing to joint responsibilities[100]. Under the heading partnership and paternalism, it will also be pointed out that a partnership can vary from some role players being merely consulted, to "true" partnerships that are based on equalitarian and democratic philosophies. Partnerships can also vary from low task specificity to high task specificity. As pointed out on p. 73 the level of a partnership can range from a localised partnership to an international one.

Some of the above-mentioned dimensions had a greater impact on the case study and will be discussed in more detail during the course of this chapter.

3.4.2 How tasks/goals impact on the type of cooperation

Both the role players and the task/goals determine the type of partnership. According to USAID (1997:196) the type of partnership most suited to a situation can be determined by looking at the following dimensions as plotted on the table below.

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[99] The phases/stages of a partnership will be discussed later in this chapter.

[100] In chapter five the various views of the interviewees also range on a continuum from merely knowledge sharing to a partnership being run like an organisation.

TABLE 8: DIMENSIONS OF PARTNERING

	Low partner diversity	High partner diversity
Low task specificity	**1.** Associations/networks that allow loose coordination among similar organisations.	**2.** Broad social movements that allow loose coordination among diverse organisations
High task specificity	**3.** Issue-based networks or alliances that coordinate task and resource allocation among similar organisations	**4.** Partnerships that coordinate task and resource allocation among diverse organisations

Although it is not specifically mentioned, one could assume that a partnership is not always restricted and consigned to one quadrant forever. As it has been pointed out, partnership formation is a process and thus it should be relatively safe to make the assumption that a partnership can move from one of the above quadrants to another over time. Even when one isolates any partnership at a specific given time, one cannot necessarily assume that the given partnership can be placed in the centre of a specific quadrant.

3.4.3 How laws impact on the type of cooperation

Often there are laws that regulate partnerships and the formation of partnerships, i.e. some type of government statutory models. However, this does not exclude private–sector models. Often these private models are needed to supplement the prevailing public statutory models (IIED, 2002:302-303; World Bank and International Finance corporation, 2002:4). Laws can and do contribute to partnership formation as they are great levellers, i.e. laws at times protect the rights of smaller groups and thus reduce power imbalances. This links to principle E25 (see appendix C). Even when a partnership starts out concentrating on the local level, laws made at a national level need to be heeded. Some laws are even made at an international level and these can impact down to the local level, i.e. one will have considerable trouble if one should try and mine on an internationally acclaimed heritage site.

Laws after all are nothing more than written norms[101] that govern the action of the role players in the formation of their partnerships and even in some of the goals they set. If one looks at the discussion of both functionalism and the exchange theory the impact and importance of norms and the sanctions that impose them are repeatedly mentioned. On a practical level in the South African mining industry, for example, there is a "score–card" attached to the Mining Charter, on which the mines are measured, i.e. a way of sanctioning them to comply with what is expected of them legally.

3.4.3.1 Statutory and regulatory framework that influences partnerships in South Africa

Van der Waldt (2005:4-10) looked at the statutory environment in South Africa that affects participation and according to him the following statutory frameworks have an important impact:

- The Constitution of the Republic of South Africa Act 108 of 1996
- White Paper on Local Government
- Municipal Structures Act 117 of 1998
- Municipal Systems Act 32 of 2000
- Promotion of Access to Information Act 2 of 2000
- White Paper on Transforming Public Service Delivery (1997)
- White Paper on Traditional Leadership and Governance (2003)
- Local Economic Development (LED)
- Municipal-Community partnerships (MCPs)
- Charter for the Public Service in Africa

As this thesis is not in Public Management each of the above statutory frameworks will not be discussed in detail. However, as the study focused on the local level the importance of local municipalities and the role of the IDP will be discussed in some detail.

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[101] Shared norms and ways to sanction role players' conformation to them are needed for integration and cohesion.

The importance of local municipalities was also stressed in the Rustenburg local economic development plan (UE & Rustenburg Municipality, 2002:1) as the following quotation that specifically mentions some of the above-listed statutory frameworks attests to.

> "The mandate for local municipalities, as emphasised by the **White paper on local government**, can be seen as the plan for a new system of local government. The **Local Government: Municipal Systems Act (act 32 of 2000)** focuses on the provision of the core principles, mechanisms and processes that are required to enable municipalities to promote social and economic up-liftment. The MSA laid the foundation for the **Integrated Development Planning (IDP)** process, which lies at the centre of this new system of developmental local government".

Not only is the IDP central to the partnership formation in any region, but according to the Rustenburg Municipality (2002:1) it is also a legislative requirement and thus "has a legal status and it supercedes all other plans that guide development at local government level". It would be remiss not to look at its impact briefly, as it also features prominently in some of the models[102] of suggested structures for the Rustenburg region partnership (see p. 169). According to the Rustenburg Municipality (2004a:33) "local government is primarily challenged through the IDP process to ensure integration and co-ordination* between the various sectors and cross-sectoral dimensions of development, to achieve social, economic and ecological** sustainability. This will require municipalities in their planning processes to take into account the legislative, policy and strategy approaches of the line departments of provincial and national government***."[103]

In fact, the Rustenburg local municipality has committed themselves to sustainable development in the area by using a stakeholder participation process (Rustenburg municipality, 2004a:20). To this end they launched the Rustenburg IDP

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[102] Some of them directly mention either the IDP or local government as the highest authority in the partnership structure.

[103] The following ideas, which have been looked at in this thesis, are solidified in this one paragraph:

*The co-ordination mentioned here, is nothing more than cooperation and collaboration.

**Once again all three legs of sustainable development are considered.

***Lastly the fact that local development needs to take into account the bigger picture, i.e. laws on provincial and national level are re-iterated.

Representative Forum (Rustenburg Municipality, 2004a:23) in June 2004. This forum will be discussed in detail in the results chapter.

Not only can partnerships vary due to their goals and the statutory environment, but they can also vary in size. The next section will focus on features of a tri-partite partnership.

3.4.4 Tri-partite partnerships

According to Warner in (Yakovleva & Alabaster, 2004:84; NRC, 2003) a tri-sector[104] partnership suggests that *business, government* and *society* cooperate to try and address challenges related to them. This partnership should at the heart of it, try and promote sustainable development. Partnerships, however, do not always take on the format of a triad. There are some dyadic partnerships and for that matter other number combinations. Each has it advantages and disadvantages, for example a dyad has higher cohesion as there are fewer categories of members, but a deadlock is more likely (Steyn & Uys, 1990:117-118). Warner (1999) does, however, state that tri-partite partnerships "deliver a **higher level** of development impact and business benefit than could be achieved by bi-sector partnerships where business works with *either* government *or* civil society".

According to USAID (1998), intersector partnering is about creating joint initiatives. In a tri-partite partnership one has an intersector partnership consisting of three groupings of role players. By combining the resources and by looking at the needs of each role player revelations for development problems can be arrived at. Partnerships become unavoidable, as there is a mismatch between resources and needs. To distribute the two equably and resolve conflict[105], partnerships are needed. Most partnerships are based on dealing with "metaproblems" or, put in other words, problems that are too difficult for one organization to cope with (Waddock, 1991:482). Thus the scope of a problem and the distribution of resources needed to deal with a problem, often determine the individual role players for each partnership as well as the type of partnership.

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[104] Also sometimes referred to as a "trilateral" partnership.

[105] Idea of cooperation being a conflict resolution mechanism.

Tri-partite partnerships (as any other type of partnership for that matter) evolve and develop over time. The NRC (1999:2) states that "tri-sector partnerships ... change shape, organisation and function over time in response to both external and internal factors" (also see the discussion of the process of tri-partite partnership formation under the phases of forum formation p. 96-97).

3.4.5 Partners

Although the three legs that make up the tri-partite partnership have been discussed somewhat up to now, some general ideas pertaining to partners in the mining industry, as conveyed by the literature research will be discussed now. The potential strengths[106] that each role player can bring to the partnership will also be looked at where possible. The three legs were also discussed in the methodology chapter (see discussion on p. 137-139) as they affected the categorising of role players on the questionnaire.

According to IIED (2002:5, 57 & 152) and IFC (1998:23) the following are role players that can be included in a partnership in the mining sector in general:

- The mines
- Government (local and other levels)
- International organisations
- NGOs
- Academia and other research institutions
- Media
- Labour
- Civil society, local communities and traditional groups
- Financial institutions, consumers and shareholders

[106] Each role player brings both strengths and weaknesses to a partnership. In some way they can draw from each other's strengths and improve their weaknesses (capacity building). Thus once again there are aspects of collaboration (exchange) and cooperation.

The list above includes some of the role players who can be involved. Who is actually involved in the end depends on each unique situation, i.e. the aims of the partnership, the type of partnership etc.

In the course of doing the literature research the advantages that some of the above-mentioned role players can bring to a partnership as well as some other interesting aspects pertaining to specific role players were noted. Where these bring good insights to the Rustenburg case study, they will briefly be discussed here under the three main category headings of role players.

3.4.5.1 Community

According to IIED (2002:152) traditional role players/indigenous people are characterised by identity, territory, autonomy, self-determination and participation. In most case studies the indigenous role players are portrayed as one of the weaker role players, as they often lack power and capital (IIED, 2002:152). Although it is true that most case studies can hold wisdom for others in similar situations, it should never be forgotten that according to principle F11 (see appendix B) each situation is unique. Thus there is not always a consecrated and sacred framework that depicts all partnerships and can universally be applied to them all. And just to remind one of this, the Royal Bafokeng as the tribal part of the community studied in this case study, is a *significant* role player and not just one of the weaker role players. Manson and Mbenga (2003:45) wrote an article about the Bafokeng in which they state that the Bafokeng is one of the richest tribes in Africa due to the royalties they receive from mining operations taking place on their land.

NGOs as well as other community organizations have become important. In conjunction with the media, they have become critics of industry accountability. They also influence society and their opinions and lastly they challenge governments and their policies (IIED, 2002:69).

3.4.5.2 Business and labour

Trade unions can be both the ambassadors of industry and community interests (IIED, 2002:65). Participation is one of the corner stones of trade unions (IIED, 2002:126). Although trade unions do not represent the entire work force, they are

more representative of workers than any other grouping (including management and NGOs) according to the International Labour Organization (IIED, 2002:126).

3.4.5.3 Government

Government should act as stewards for the interests of the community (IIED, 2002:66). Thus although the government and the community were conceptualised as separate role players in this study, it seems that they are not always two distinct organisms.

Even if one looks at development at a local level, the national government cannot be excluded as they provide the overall framework of rules in which markets function and social processes take place.

Another key role for governments is enabling, organising, or participating in multistakeholder processes (IIED, 2002:336).

As a finale to this section it should be noted that, "in the transition to sustainable development, all [the above mentioned] actors are at different starting-points on an uncertain collaborative journey that will require on-going adaptation and convergence at many levels in many different places" (IIED, 2002:114).

3.4.6 Partnership vs. paternalism

According to the IIED (2002:58) the depth of involvement and decision-making can vary in partnerships from role players who purely have a right to be informed to role players who have a right to be consulted to role players who have the right to participate[107].

From the above it can be deduced that partnerships range on a continuum from where role players are merely informed of decisions to "true" partnerships of equals. Depending on the type of partnership and the aims, it seems that partnerships can function (for short periods of time or long periods of time) under and between the two extremes. Partnerships can even evolve from a total paternalistic partnership to a

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[107] The NRC (2003) does add an interesting insight to this when they state that the pooling of resources already "signals a commitment...beyond consultation and dialogue".

democratic one. When local communities are directly involved in decision-making, there has often been a progress[108] from consultation to participation. At times this is not an immediate option, but it should be a long-term goal (IIED, 2002:224).

Wherever a partnership operates on this continuum, the ideas contained in principles E11, E22, E25, E 26 and E3[109] should be heeded.

Principle E11 *states that equality in a partnership leads to a stronger more durable partnership[110]. This principle also states that a partnership of non-equals can succeed if status is not an issue.*
Principle E22 *states that a partnership of non-equals is more successful if the inequality is clear.*
Principle E25 *states that even if there is a power imbalance in a relationship, i.e. a partnership of non-equals, other values/norms/rules can regulate the interaction in the partnership[111].*
Lastly principle E26 *states that in a relationship of non-equals, the position of a role player in the partnership, gives him/her power or divests them of power.* **This links to principle E3** *that states that if some role players have more power than others, they can exploit it. Thus for a partnership of non-equals to function, there should be norms* (**principle E25**) *that make sure that those with power do not exploit their power* (**principle E3**).

Although a partnership can range on a continuum as discussed above, in most of the reading done during the literature research, it seems that a partnership based on equality is viewed as first prize. A partnership based on consultation[112] is second prize and one based on some role players merely being informed of decisions, is third prize.

To this effect El Ansari and Phillips (2001a:127) state that when there is participation, it should be true participation and not just tokenism. Patel (2000:387) is also of the opinion that for sustainable development to be integrated and holistic, a more

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108 Once again it is pointed out that partnerships evolve over time.

109 These principles all pertain to the power differences in relationships.

110 In effect this principle states that a partnership based on equality of role players leads to better cohesion in the partnership.

111 In effect this principle states that even if there are power imbalances in a partnership, integration and cohesion are possible, if there are clear norms that regulate the interaction.

112 In a partnership of consultation all of the role players might not be happy with a decision taken. They will however often accept it due to the fact that they have participated in a process they regard as fair and where they were granted an opportunity to give their input.

democratic participatory approach works better. Lastly Gibson (2001:7) was of the opinion that if certain role players are not up to real participation, they should be taught some skills that will enable them to become fully-fledged partners.

Now that some writers have been quoted as voicing their opinion in favour of "true" participation, one should briefly look at what "true" participation entails.

In a true partnership the structure and rules are agreed by mutual consent (Warner, 1999). For a true partnership, there needs to be a network, rather than a hierarchy (USAID, 1998). The relationship is not parental, but more a relationship of peers. Working as equals in a partnership often needs a mindset change from role players. Some have difficulty letting go of control, i.e. being paternalistic comes naturally to some and it takes time and a cultural change for them to accept partnerships of true equality (BPD, 1998:9).

3.5 Forum definition

In the study done for this thesis interviewees were exposed to the concept of a joint forum and asked for an opinion on this concept. Although the results of this question will be discussed in detail in chapter five what a "forum" entails will briefly be discussed here.

According to Sykes (1976:416) a forum is a "meeting for public discussion", i.e. a discussion group. Thus most types of partnerships in some way conform to what a forum is in essence.

Forums, according to Solomon (1997), are ideal to facilitate collective actions. At the local level, forums can also be a most effective means of democratic partnerships (IIED, 2002:224). WRAP (1997) states that forums are "the major tool for stakeholder participation". The IDS (2005) also states that a forum is one way for mining industries to deliver on the vision of sustainable *regional* development.

3.6 Phases of a partnership

A functioning partnership is not just achieved overnight. Time is needed to build trust and other aspects of a partnership. A partnership is just like a living organism that

grows and evolves, i.e. a partnership goes through phases and is not a stagnant entity[113].

According to USAID (1997:118) a partnership goes through three stages. Table nine lists the stages and the skills required in every stage. As not all the role players always have the necessary skills, the table will also list the capacity building interventions needed to gain the required skills. After all a unit is only as strong as its weakest link and thus it makes sense to strengthen the whole by strengthening its parts. The converse is also true, i.e. a strong whole can strengthen its individual parts[114].

TABLE 9: REQUIRED SKILLS AND STRENGTHENING INTERVENTIONS FOR PARTNERSHIPS

Stage	Required skills	Capacity building
1. Incipient partnership	• Openness to learning • Listening to other views • Building trust • *Identifying common ground & creating a shared vision* • Developing a shared understanding of the problem • Exploring alternatives • *Agreeing on general strategies*	• Providing information on partnering • Training in communication skills • Facilitating discussion of problems & perspectives • Training in interest-based negotiations • Mediate agreement on shared strategies • Technical support for problem analysis

[113] Partnerships are not formed overnight. Integration takes time and once you have integration, you need to keep on working on cohesion.

[114] Although the phases in partnership formation are being discussed here, one is reminded of the functionalists again.

2. Functional partnership	• Implementing shared strategy • Coordinating resource mobilisation • *Managing conflicts* • Holding partners accountable	• Strengthen collective planning • Training in conflict management • Strengthen joint monitoring & evaluation mechanisms
3. Mature partnership	• *Institutionalise operations* • Expand activities • Assess factors in success • Evaluate mission • Sustain resource mobilisation • Transfer skills to new problems	• Support to learning from experience • Disseminate lessons • Train for expansion • Strategic planning training • Identify new resources & partners

Partnership formation is not just a progression through the above-mentioned three stages and should therefore not just be seen as a linear process. When a partnership reaches the mature stage it can continue as such or it can evolve into a new format. It can also lead to other partnerships as skills are transferred to new problems and role players learn from experience. Thus it can in some ways be seen as a spiral process.

The above three stages were noted in a guidebook on partnership formation written by the US Agency for International Development. USAID (1998) also gives information on steps that need to be taken in the formation of a partnership. In the next page or two, the steps will be incorporated (by the writer) under the stages discussed in table nine.

When one looks at the **incipient stage** of partnership formation, steps one to three need to be taken into consideration:

Step 1: Identifying the goals and aims. Here one should look at the problems that a partnership might solve, i.e. the reasons for people to start a partnership. One should

also look at what resources would be needed to solve these problems and where they can potentially be found.

Step 2: Identifying the realities and partners. This links to step one, as the potential resources will be located with different role players. Here one should look at identifying the key role players. A partnership usually starts off with the key role players and as it grows, other partners will and can join.

Step 3: Understanding the potential of working together and anticipating problems. Here one should look at the history that each of the identified role players share. By doing this one can determine their attitudes towards each other and find existing networks and even to some extent predict who will be willing to work together with whom. Previous hurdles that have stood in the way of people working together can also be identified.

When one looks at the **functional stage** (steps four to six) one looks at setting a more specific course for the partnership and achieving results.

Step 4: Convene partners and define problems. Analyse the data in step three and set up a strategy. Formalise the format of the partnership. In chapter seven possible ways of setting up the partnership will be discussed.

Step 5: Set directions. Create a shared understanding of the nature of the problems identified in step one.

Step 6: Develop an action plan. Here one is moving away from the more abstract to the concrete. During this step one looks at actual resource sharing and not just the theoretical resource sharing as discussed in step one. Some ground rules are also established.

Lastly one should look at the **mature stage** (step seven).

Step 7: Institutionalising and expanding on successes. In this step, the partnership is re-evaluated. Other problems than the original can be looked at and new resources need to be found or old ones re-generated. New role players can join and some of the original role players might step down. The fact that a system is functional today is no guarantee that it will be functional tomorrow. One simple dysfunction is all that is needed to disturb the harmony. Thus to ensure that a system is in equilibrium the

system constantly needs to adjust to changes in the environment. Elliot and Ray (2003:138) also state that:

"Social practices are constantly examined and reformed in the light of incoming information about those very practises, thus constitutively altering their character".

Warner (2000:1) also lists three phases and the skills needed at each phase of a partnering process (see table below).

TABLE 10: THE PHASES OF A PARTNERING PROCESS

Phase of partnership	**Skills needed**
Partnership exploration	Assessment and consultation tools
Partnership building	Consensus building tool
Partnership maintenance	Management tools

If one reads through the detail of these three phases and the skills needed, they link up closely with the stages discussed by USAID above. Of course there are some differences, but in essence and at the macro level there is not enough of a difference to warrant yet another detailed discussion here.

In fact, if one looks at other research (El Ansari *et al.*, 2001:220; Hamann, 2002; Lyons *et al.*, 2001:1236; GKP, 2004) on the phases of partnership formation the steps in all of them are not always in the exact same order[115] as with USAID and Warner, but close enough. It is not always about the order of the steps, but rather about the fact that they are usually covered at some stage.

Perhaps it would even be pertinent to mention again that each partnership is unique and that in some way they will all go through a process of change. Because they are unique each process might not mirror the process of another exactly, but the stages can be used as some guide, as most partnerships will eventually in some way or

[115] Even if one looks at how a human grows, all the steps are not always in 100 % the same order. Some might say a baby walks at x months and another would state that a baby walks at y months. In the end these small variations do not nullify the fact that most babies would hopefully walk before they are 21 years old. Some just do it faster than others.

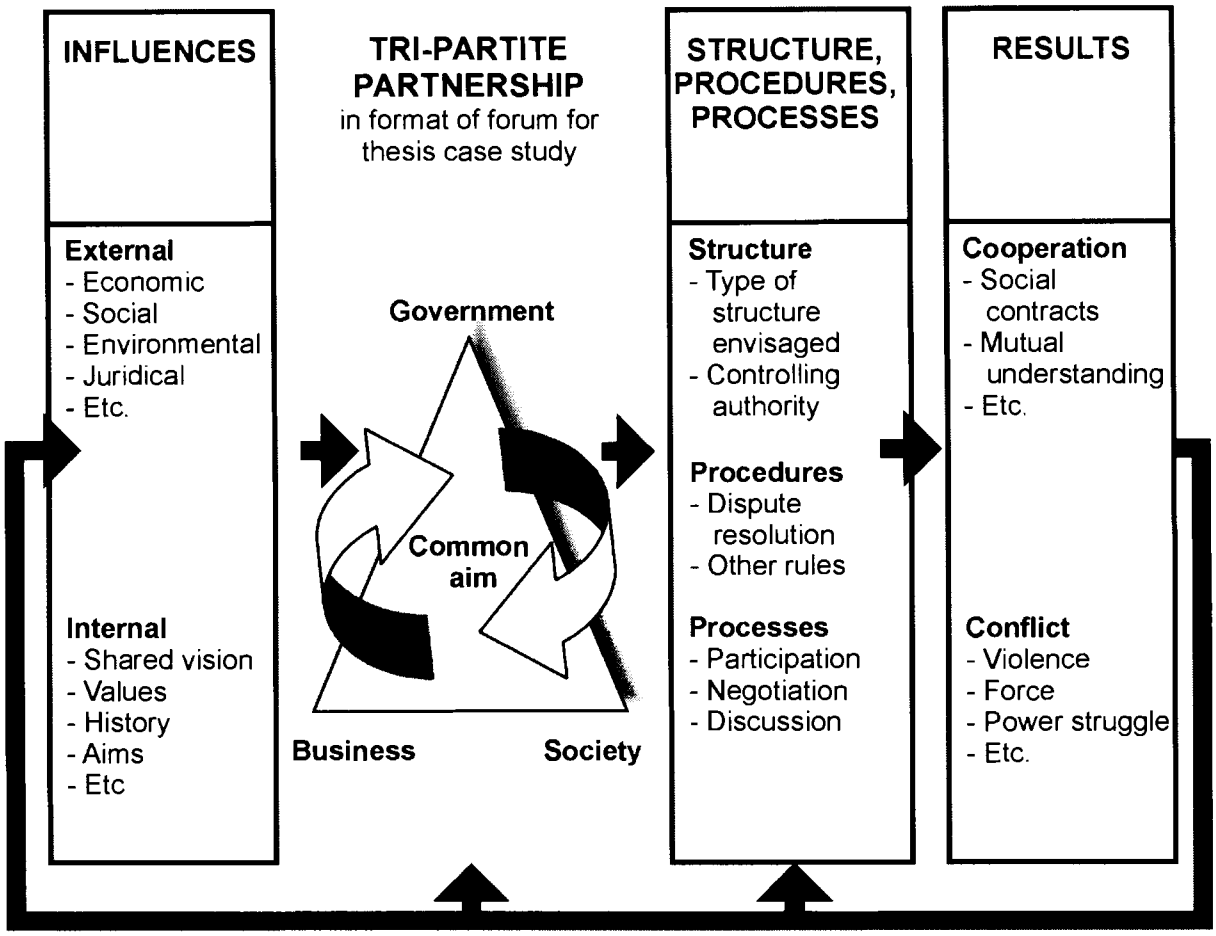
another touch on most of the aspects mentioned. It is also interesting to note that according to Lyons and Smuts (1999:2152) not only does the partnership as a whole change, but the separate role players that constitute the partnership are also "temporal beings" that change over time[116].

The phases a partnership (be that in the format of a forum or not) goes through is not a unique idea. The formation of any group evolves through stages and a forum is nothing more than the formation of a group. Wallace and Wolf (1995:38) mention the following steps that take place during group formation. Groups start by looking at a "common orientation"; they then make decisions/"evaluation" of tasks. Next they gain some consensus by the use of "social control". Lastly there are "solidarity and tension reduction" activities. The "common orientation" is nothing more than the common ground listed in table nine of USAID. The "evaluation" reminds one of the strategy part mentioned in table nine and the "social control" is nothing more than the institutionalisation of operations. Lastly "solidarity and tension reduction" is the conflict management mentioned in table nine.

As mentioned under the discussion of types of partnerships, a tri-partite partnership also goes through a cycle/process (see illustration ten adapted from Slabbert *et al.*, 1993:66). This illustration will be used to illustrate the external and internal forces that help a tri-partnership to evolve. It also places the two theories namely the exchange theory and functionalism in relation to partnership formation.

[116] The idea that one should not just look at the whole, but also the individual parts that make up the whole as they mutually influence each other, was discussed under functionalism.

ILLUSTRATION 10: TRIPARTITE PARTNERSHIP FORMATION



Although the above illustration was originally an illustration of an industrial relations management system the adapted illustration solidifies much of what has been touched on in this thesis up to now and some of what may follow.

If one looks at the illustration, all three legs[117] of sustainable development (economic, social and environmental) have been included under external forces.

The illustration also gives one the idea that partnership formation is a process that is not linear, but in the form of a spiral (see discussion on p. 92) as there is a feedback loop.

The functionalist's idea that the whole must always be considered is also depicted in the illustration. Not only are both internal and external influences looked at, but also

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[117] Although the juridical is also mentioned in the illustration, it can be absorbed in the other three legs. For example there are laws governing economic activity and also environmental activities.

all three legs in a tri-partite partnership are included. Some terminology of functionalism, such as "structure", "dispute resolution", "participation" and "other rules[118]" also appear in the illustration. Lastly the concept of "cooperation" forms a central part in the assumptions of functionalism[119]. Even the mention of "conflict" reminds one of functionalism, as conflict is a dysfunction that needs to be corrected, hence the feedback loop.

The exchange theory is also depicted in the illustration. The influences in the illustration can be seen as inputs into the partnership and the results as outputs. According to the exchange theorists, humans always compare inputs and outputs of any activity to obtain a net balance so to speak. The exchange theorists also use terminology like "negotiation", "discussion" and "other rules" to mention but a few. For any exchange transaction rules/norms are needed and the role players via discussion need to negotiate what they are willing to give and what they expect to get.

Waddock (1989:80) also notes that there are forces[120] that cause a partnership and that a partnership goes through three phases, namely the initiation phase, the establishment phase and lastly a phase of maturity. As the process of partnership formation has been discussed at great length above, perhaps it is best just to point out some interesting thoughts as well as one fact that might have been alluded to in the above discussions, but never overtly mentioned as in Waddock. It is very interesting that Waddock, although unintentionally[121] feels that functionalism and the exchange theory in effect form the basis for a partnership, i.e. the reason for cooperation. He notes that it is the **interdependence** among role players that causes them to engage in joint effort as well as their perceptions that there are **benefits** to be derived at by each partner (Waddock, 1989:83). Lastly Waddock adds some insight to the idea of a partnership being a process, when he states that the phases often take place concurrently (Waddock, 1989:92). Thus one is made to realise that one phase does not need to be completed, before the next one starts. They often overlap and one might find some of the steps described in one phase actually flowing

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118 The "other rules" refers to the norms repeatedly discussed under functionalism.

119 The parts must cooperate for the whole to function.

120 These forces are nothing else than the internal and external influences mentioned in illustration ten.

121 Waddock might use the terminology of the two theories, but he never mentions them as such.

over into the next phase. El Ansari *et al.* (2001:220) also point out that if one looks at the phases of a partnership chronologically, there is often an overlap.

Now that the phases in partnership formation have been discussed, how a partnership should be structured in order to function effectively will be looked at.

3.7 Partnership structure

According to the NRC (2001:28) the key difference between a partnership[122] and other forms of organisation is "that the structure (i.e. rules, responsibilities and modalities) are established (and changed) by mutual consent". Warner and Sullivan (2004:31) also came to this conclusion.

Although the structure is unique for each partnership (the type of partnership determines the structure) there are some generalised components that should be considered when setting up a structure of a partnership (NRC, 2001:28). These components, as well as some discussed in other sources will be listed below. The components are so important, that many of them have already been discussed as principles in the theory chapter or will be listed as principles in this chapter.

To set up the structure of a partnership, one needs to consider the following components:

- The role players (or their legitimate representatives[123]) as well as their constituents, negotiators and decision makers (NRC, 2001:28).
- Common aims/visions for role players as well as shared objectives (NRC, 2001:28). Also see principles F5, F8, E6 and E29 in appendix B and C.
- A work plan that outlines key activities and responsibilities[124] i.e. role assignment and both the allocation of resources and where they will be gathered (NRC, 2001:28). Also see principles E 28, F7, F15 and F16 in appendix C and B.

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122 Although the source did not specifically refer to a forum, a forum is one format of a partnership and thus the statement can be extrapolated to a forum.

123 The aspect of legitimate representatives will be discussed in more detail under the section "critical success factors for a successful partnership".

- An agreement on principles for decision-making (NRC, 2001:28). Hamann (2002) also lists a jointly agreed process of how decisions will be taken as important.
- The NRC (2001:28; Warner, 1999; Hamann, 2002) also talks about dispute or grievance resolution mechanisms. The IIED (2002:217) states specifically that if there is conflict or an impasse, a third party can be used to intervene. Also see principle F12 in appendix B.
- Monitoring and learning mechanisms that are transparent (NRC, 2001:28). According to Lyons *et al.* (2001:1248) monitoring implies accountability and accountability can be at risk, if not subjected to the inspection of an "impartial group". Hamann *et al.* (2003:45) also mention joint implementation and later monitoring rules that should be instituted. Also see principle E2 in appendix C.
- Trusted facilitators (Hamann, 2002). As per the "*impartial group*" mentioned above, these facilitators should also be neutral. The IIED (2002:227) also states that an *independent* party should administer the forum as it helps with the effective involvement of all role players.
- Where possible build on existing structures and institutions (IIED, 2002:30). This adds to the idea of Warner (2000:8) that for a partnership to function effectively one should add something new, rather than duplicate it. He also states that for a partnership to function really well, resources should be pooled in such a way that it produces benefits over and above the benefits of each resource in isolation[125]. On p. 105 (see italics) however one can find a "pre-requisite" as such being added to this point. Also see principle F2 for discussion on pooling of resources.
- Partnerships should be democratic where possible (IIED, 2002:142). This links to the idea of "true" partnership being better.

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[124] The assignment of roles and responsibilities are so important, that it will be discussed in more detail under the section "critical success factors for a successful partnership".

[125] Functionalists like Durkheim would re-affirm this idea of Warner i.e. functional differentiation is a more evolved and thus more sought after state than structural differentiation (see discussion on p. 24 of functionalism). The exchange theorists would also re-affirm his idea, that to function really optimally, the output of a partnership should be greater than the input/resources (idea of net value, see discussion on p. 47 of the exchange theory.)

- According to the National Economic Forum (1992) the structure of a forum[126] works best if there are working groups set up to carry out the work.
- According to the Plettenburg Bay community environmental forum (2005) having a formal constitution for the forum[127] helps.

The structure of the Rustenburg case study will also be discussed in chapter five and criticised in chapter seven.

3.8 Positive outcomes of partnerships/reasons to partake in partnerships

As partnering is a process that can consume time and much energy, the reasons for expending the energy will be looked at here briefly, i.e. the possible positive outcomes from a partnership.

Some of the benefits found in the literature research are listed below:

- Both Warner (2002:1) and Dale *et al.* (1995:34) state that one of the positive outcomes from a partnership is the fact that the partnership can be used as an example for others to follow.
- Hamann *et al.* (2003:34) state that a partnership enhances the credibility of results. Not only are the results more credible, but the reputations of the role players are also enhanced (BPD, 1998:3). IIED (2002:121; Warner, 1999) also talk about some intangible benefits like goodwill and reputation enhancement.
- Both the World Bank and International Finance Corporation (2002:15) and Yakovleva and Alabaster (2004:84) state that business as a role player gains a "social license" to operate. BPD (1998:3) and Acutt *et al.* (2001) also address this benefit.
- With intersector partnering original solutions can be given to local problems and resources can be pooled thus enhancing the activity scale (USAID: 1998). Thus goals can also be obtained that partners in isolation would not be able to obtain,

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[126] Assuming the partnership in the Rustenburg platinum region would end up in the format of a forum, having working groups in the structure can be most effective.

[127] Once again the assumption is made that the Rustenburg partnership will end up as a forum.

by building on each other's strengths. Ahwireng-Obeng and Egunjobi (2001:41) as well as Acutt *et al.* (2001) also list the fact that both risks and costs are shared. Also see principles F2, F8 and E29 in appendix B and C.

- Multistakeholder engagement and dialogue occur and stakeholders gain an opportunity to express their views and explore commonalities. All of these help with trust building (IIED, 2002:9). Also see principle E21 in appendix C.
- Legal compliance (BPD, 1998:3). This links to the discussion on "how laws impact on the type of cooperation" (see p. 82).
- Where groups have developed unrealistic expectations[128], a partnership offers the opportunity to establish more realistic expectations as each role player gets exposed to the realities the others deal with (BPD, 1998:7). Thus there is a better understanding of each of the other partners and their constrains. Principle F16 also talks about the fact that roles that have been assigned to role players should be realistic and attainable.
- The building of capacity/skills[129] is mentioned by IIED (2002:128; El Ansari & Phillips, 2001b:353; BPD, 1998:6; Lyons *et al.*, 2001:1234; Ahwireng-Obeng & Egunjobi 2001:41; IDS, 2005). With the building of human capacity, a different mix of skills occurs and this can optimise the net gain of potentials available. Lyons *et al.* (2001:1234) view capacity building very broadly. They are of the opinion that it ranges from education to people being taught negotiation skills, i.e. being empowered. With empowerment people's control over their own lives increases. This links to principle F10, that states that role players should feel that they have control over their destiny.
- Establishing new communications networks (El Ansari & Phillips, 2001b:353; BPD, 1998:3). Lyons *et al.* (2001:1234) also state that social networks contribute to empowerment. This links to principle E26 (see appendix C).
- Avoidance of local disputes/conflict by cooperation (Yakovleva & Alabaster ,2004:84). Also see principle F4 in appendix B.

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[128] Under the section "critical success factors for a successful partnership" the breaking of stereotypes will be discussed in more detail.

[129] Also to be discussed under "critical success factors".

Most of the benefits listed above can be summarised in the following quotation "the strength of tri-sector partnerships lies in the fact that the whole is greater than its parts[130]" (Acutt *et al.*, 2001).

3.9 Some critical success factors for a successful partnership

Some of the critical success factors have already been touched on in this chapter. A number of these factors have been mentioned in the section entitled "how a partnership should function". This is only natural as there are some functional requirements that should be met to ensure a successful partnership or for that matter some aspects that should be avoided. This section will expand on some of them and also discuss some not mentioned as yet.

According to the definition of a multi-sector partnership there should be resource sharing for a partnership to survive and Waddock (1991:483) states that a partnership can only succeed if there is a commitment to resource sharing. This links to principle F2 (see appendix B).

Not only is a partnership based on resource sharing, but there also has to be a sharing of goals/visions (also see principle F8 and E29 in appendix B and C). Role players should strive for consensus on long-term visions. These visions should be acceptable and legitimate (IIED, 2002:23). Due to the fact that partnerships are based on overlapping interests or common aims/problems, it is also true that some role players need to curtail and shape their own activities[131] (Waddock, 1991:483). For any partnership to be successful, the majority of role players need to be sufficiently attracted to the shared goals of such a partnership (IIED, 2002:354). The role players should not just agree on the initial scope, but it should be subject to revision with time (IIED, 2002:11).

For a partnership to be successful there should not just be shared goals, but role players should also be encouraged to follow both their own and the wider goals

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130 Durkheim is a functionalist who is also of the opinion that functional differentiation (see discussion on p. 24) is a more evolved state than structural differentiation.

131 Although role players sometimes need to curtail their activities, it does not mean that their own individual problems/needs get ignored totally (see discussion directly below of individual needs vs. that of the whole).

(IIED, 2002:38; NRC, 1999; USAID, 1998). Thus both the basic needs of the individual role players and those of the whole should be met. This links to principle E6 and F5 (see appendix C and B). However, there is a delicate balance between the needs of the whole and those of the individual.

The self-interest of the separate role players and not those of the whole can receive priority, if there are power discrepancies[132] (El Ansari and Phillips, 2001a:127). Clear objectives and expectations can, however, help retain equity in partnership (El Ansari and Phillips, 2001a:128). Ahwireng-Obeng and Egunjobi (2001:46) also state that objectives should be clear.

Partnerships are not just bound together by common goals and what partners gain[133] from a partnership. Common values and norms also cement[134] partnerships (Waddock, 1991:482; Ahwireng-Obeng & Egunjobi, 2001:46). This links to principles E7, F3 and F18 (see appendix C and B).

Shared values are also connections between role players, which can reduce conflict[135] and increase cohesion and trust[136] (IIED, 2002:217).

Clear rules/values, trustworthy dispute resolution and other aspects are important. However one needs to respect the rights[137] of role players. If their rights are respected, it also indirectly leads to an increase in trust (IIED, 2002:147). This links to principle E21 (see appendix C).

Throughout the literature research and in the theory chapter, it was pointed out that for a partnership to be successful it should have both fixed norms and goals to work towards and that it should be flexible, i.e. evolve with time.

Partnership is a process (USAID: 1998) and thus a relatively long-time commitment is needed from role players. Just as a partnership is a long-time commitment so is real

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132 Some aspects of power discrepancies or in-equality and their links to principles already formulated have been discussed in the section "Partnership and paternalism". Some more aspects will also be mentioned later in the present section.

133 Some of the rewards/gains are to be discussed later in this section.

134 The "cement" mentioned here, refers to cohesion.

135 Other ways of conflict reduction to be discussed later in this section.

136 The issue of trust comes up sporadically throughout this chapter.

137 The exchange theory comes to the fore again as there is a trade-off between rights and responsibilities in a partnership. The responsibilities/roles will then be looked at shortly.

sustainable development, hence the "sustain" part. See principles F1and F17 – Appendix B.

As partnership building is a process, one of the aspects that should receive attention right from the start is the suggestion that presuppositions should be replaced with fact (IIED, 2002:157). Waddock (1989:84) refers to this as "the breaking of stereotypes". All role players who enter into a partnership have some assumptions about each other they have required over time. These assumptions can be based on actual past history[138] that role players share or on myths and stereotyping. This once again links to the idea of expectation management. Principles F16 (see p. 39) and principle E17A (see p. 59) also deal with expectation management. According to principle F16, the expectations of what each role player can contribute need to be managed as not to be unrealistic. Ahwireng-Obeng and Egunjobi (2001:43) also emphatically state that overly optimistic expectations can cause a partnership to fail. Principle E17a deals with the fact that expectations that are not met, can make a partnership falter. Thus in summary, if expectations are not met, they should be checked for their basis in reality, i.e. are they based on fact and are they actually achievable. If they are unrealistic, they should be changed. One of the positive outcomes of a partnership mentioned above is that role players when interacting with each other are afforded an opportunity to be exposed to the realities of other role players and not to be unrealistic when it comes to expectations.

Not only does the history that role players share lead to the formation of expectations, but it also leads to low levels of trust and high levels of animosity between role players that need to be overcome (IIED, 2002:6).

When one looks at the formation of a partnership, both the history and the current situation (which is partly determined by the afore-mentioned history) should be studied. For a partnership to be successful there needs to be a conducive climate (NRC, 1999). The climate at a given time, will also determine the type of partnership. Currently in Rustenburg there is a climate of cooperation as was discussed in chapter two p. 16. Mizrahi and Rosenthal (2001:4) also talk about the climate and they indicate that the climate at any given time is influenced by the history of the

[138] Some of the history the role players in this case study share was briefly discussed in chapter one.

specific area. Thus one should always take past alliances into consideration as they influence current partnerships.

Established networks based on past alliances can be useful to capitalise on, but can also continue to exclude some role players who were previously excluded (El Ansari & Phillips, 2001a:129). This takes into consideration the idea that one should build on existing structures where possible as discussed on p. 99, but *not carry inadequacies of previous partnerships over to the new one.*

Where existing networks are perceived in a negative way or where none exist, there should be a building of interpersonal ties (IIED, 2002:159). This links to principle E4 and E5 (see appendix C).

As discussed above a partnership is a process and in essence the process should be measured, monitored and reviewed (Ahwireng-Obeng & Egunjobi, 2001:46). The measures should be verifiable, evaluate progress and foster improvements. The measurements can even be in the format of laws[139] (IIED, 2002:24). For the measurements to be effective, transparency is needed.

To add to this transparency[140], there should be a system of independent evaluation. A democratic and transparent process is required for sustainable development as it gives legitimacy and accountability to the process (IIED, 2002:23). The NRC (1999; Warner, 2002:6; Hamann, 2002) also list transparency as an important issue.

Part of the evaluation/follow-up process is to ascertain if responsibilities/roles have been fulfilled. Accountability[141] thus becomes important (IIED, 2002:11). Raynard and Cohen (2003:7) and El Ansari *et al.* (2001:216) also mention accountability.

This brings one to the discussion of roles/responsibilities. For a partnership to be successful, there needs to be an assignment of roles to role players. There should be a clear understanding of these roles (Ahwireng-Obeng & Egunjobi, 2001:46). There

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139 The mining charter score-card as mentioned before actually has a list that can be used to evaluate mines.

140 Not only should the evaluation of the progress of the partnership be transparent. The whole process of setting up a partnership should also be transparent i.e. there should be no hidden goals or information, role players should be honest and upfront, etc.

141 Once roles have been assigned the individual role players become accountable to the whole (partnership) for the responsibilities they were assigned. This is a way to sanction role players to comply with what they said they would do.

should also be a refining and redefining[142] of these roles and responsibilities, as well as overlapping boundaries of responsibilities (IIED, 2002:23). El Ansari and Phillips (2001a:120) and Hamann (2002) also discuss the importance of roles/responsibilities. This also links to principles F7, F15, F16 and E28 (see appendix B and C).

For role assignment to be effective there should be some functional assessment of role players and their strength and weaknesses, as jumping into a partnership without looking at this first can intervene in the process (USAID, 1997:122; Ahwireng-Obeng & Egunjobi, 2001:46). By doing this one can build on strengths and address weaknesses (capacity building).

Capacity building is important as not all of the role players have the skills they will need to start off with (IIED, 2002:29). If capacity building does take place, it is an important positive outcome of working together (see discussion on p. 101). Although much capacity building needs to be done among the community, it is not just restricted to them. Even local government does not always have all the needed resources or limited powers (IIED, 2002:67). Although capacity building is needed and roles can be enlarged, it is not wise that a merging of roles is too broad, i.e. the private sector for example should not take over responsibilities of the state (USAID: 1998). Although it is true that the private sector for example should not start making laws, Crowe (1998:212) also points out that when it comes to development, partnerships are not caught up in the old "sterile ideological debates over roles". Thus perhaps a synthesis between Crowe and the USAID would read that in modern multi-sector partnerships, roles are not cast in stone, yet there are some boundaries that are set and relatively stable.

Principle F7 states that for a partnership to survive there needs to be consistency and continuity. Under consistency one is led to understand that each role player

[142] As the partnership and the separate role players evolve, roles can change. This will also be discussed under the capacity building of role players.

should be assigned clear duties or roles[143]. Under continuity one can infer that the role players of the forum should not vary from day to day.

The following statement was encountered, that led to a link between principle F7 and the literature research. Thus the literature research and the theory of functionalism are tied and this leads to actual suggestions of how consistency and continuity can be achieved.

> "A Community Sustainable Development Plan, produced through a multistakeholder process, should be implemented consistently over time, independent of any individuals responsible, so that if one person leaves the plan does not fall apart" (IIED, 2002:127).

This statement was found in a report called "Breaking New Ground" of the Mining, Minerals and Sustainable Development project. The MMSD basically looked at case studies in the mining industry throughout the world and based on that set up some best-practice guidelines.

When one looks at the theory of functionalism (see. p. 19 of chapter two) it is made clear that all social systems are made up of individual parts and that these individual parts contribute to the functioning of the whole. These parts are interdependent and a change in one, leads to an adjustment to the whole.

Thus one can view a forum (or any other partnership for that matter) as a whole that consists of various role players, for example Anglo[144], Lonmin and others (see illustration below).

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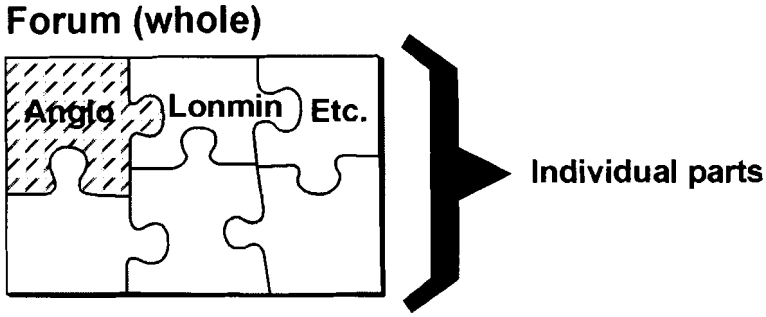
[143] The assignment of roles/responsibilities receives much attention, as it is a recurring theme in the literature research. It seems that there is a real threat of people entering a partnership expecting some gains, but not expecting to give much in return.

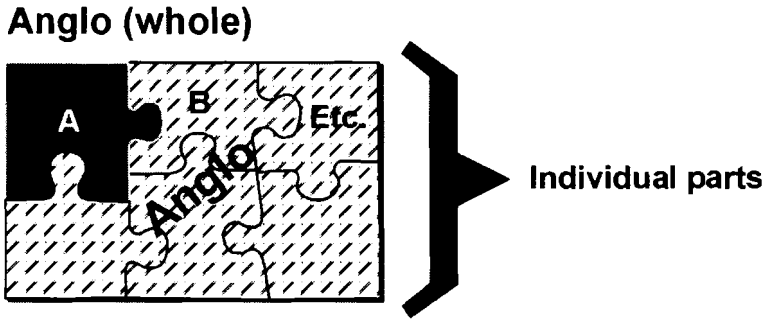
[144] Anglo (one of the actual role players in this study) will be used for illustrative purposes only. Any of the other role players could have been used as an example. The name of a real role player was used, instead of the usual X, as it enhances the example and thus our understanding.

ILLUSTRATION 11: THE FORUM AS A WHOLE



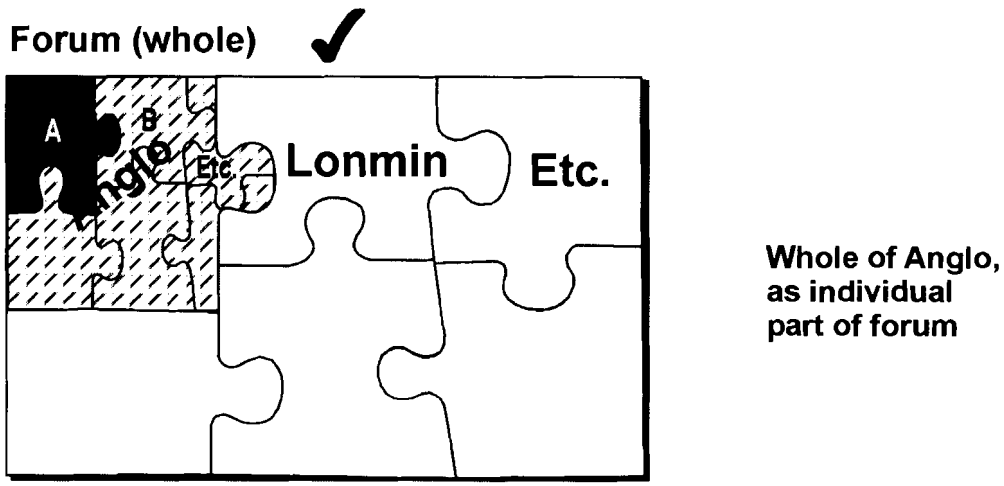
It should, however, not be forgotten that although Anglo is an individual part of the forum, it is also a whole consisting of its own individual parts (see illustration below).

ILLUSTRATION 12: ANGLO AS A WHOLE



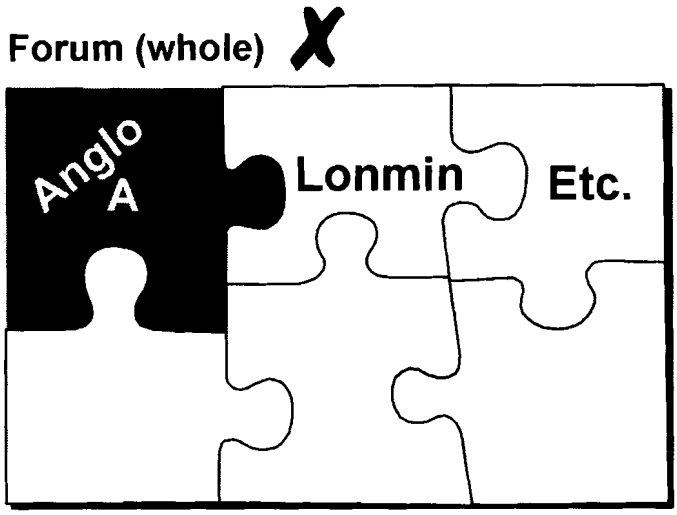
The individual parts of Anglo as of any other functional unit/whole are interdependent and any fine-tuning in one unit, affects the others. Thus for the forum to function optimally, Anglo as a whole should be "plugged" in so to speak (see illustration below).

ILLUSTRATION 13: FORUM FUNCTIONING OPTIMALLY



The sad fact however is, that often only an individual part of a whole as opposed to the whole is part of the forum[145] (see illustration below).

ILLUSTRATION 14: FORUM NOT FUNCTIONING OPTIMALLY



Individual part of Anglo, as individual part of forum

Thus following the above illustration, a role player might often have only unit A involved in the forum or worse vary the separate units from day to day. This happens, as there is time and other constraints on role players. Thus only certain units that are viewed as pertinent to the partnership, or whatever the partnership is addressing that day will be part of the forum. Should that specific unit become dysfunctional for some reason, one can perceivably predict some problems of consistency and continuity. Thus to take us back to the original quotation, it should not be individuals who are responsible for certain roles, but the organisation/whole as such. This does not mean that everybody from the managing director to the tea lady of Anglo should be at every forum meeting. There should be an internal structure set up in Anglo[146] or any other individual part of the forum, that is representative of that whole. In this structure it should be a case of the left hand knowing what the right is doing.

The discussion above does not just link to the principle of consistency and continuity, but also brings another aspect to the fore, that perhaps can be seen as a principle by itself. According to IFC (1998:11; Ahwireng-Obeng & Egunjobi, 2001:46; Hamann, 2002) the top management should also be involved and committed. To add to this idea Waddock (1989:84), states that for a partnership to be successful, there should

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[145] The question is also if one integrates only individual parts of a whole and not the whole, how strong is the cohesion?

[146] See discussion of institutional context on p. 74 of this chapter

be individuals involved who have the authority to make decisions, i.e. top management. Thus in effect decisions must be made at both an institutional and inter-sectoral level (see discussion on p. 74). This principle also links to the fact that representatives must be legitimate representatives, i.e. have the power to make decisions on behalf of their constituency. When dealing with a person who is a representative of a group, one should always be assured that they are also seen as such by the group itself (IIED, 2002:354; IFC, 1998:23; Warner, 2002:5; WRAP, 1997). El Ansari and Phillips (2001a:123) also talks about said representation being comprehensive if not complete, i.e. one does not need to include every individual in the Rustenburg region, if one ensures that their elected deputies are representative of the role players they embody. Not only should the representative of the role players be seen as legitimate, the partnership as a whole should also be seen as legitimate.

For a partnership to be functional role players should also be committed to it. Due to the fact that role players also have an institutional level of functioning (Anglo is a whole by itself) as discussed above, it should be noted that they often have a feeling of primary responsibility to this level and not to the inter-sectoral level (tri-partite partnership). Waddock (1989:95) also states that a successful partnership needs to bridge[147] this "primary responsibility and loyalty" to the institution that pays their salaries. This is achieved by having common aims (as stated in principles E29 & F8) and by involving top management at institutional level (see discussion above). Some of the other ways of building commitment to the partnership is also encompassed in the following paragraphs.

According to principle E13 the more a role player **gains** from a partnership, i.e. the more they are rewarded, the more committed they become, thus the cohesion increases. Mizrahi and Rosenthal (2001:10) also point this out. However, they add something more to this principle, when they point out that the more one **puts into** a partnership, the more committed one become. This makes logical sense. If you have contributed much to a partnership (be that financial or not) there comes a point of no return where you have put such a lot into it, that turning around becomes too costly.

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[147] This links to principle E8 that states that a partnership cannot be sustained if it is based on individual interests.

Satisfied role players are more effectively organised and there is a higher degree of cohesion in the group (El Ansari & Phillips, 2001b:353). This links to principle E17b that states that if the expectation of role players are met or exceeded, i.e. they are satisfied, solidarity within the partnership is increased and they are happy to comply with what the structure expects of them.

Recognition should always be given to role players where it is due (El Ansari & Phillips, 2001b:353). This links to principle E13 that states that one should acknowledge and reward role players for their contribution. Rewards bind role players to a partnership.

The benefits/rewards/gains should, however, be seen as being shared fairly (IIED, 2002:198). This links to principle E12. For partnerships to work, they must be based on "mutual interest and real or potential reciprocal benefits[148]" (USAID, 1997:230).

A discrepancy in the reward system leads to conflict (Bristor, 1988:565). This links to principle E 12 (see appendix C) that states that exchange transactions need to be seen as fair.

Conflict can be avoided and/or minimised if the interactions between role players are managed (IIED, 2002:217). Conflict management[149] is also mentioned in (NRC, 1999). Waddock (1989:95) is also of the opinion that the interaction in a partnership should be geared towards cooperation and not competition or confrontation for it to succeed. This links to principle F 12 (see appendix B).

Decision-making and dispute resolution should take place in ways that take into consideration unequal power relationships and vulnerabilities (IIED, 2002:28). As soon as there is cooperation, the feeling of helplessness and powerlessness is reduced. This links to principle F4 in appendix B.

One of the ways to avoid conflict is by the use of adequate processes of communication and access to information (IIED, 2002:224; NRC, 1999; El Ansari & Phillips, 2001a:19). The more involved role players are, the greater their access to information. Information given in a transparent way, builds trust. BPD (1998:9;

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[148] There is an exchange of benefits.

[149] By managing conflict, cohesion is increased.

Ahwireng-Obeng & Egunjobi, 2001:46; Yakovleva & Alabaster, 2004:96; Warner & Sullivan, 2004:174) also talk about communication being vital.

No group should own the process. The process should be steered by an entity[150] that is trusted for their diversity and insights (IIED, 2002:11). Waddock (1989:84) also states that the role player steering the process, should have enough status to ensure that the other role players "come to the ball game" so to speak. It should be noted that in most of the other sources where this idea was portrayed the writer picked up on an underlying idea that the role player steering the process, does not necessarily "own" it. There should be a "leader" so to speak that needs to start the process, but does not control it. The partnership should be structured as such, that should the unit/part responsible for initiating the process drop out, the process must continue (USAID, 1998). Once again the idea of the whole being able to absorb changes at the individual level comes to the fore. This came to the fore as most of the sources looked at partnerships that were not paternalistic in essence (see discussion on p 88-90). As pointed out some partnerships are or can start on a more hierarchical basis and even if the partnership is not based on the idea of total equality, it can function if principles E11, E22, E25, E26 and E3 are taken into account as discussed on p. 89.

With joint ownership, nobody feels excluded (IIED, 2002:224). Sense of ownership was also discussed in El Ansari and Phillips (2001a:119) and Hamann (2002). This links to principle F10 (see appendix B) that states that role players should feel they are part of the group.

The discussion of ownership leads to the discussion of power[151]. There can be a perceived or a real imbalance of decision-making power between role players (IIED, 2002:17). Where there is a power imbalance, the rules should be clear to all, along with the procedures of appeal (IIED, 2002:259). See principle E25 - appendix C.

In conclusion other aspects that should be considered if one would like a successful partnership, will briefly be looked at here:

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150 A strong steering entity can increase cohesion.

151 This issue has also been looked at in the section entitled" Partnership versus paternalism".

- Time: The time frame of decision-making, quite often differs from role player to role player (IIED, 2002:226). The communities often have to get consensus from their members back at the grassroots level and this takes time.
- Cultural diversity: The mining industry is diverse and heterogeneous and there should be respect for cultural diversity (IIED, 2002:142).
- Uniqueness: Each partnership is unique, i.e. "there is no one way - no magic bullet" (IIED, 2002:30). This links to principle F11 (see appendix B).

Now that the section on "critical success factors" has been concluded, the summary of principles to be found in this chapter will be compiled.

3.10 Summary of principles touched upon in this chapter

In chapter two the principles were given after each theorist had been discussed as the principles were directly formulated from their work and the writer wanted the principles distinctly linked to the theories used. In this chapter the principles formulated from the literature research are all listed here. They are listed at the end, as some of these principles are a combination of ideas that occurred in various sectors of this chapter but that naturally link up with one another.

Principle L1: *The role players are not all culturally homogeneous. There is a diversity that needs to be respected.*
Principle L2: Links to principle E5 (see appendix C) *The history, previous hurdles, existing structures, stereotypes and previous networks cannot be ignored if one would like a successful partnership.*
Principle L3: *For a partnership to be successful at the local level, the national and even international scenarios should be considered.*
Principle L4: Links to principles E6, E8, F5 and F16 (see appendix C and B) *To understand the partnership as a whole, the individual role players should be understood in terms of their individual goals, needs, capacity, etc.*

Principle L5: See principle F11 (appendix B) *For a partnership to be successful, it should be remembered that each partnership is unique.*
Principle L6: *Although each partnership is unique, one can obtain some wisdom from other partnerships that can contribute to the success of one's own partnership.*
Principle L7: See principle F4 (appendix B) *A partnership can only be successful if the role players cooperate.*
Principle L8: Links to principles F2, E1, E4, E13, E14, E15, E18, E19 and E23 (see appendix B and C) *For a partnership to be successful role players should contribute resources to it and gain something from it i.e. be rewarded.*
Principle L9: See principles E29 and F8 (appendix C and B) *Although principle L4 focuses on the individual units, the whole should also have shared goals, needs, etc. to work towards. These can be revised over time.*
Principle L10: *For a partnership to succeed one should not just be able to identify shared needs, but also be able to prioritise them in such a way that it is acceptable to most of the role players.*
Principle L11: Links to principle L3 (see appendix D) *For a partnership to be successful, the legislative requirements that guide the formation of partnerships should be studied.*
Principle L12: See principles F1 and F17 (appendix B) *For a partnership to be successful, it needs to evolve as changes occur.*
Principle L13: See principles E3, E11, E20, E22, E24, E25, E26 and F9 (appendix C and B) *For a partnership to succeed the power relations should be looked at.*
Principle L14: *For a partnership to succeed one should not just talk. Actual action is needed.*

Principle L15: *For a partnership to succeed one should choose the right role players.*
Principle L16: See principles E7, E25, E27 and F18 (appendix C and B) *For a partnership to be successful there need to be rules/norms that guide the interaction.*
Principle L17: See principles F7, F15, F16 and E28 (appendix B and C) *There should be an assignment of roles/responsibilities in a partnership. These assigned roles must also be realistic and achievable.*
Principle L18: *A more formalised type of partnership functions well if there are principles for decision making, dispute resolution mechanisms, etc.*
Principle L19: *If roles are assigned as per principle L17, there should be a monitoring mechanism and accountability to these roles. The partnership as a process should also be measured and monitored in a transparent way.*
Principle L20: See principle E21 (appendix C) *For a partnership to succeed, there needs to be trust.*
Principle L21: Links to principles L4 and L17 (see appendix D) *The building of capacity/skills of role players should be looked at. This in turn affects the assignment of roles and helps with empowerment.*
Principle L22: *Communication networks and the distribution of information are important to ensure a successful partnership.*
Principle L23: This links to principle L18. See principle F12 (appendix D and B) *There must be a realisation that all partnerships (even those that are successful) will have their share of conflict.*
Principle L24: Links to principle L17. See principle E28 (appendix D and C) *Role players have rights. This is balanced by the assignment of roles/responsibilities.*

Principle L25: Links to principles L2, L4 and L8. See principles E17a and E17b (appendix D and C) *There should be expectation management of stereotypes, as well as the capacity of role players. Both in terms of their skills/role assignment and other resources they contribute.*
Principle L26: Links to principle L7 (see appendix D) *For a partnership to succeed there needs to be a conducive climate to it.*
Principle L27: Links to principle L2. See principles E5 (appendix D and C) *The building of networks/interpersonal ties are important.*
Principle L28: Links to principle L4, L15, L17 and L25 (appendix D) *For role assignment and expectation management to be successful, there should be some functional assessment of role players and their abilities.*
Principle L29: See principle F7 (appendix B) *The role players should not vary from day to day.*
Principle L30: Links to principle L4 (see appendix D) *It should be remembered that each of the individual role players are also a whole by themselves, made up of individual parts that can influence the partnership. Thus the partnership functions better if the "whole" of the individual parts are included and not just selected bits. At times not only are selected parts included, but they are also varied from day to day.*
Principle L31: Links to principle L30 (see appendix D) *Top management of the individual role players should be involved as they have the authority to make decisions.*
Principle L32: *Representatives must be legitimate, i.e. seen as representative by the group they embody.*
Principle L33: Links to principle L7 and L14 (see appendix D) *For a partnership to succeed role players need to be committed to it.*
Principle L34: See principle E13 (appendix C) *Give recognition to role players where it is due.*

Principle L35: Links to principle L8. See principle E12 (appendix D and C) *The rewards/gains should be seen as fair.*
Principle L36: Links to principle L12. See principle F10 (see appendix D and B) *Role players should feel that they are part of the process.*
Principle L37: *Role players should complete the responsibilities assigned to them on time.*

CONCLUSION

The principles formulated in both chapter two and three will form a central part of this thesis as it progresses. In chapter four the methodology used in the course of the research done for this thesis will be discussed, as it will have an effect on the results to be discussed in chapters five and six.

CHAPTER 4:

The research process, with emphasis on methodology and data collection

PROLOGUE

In chapter one some aspects of the research design have already been touched on. A research design "is the logic that links the data to be collected (and the conclusions to be drawn) to the initial questions[152] of a study" (Yin, 1994:18). All research is evaluated in terms of how sound the design is. Alford and Engelland (2004:95) state that a well-designed study will help researchers fully understand, explain and predict phenomena that interest them.

Besides the aspects mentioned in the above paragraph, good research is also encompassed by integrity, be that integrity of the researcher, integrity of the research process and data or the integrity of participants. Each of these aspects will be addressed in the course of this chapter. Not only will they be discussed on a theoretical level but also how they were applied on a practical level in the actual study will be pointed out. Thus in chapter four further aspects of the research process, with specific emphasis on the methodology and data collection will be discussed in greater detail.

4.1 The research process

Although chapter four focuses on the methodology and data collection, every chapter in this thesis represents part of the research process. To truly understand chapter four and its focus, the whole process must be understood. The illustration below gives a broad overview of the link between the research process of **this** study and the chapter allocation.

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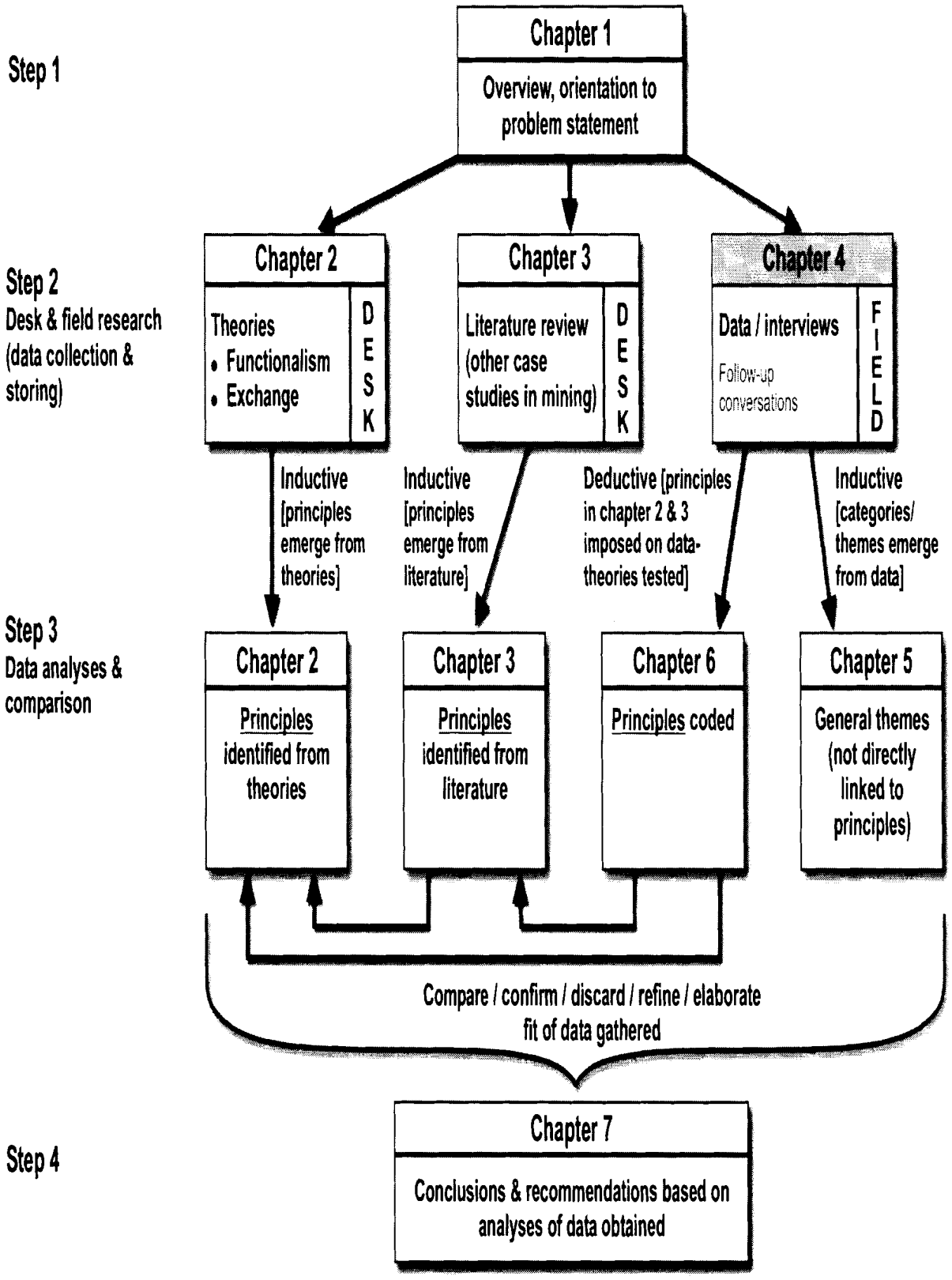
[152] The questions of a study are linked to the problem/phenomenon that is investigated i.e. partnership formation in this thesis.

ILLUSTRATION 15: THE RESEARCH PROCESS



In the above illustration step one was covered in chapter one, where an orientation and broad overview of the research problem was given. In step two the collection and storing of data (obtained from both desk and field research) were covered (see

chapter two, three and **four**). In step three the data analyses were done (see chapter two and three for the formulated principles and chapter five and six for the actual analyses). The last step is concluded in chapter seven, where the conclusions and recommendations are given. In the course of this thesis, some of the aspects depicted in illustration fifteen, will be referred to and discussed in more detail.

Appendix T also places the research process in context as it traces the research problem and goals through every chapter. In column one the research problem as noted in chapter one is discussed. In column two each of the three goals are mentioned. In column six all the actual questions asked during the interview are listed[153] and linked to each goal. In column three, these questions are put into broad categories, i.e. a broad discussion of what the questions cover is given. In column four the goals are linked to the two theories discussed in chapter two and in column five they are linked to the literature review chapter. Column seven to nine covers chapter five to seven.

Now that chapter four has been placed within the context of the whole thesis, the methodology will be discussed in more detail.

4.2 What influences research methodology and how it manifests in research

In chapter two (see p. 16) it was pointed out that the researcher's metaphysical view was *one* of the reasons that influenced the choice of theories to be used in this thesis. Just as one's metaphysical view influences the choice of theories, the choice of methodologies is also influenced by it. However the choice of methods was not just based on the researcher's own metaphysical view. The type of phenomenon being studied also lends itself to the methodology chosen and this will be discussed later.

How the metaphysical view of a researcher influences his/her research, is briefly discussed, as it pertains to the rationale and attitude of the researcher, i.e. his/her integrity. A person's metaphysical view is one of the deepest layers of his/her culture

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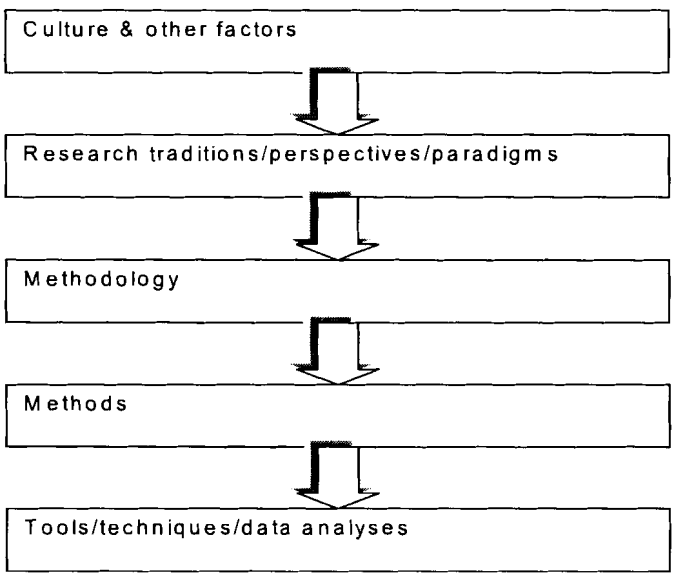
[153] See appendix A for actual wording of each question.

(Van der Walt, 1999:12-13). Thus in essence research can never be totally neutral as a researcher is influenced by his/her culture. This, however, does not mean that it cannot be objective. Patterson and Appelbaum (2003, 69) state that "if the researcher is aware of his or her viewpoint and paradigm, they may be, in fact, more open to possibilities and new explanations". It thus seems that good *reflexivity* and self-scrutiny is a "way in which researchers come to terms with and indeed capitalize on the complexities of their presence within the research setting, in a methodical way" (Holliday, 2002:146).

Reflexivity has been described as a "continual evaluation of subjective responses, intersubjective dynamics, and the research process itself" (Pyett, 2003:1171). There are aspects of reflexivity in the research process itself, as data should be checked and re-examined. May (2002:333) is also of the opinion that reflexivity is a critical practise for any social researcher. As reflexivity is seen as a legitimate way of validating qualitative research, there will be some instances in chapter four where the researcher will do just that.

The metaphysical view of a researcher *as well as other reasons,* e.g. type of research problem, will influence his/her research perspectives/paradigms. This in turn influences his/her choice of methodology. The methodology used influences the methods, which in turn influence the tools used, the techniques and the data analyses (see illustration below).

ILLUSTRATION 16: FACTORS THAT CAN INFLUENCE THE RESEARCH PROCESS.



Now that the role of the metaphysical view of the researcher has been dealt with, each of the other blocks in illustration sixteen will be discussed in general. For each section an application to the actual study will be made, i.e. how they materialised in this specific study will be pointed out.

4.2.1 Paradigms/perspectives in research

The research done for this study included aspects of positivism, interpretive research and critical action research.

Positivism is linked to the natural sciences and focuses on *measurement* (Welland & Pugsley, 2002:5; Henning *et al.*, 2004:17). As positivism is concerned about measurement, the research is quantitative in nature (Janse van Rensburg, 2001a:12). According to Fairchild (1965:226) positivism "limits knowledge to the laws of phenomena" i.e. one must be able to generalise the results of a study. Some social scientists also feel that social phenomena have "underlying social laws" (Bailey, 1987:7).

Other social scientists feel that social phenomena are the result of "human volitional action" (Bailey, 1987:8) and thus general laws are not important but rather detailed contextual meaning making. These social scientists will fall within the interpretive research paradigm discussed directly below.

Although the research done for this thesis is mostly interpretive, some of the techniques used to gather data are more in line with positivism. Thus some of the study had quantitative characteristics[154]. The sample size was also bigger than samples used in many other qualitative studies as thirty-three respondents were interviewed in the end. Although a case study of the Rustenburg platinum region was done, the data in this study can also be extrapolated further as theoretical triangulation was used (see discussion on p. 150 for more detail).

Interpretive research focuses on *understanding* (Welland & Pugsley, 2002:5; Henning *et al.*, 2004:19) or as Janse van Rensburg (2001a:16) states it, "the meaning that people make of phenomena". The study done for this thesis is mostly

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[154] This will be discussed again later.

interpretive in nature as it reflects " an interest in contextual meaning-making" (Janse van Rensburg, 2001a:16). Therefore the method used was a *case study*[155] in the Rustenburg platinum region. With an interpretive study, rich detailed information of a qualitative nature is given. The data is often gathered by using in-depth interviews (Janse van Rensburg, 2001a:16).

Although this study took a close look at the role players in the Rustenburg platinum region, i.e. they were studied in their natural setting and meaning assigned to *their* context, there were aspects of positivism. As was pointed out above the results could be generalized further than just the Rustenburg platinum region. In the end the focus of the study, however, was mostly on how a functional partnership could be achieved in the *Rustenburg platinum region* and the fact that the data could be extrapolated further is just an additional bonus. This focus will also be touched on in various ways in the rest of this thesis, especially in chapters six and seven.

Critical action research focuses on *change/transformation* (Janse van Rensburg, 2001a:23; Kemmis & Wilkinson, 1998:21; Greenwood & Levin, 1998:4; Henning *et al.,* 2004:23; Georges & Romme, 2004:495; Day *et al.*, 2002:21). In this study there will be some traces of action research (see discussion in chapter one, p. 10-11). To elaborate somewhat on what was said in chapter one, action research takes research further than mere recording and explaining to actual action, hence the name (Stringer, 1996:7). Action research also involves learning about concrete practices of "particular people in particular places[156]" (Kemmis & Wilkinson, 1998:24). Action research is about the respondents in a research project identifying their own problems and helping to develop strategies to address them (Robinson, 2002:108; Kemmis & McTaggart, 2000:570; Sieber, 1982:84). What was not discussed in chapter one is the fact that action research originated from the assumption that a theory can be directly expressed in action (Reason & Bradbury, 2001:17; Robinson, 2002:108) In chapter six the interplay between theory and practice will be investigated when the principles formulated from the functionalism and exchange theories are tested against the data obtained from the case study.

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[155] The choice of perspectives, methodology etc. is also determined by the WHAT (phenomenon of partnership formation) and by the WHERE (localised Rustenburg region), hence a case study.

[156] " Particular people in particular places" is in essence a description of a case study.

The above three paradigms seem to enhance each other. To change something (critical research), one needs to understand it first (interpretive research) and to understand it one needs to study/measure (positivist research) it.

Although there was this "fit" between the paradigms, there were also some disparities between the paradigms that sometimes made it difficult to move between them with ease. For example on the one hand as part of her inclination towards positivism, there was the feeling that a researcher should be a neutral observer of the variables in partnership formation, which is contrary to the research paradigm of critical research, where the researcher becomes one of the variables.

In fact the researcher found it beneficiary to be seen as an objective researcher from the university, as that implied that she was neither from the business, government or community in the Rustenburg region nor involved in the history of that area. Even though the fact that Anglo funded the research was known to all, the researcher with the exception of one interview was treated as an uninvolved observer, e.g. even people being interviewed on behalf of Anglo voiced negative opinions about Anglo. Not to create expectations, the researcher also stated upfront that it was not her aim to set up a functioning partnership in the region, as the role players had to do it themselves.

Although the disparities between the paradigms could be rationalised with thoughts like "well I am not a *change agent* as such, but a *catalyst* that helps role players define their own problems clearly and supports them as they work towards effective solutions", they were still there. The unease was eased after talking to some colleagues and finding the following quotations that prove that most researchers mix paradigms etc. with **success**.

There is a move to "thinking in dialectical terms" (Kemmis & Wilkinson, 1998:28).

> "In reality the situation is much less tidy with many researchers adopting combinations of approaches, borrowing elements from several or creating syntheses" (Connole, 1998:21).
>
> "Approaching research questions from different angles and bringing together a range of views has the potential to generate new and alternative explanations,

ones that better capture the social complexity that the fieldwork explores" (Arksey & Knight, 1999: 22).

"There is also an intertwining of philosophical ideas and methods for generating and working with data between the frameworks, so that they present not as paradigms, which succeed or replace each other, but perhaps more like different biomes or ecosystems in a landscape. The edges between forests and grasslands are often blurred; elements of one biome occur in another; some animals traverse the boundaries with ease. Expect the same fluidity – and more! – in social life and its exciting enterprise, Science" (Janse van Rensburg, 2001a:11).

Thus the researcher started seeing the different paradigms as the functionalists would, i.e. a whole consisting of different units (paradigms in this instance) that can effectively function together.

4.2.2 Methodology

As the research paradigms were varied, it stands to reason that the methodology would also be varied. The fundamental nature of the research was *qualitative*. *H*owever, there were some aspects of quantitative research. As with research paradigms, the combination of research methodology is not unusual and is described as convergent methodology (Van Maanen, 1983:135). Flick (2002:262) also states that the combination of qualitative and quantitative research has "crystallized as a perspective, which is discussed and practised in various forms". Some space will now be utilised to distinguish briefly between the two and how they appeared in the actual study.

In quantitative research the first activity is counting occurrences and the notion of "statistics" or numbers applies (Holliday, 2002:69; Bauer & Gaskell, 2000:7). In chapter five, some of the data in the study was analysed quantitatively as incidences and ratings were given. It should however be noted that the statistics given in this chapter, is only *descriptive* in nature, due to the fact that the sample size is not large.

Qualitative research avoids dealing with numbers and deals with "interpreting" social realities, i.e. assigning "meaning" to them (Bauer & Gaskell, 2000:7; Weinberg, 2002:13). The view that the statistics/numbers is not enough and that to understand

behaviour truly, one needs to delve into it, has become very prominent in the social sciences (Holliday, 2002:7). Thus qualitative research is seen as "rich, full, earthy and holistic" (Van Maanen, 1983:117). In laymen's terms quantitative research can be seen as a horizontal cut into a phenomenon i.e. wide, but not deep. Qualitative research can be seen as a vertical cut into a phenomenon i.e. narrow, but deep. As mentioned before the research done for this thesis was mostly interpretive i.e. qualitative in nature.

4.2.3 Methods

According to Janse van Rensburg (2001b:8) case studies are popular methods associated with interpretive research. Thus a case study was used as the method of inquiry in the research done for this thesis.

A case study is an "empirical inquiry that investigates a contemporary phenomenon within a real-life context" (Patterson & Appelbaum, 2003:60; Flyvbjerg, 2001:66; Maxwell, 1996:4; Verschuren, 2001:122). A case study is also described as:

> "A method of studying social phenomena through the thorough analysis of an individual case. The case may be a person, a group, an episode, a process, a community, a society, or any other unit of social life" (Theodorson & Theodorson, 1969:38; Fairchild, 1965:32).

There are various types of case studies and according to Bassey (1999:72) a case study can be:

- *Theory testing*. Patterson and Appelbaum (2003:65) affirm this with the following quotation " all social studies must start off with a theory based on a review of the literature relating to the subject under investigation and this theory must be validated through the study of the specific object, phenomenon or social problem". Flyvbjerg (2001:77) also states that the case study is useful to generate[157] and test hypotheses.

[157] Case studies can also be used to build theories (also see discussion on p. 134).

- *Story telling* and picture drawing, where narrative stories and descriptive accounts are given. Yin (1994:3) adds to this as he is of the opinion that a case study should not just be descriptive, i.e. the "telling of a story", but explanatory.
- *Evaluative* case studies, where projects or events are studied and judged in terms of their merit.

The Rustenburg platinum case study will both test theory and tell a story[158]. In chapter six, the principles generated from both the theory and literature review chapter will be tested against the data obtained from the study. In chapter five the story will be told with a "snapshot" of the present, then a "snapshot" of the future and lastly a "snapshot" of the past. Not only will the story merely be told as interviewees were also asked for their thoughts, attitudes etc. thus *meaning* was assigned. Although, as stated before, there are some traces of critical research, the Rustenburg case study will not really be used as an evaluative case study.

Perhaps at this stage it should be noted that as it was a commercial research project, it was originally mostly going to be a storytelling case study, i.e. the questions were not set out with the principles tested in chapter six in mind. It is only after the data had been gathered and during the writing of the theory and literature research chapters that the principles were formulated that would be tested against the data in chapter six. In some ways this is reassuring, as the questions could not intentionally be phrased to confirm the principles.

There are various ways of gathering data for a case study. According to Bassey (1999:69) a case study, as a method of enquiry has no specific method of data collection. Researchers can use anything from questionnaires, observations, other documents, focus groups, interviews, etc. (Bauer & Gaskell, 2000:5; El Ansari *et al.*, 2001:222) or variations of the above.

For the Rustenburg study in-depth interviews that were questionnaire-based (see appendix A) were used. According to Kumar (1999:109) "any person-to-person interaction between two or more individuals with a specific purpose in mind is called

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158 In fact the story will not end with this research. As pointed out in chapter three partnership formation is a process and thus other "snapshots" in time can be taken as the process evolves. The researcher also did a short follow-up study and this will be discussed later.

an interview". The interviews were structured in some ways, as the order of the questions was the same for all interviews and the exact same wording and even set scales[159] were used. There was even a set of interviewer instructions, where some standardized definitions for some of the concepts used in the questions were given. However, there were also open-ended[160] questions. Here the interviewer could prompt and probe and let the respondent lead up to a point, i.e. although they were less structured, respondents had to stay within the "topic" under discussion. Examples were only given here, once it became clear that the respondents were unsure of what was expected of them.

Up to now the *questionnaire-based* interviews (see appendix A) were discussed. As was mentioned in chapter one, the third goal[161] of this study would be to briefly explore the course of the partnership process once it had commenced in the Rustenburg region. This goal would be achieved by doing a follow-up study, i.e. re-visiting some of the original respondents in order to ascertain how the partnership formation was progressing (Ellmore, 1991:240) and by doing some desk research. As was mentioned on p. 11 of chapter one this would also be the fourth step of action research, i.e. further investigation to assess outcomes. As was mentioned in chapter three (see p. 84-85), the IDP Representative Forum was launched shortly after the study had been completed and the follow-up would briefly ascertain how it was faring. The follow-up would not be *questionnaire-based*, but it would follow the format of *informal conversations*. The reason for doing this was the fact that the researcher realised after contacting the first respondent that not much had happened and that respondents were hesitant to discuss the progress of the partnership[162]. She found that with a more informal approach the respondents were willing to give a more "private" account. Once the conversation became too structured, i.e. started to

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159 These lent themselves to the more typical quantitative analyses.

160 These lent themselves to the more typical qualitative analyses.

161 As this was not the main goal, it would receive considerably less attention. Another reason for it receiving less attention was the fact that partnership formation can be a timely process that can sometimes take years. Thus the follow-up study would be done on a limited scale, as the partnership formation had not evolved too far during the course of writing this thesis. This goal could then also become the main goal in some other study as a more **in-depth** follow-up study can be done at a later date i.e. when the partnership formation had progressed further.

162 This seems natural as most of the respondents had been all "fired up" about setting up a wonderful partnership in the original interview and now in some ways things were not as great as they had hoped it would be. As they were all role players in this partnership, in some ways it must seem as if they were admitting to some defeat.

represent an interview, they started giving a "public" account. In most cases the "private" account was less favourable about how the partnership was progressing and the "public" account more favourable. The "private" account however seemed to be the more truthful one as it was given spontaneously and naturally, without the respondent over-analysing things. As nothing much had happened many of the respondents also declined a second contact. They really were of the opinion that they could not give the researcher any information as there was nothing to give. Some of them actually said that nothing much had happened, but just to be sure they suggested the name of another respondent so that the researcher could confirm this. In most instances this second contact also said that there was nothing much they could tell the researcher as little had happened. The researcher ended up having four informal conversations over the phone[163] and two[164] face-to-face conversations. The detailed findings of the follow-up will be discussed in chapter five and some critique will be given in chapter seven.

4.2.4 Tools, techniques and data analyses

Due to the fact that the methodology was varied, assorted tools, techniques and data analyses were used. Although most of the tools and techniques used in the study will be discussed under this section, a few will also be discussed under the section titled "How respondents were approached". Duplication of discussions is unwarranted and "how respondents were approached" merited a discussion by itself.

4.2.4.1 Tools

Interviewer instructions (see appendix A): As the study was originally commissioned as a commercial project, the turn-around time was limited. At the beginning, the researcher thought that one interviewer would not be able to do all the interviews in the allocated time and set up interviewer instructions to ensure standardisation where possible, i.e. all interviewers would be briefed in great detail. When it came to the interviews in the community she was also unsure if all the respondents would be

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[163] They were done over the phone as the respondents were of the opinion that nothing much had happened and that it would be a waste of time for the researcher to drive to Rustenburg to talk to them.

[164] The one face-to-face conversation was held with a respondent who was part of the most active sub-working committee of the forum. The second one was held with a municipality representative and this was important, as the municipality was the "driver" of the forum so to speak.

familiar enough with English[165] to confidently and comfortably answer questions. Providentially one interviewer did manage to do all the interviews in the end. The word "providentially" is used, as it is preferable for one researcher to do qualitative[166] research, as he/she often sees themes emerging while doing the fieldwork and can then prompt and probe each of the individual respondents to expand on certain commonalities he/she noted while doing the research. The time used setting up the interviewer instructions was however not wasted as it helped the researcher consolidate thoughts, i.e. set up standardised definitions for some concepts etc. before the fieldwork commenced. As part of reflexivity/learning curve, the researcher when contacting the respondents in the "community" section realised that her expectation that some community representatives would not be fluent in English was unwarranted and perhaps even patronising as they were all fluent in English.

Condensed definition, example and prompt list: The interviewer instructions would have been used to brief interviewers in detail, however as it is quite a lengthy document a short condensed definition and example list was set up. The idea was that the interviewers while doing an interview would not have the time to look through the lengthy interviewer instructions[167] if they needed to refer or clear something up. Thus the standardised definitions etc. were condensed to just over a page (see appendix H). This was a helpful aid/tool as even though the researcher ended up doing all the interviews herself, this list was used in her first few interviews. Later she was more relaxed and so familiar with the interview, that she knew it by heart and this list was hardly ever used again.

Show cards (see appendix I-N): during the course of interviewing, the interviewer had two packs of show cards with her. One was used as a respondent set and handed to the respondent at the start of each interview and the other was her personal set to refer to when needed. These show cards included visual[168] representations that were

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165 Thus translators or interviewers familiar with the respondents' mother tongue would be used.

166 With quantitative research the sample size is often too large and distributed over a large geographical area and thus one person cannot always do all the fieldwork. As one deals with standardised "numbers" here, it is not a drawback.

167 The lengthy document would, however, still need to be carried with as a backup and interviewers would have been expected to familiarise themselves with it yet again before commencing with the interviews.

168 All visual representations were also verbally discussed.

used to depict some of the concepts and ideas, lists[169] of role players etc. as well as scaling options[170] used for various questions.

4.2.4.2 Techniques

Order of questions: The order of questions has an influence on the interview and needs to be considered. For example in question two respondents were asked to list other role players in the Rustenburg platinum region they would like to add. The answers were spontaneous and unprompted. In question fifteen in essence they were asked to do the same thing again. This time, however, they were asked to do this after they had spent some time thinking about needs that they share with others in the region. In effect this was the same question being asked after they had been aided i.e. asked to do something that could remind them of other role players. Another example is the fact that previous hurdles to partnership formation in the region, was only asked in question twenty-seven, i.e. after respondents were asked about their attitude towards the "forum concept". The hurdles were not asked upfront, as dragging out a negative[171] history and then asking respondents their attitude towards a "joint forum" could pre-dispose them towards a negative response. If you have just asked a person to give a list of negative things, it will be fresh in their memory and could impact adversely on an attitude question. These are two noteworthy and interesting examples, however the whole questionnaire was put together and checked by another researcher to assure that the flow of questions followed each other logically and were grouped according to sections.

In section one of the questionnaire, information about the role players was obtained. In section two a needs analyses was done. Section three looked at attitudes towards a concept in theory and in section four the questionnaire moved to a more practical operational level, i.e. how the ideas in the previous section could be made operational. Section five gathered information about the benefits/rewards of a partnership and in the conclusion other ad hoc questions pertaining to the partnership and the next step were gathered.

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[169] These list were read to respondents, thus the show cards were just used as a memory aid.

[170] The scaling options were also verbally discussed to ensure there were no misconceptions.

[171] Please note that the past history of cooperation is not always negative for every case study. However, from the desk research done upfront, the researcher knew that this would mostly be the case in the Rustenburg platinum region.

Types of questions asked. In a questionnaire, questions may be formulated as open-ended or closed-ended questions. With *open-ended* questions, no possible categories of answers are given and respondents formulate answers in their own words (Kumar, 1999:116; Lohr, 1999:12). With *closed-ended* questions, respondents are given possible answers that they choose from (Kumar, 1999:116; Lohr, 199:12). As the interview was mostly qualitative in nature, many open-ended questions were used. These are easy to spot on the answer sheet (see appendix G) as there is always an open space allocated just under the question where the interviewer can note the respondent's answer. When it came to closed-ended questions, both nominal and ordinal measurement level questions were used. With a *nominal question*, numbered categories are given but the number has no physical meaning, i.e. no ranking is assigned to it (Steyn *et al.*, 1998:7-8). Question twenty-five[172] and its accompanying show card F (see appendix N) is a good example of a nominal question used as it has a list of contributions, but none of them are ranked, i.e. more important than the others. Ordinal questions were also used. With an *ordinal question* the given categories have a definite order and they have an indication of importance. Question twenty-eight and its accompanying show card H (see appendix N) is a good example of an ordinal question as the hurdles are rated according to how difficult they are to overcome.

Pilot study: According to Lohr (1999:10) one should always test one's questionnaire, before the research is done, as this is the ideal situation to see if the respondents interpret the questions as the interviewer intended them to be interpreted. As the research covered three categories i.e. business, government and community setting up the questionnaire was slightly complicated. One standardised questionnaire was going to be used for all three categories. Although the three categories were not homogeneous, one questionnaire was used as the research was looking at partnership formation based on shared aims and thus the decision was made to use one standardised questionnaire. This also makes the analyses easier as direct comparisons could be made, without "fiddling" with the data first.

A pilot study is also a good opportunity to see if the questionnaire is tailor-made for the target population as researchers often use jargon or academic language

[172] **One** example of each type of question used will be given, as it is not the aim to discuss every question in this section.

inappropriate to the target population. While doing a pilot study, a researcher also gets a more realistic view of how long a questionnaire is likely to take in the field. While setting the questionnaire up, one can at best make an estimation of the time it would take, based on the length of the questionnaire. For this study the questionnaire was first tested on colleagues. This did help the researcher, as insights obtained from fellow researchers are useful, however they still do not represent the target population. Thus the researcher still had to find a "test subject" from each of the categories covered in the research. In the end a "test subject" was interviewed for both the community leg and the business category. In an ideal world the questionnaire should also have been tested on the government category, however it was hard enough to get this category to do a "real" interview, let alone partake in the pilot study. The researcher did approach the first government interview with more apprehension than the rest, as she had not tested the questionnaire on this category, but in the end the questionnaire was appropriate for all three categories. For the pilot study the interview was completed as per the questionnaire and afterwards the respondents were asked to comment on the aspects that they found unclear, i.e. terminology they did not understand or for that matter any other aspect they wanted to address pertaining to the interview.

4.2.4.3 Approach to data analyses

As seen in illustration fifteen both inductive and deductive reasoning was used. According to Connole (1998:10) inductive reasoning "proceeds from specific observations (data) to general principles (laws). Deductive reasoning "by contrast, proceeds from a general law to specific examples" (Connole, 1998:10; Ali & Birley, 1999:103). Thus with inductive research patterns emerge from data and with deductive research patterns are imposed on the data.

In chapter two and three of this thesis, inductive reasoning (see illustration fifteen) was used as general principles were formulated, as they emerged from the theories and literature research, i.e. the data obtained from desk research. In chapter six, deductive reasoning (see illustration fifteen) was used as the principles formulated in chapter two and three were imposed on the data obtained from the case study, i.e. data obtained from fieldwork. If the principles formulated in chapter two (theory chapter) conforms to the data obtained from the case study, the theories are in fact validated/confirmed. Even if the data gathered from the case study were

contradictory to the generally formulated principles, it would be noted as such facts are more apt to slip through and not be noted[173]. Principles generated from chapter three (literature research) that were not also generated in chapter two and which conformed to the data gathered from the case study, could be added to the principles obtained from chapter two. Thus if the case study data conform to the principles in chapter two theory testing is taking place. If principles found in chapter three, are also found in chapter two, the theories are once again validated, i.e. theory testing is taking place. However if there are principles found in chapter three (that are not found in chapter two) and these principles conform to the case study data, they can be added to the principles in chapter two, i.e. theory building takes place.

In chapter five, inductive reasoning (see illustration fifteen) was used as categories/themes emerged from the data. These themes were general as they were used to "tell the story" (see discussion on p. 127). Thus if there are any themes emerging in chapter five, that can be linked to the principle, it is coincidental. The story will be told with "snapshots" in time and all the sections mentioned under the "order of questions" were covered within the time "snapshots".

4.3 Collection and capture of data of study

Under this section the sample, how interviewees were approached, other learning curves for the interviewer, capturing and coding of data as well as validation of data will be discussed. Thus how the respondents should be treated with integrity as well as the integrity of the data collection will be studied.

4.3.1 Sample

Various aspects that lead to the choice of respondents or influenced it in some way will be discussed in this section.

4.3.1.1 Choice of respondents

As mentioned before a case study was done in the Rustenburg platinum region according to the brief of the original commercial research project. Thus the region the

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[173] Every researcher with integrity should always note opposing findings.

respondents could be chosen from was defined in advance. At this stage it should be noted that the respondents were shown a map (see appendix F again) of the region. This map was used to give respondents a *broad* idea of the region being covered. With the exception of one respondent, who took the map and looked at it for a minute or two, most respondents only glanced at the map.

In question thirty-three the respondents were also asked if they thought any role players above and beyond the Rustenburg platinum region (as indicated on the map shown to them at the start of the interview) should be included. The reason for asking this question was that although the study had focused on the Rustenburg platinum region, the researcher also wanted to obtain each respondent's **own** vision for a cooperative partnership, i.e. not limit their vision of the area to be covered. The results of this question will be discussed in chapter five.

4.3.1.2 Type of sample

A non-probability sample was drawn. In a non-probability sample, not all the people in the universe have the same chance of being selected as a respondent (Bailey, 1987:92). According to Babbie (1992:230) where appropriate one can "select your sample on the basis of your knowledge of the population, its elements and the nature of your research aims".

For this study, the knowledge of the sponsoring institution was tapped into. Anglo had a good idea of whom the role players in the region should be and thus initial respondents in each of the three categories (business, government and community) were identified with their help, i.e. judgemental sampling was used. As the researcher did not stay in the region, Anglo's help was appreciated. However, she did not just rely on them as she had done some desk research of the area and also had some idea of who the role players were.

In judgemental sampling respondents are interviewed who could both provide the best information to achieve the objectives of the study and would be willing to share the information (Kumar, 1999:162). Not only were judgemental procedures used in the choice of respondents, but snowballing procedures were also used.

With snowballing sampling networking is used, i.e. the list of respondents identified through judgement was all asked to identify respondents they thought should be

interviewed (Kumar, 1999:162). In question three (see appendix A) each of the interviewees were asked to give the researcher the names and contact numbers of individuals they thought were representative of each of the three categories where possible. They were assured that the information was confidential and that nobody would be told who suggested their name. As not to create unrealistic expectations, they were also told that not all the people they suggest would be contacted as there was funding and time limits on the sample size.

Thus the snowballing procedure was also used to ensure that the right respondents had been chosen to be interviewed. If different respondents keep on suggesting the same person as an interview possibility, the researcher can be assured that she/he is really interviewing a legitimate *representative* person. If no new names come up, a saturation point is also reached and once again the researcher can use this to ensure the original judgement list was representative to start with.

It should be noted that in the actual study the same names kept on coming up and thus the researcher was assured that the original list was representative and not biased by the sponsoring organisation. Where new names were mentioned, they were followed up within time and funding limitations. As the same names kept on cropping up, the time and funding limits were not that prominent in the end, i.e. most of the "snowball" sample was interviewed. Where they were not interviewed, it was mostly due to the fact that they were nearly impossible to get hold of. Not only was there a saturation point reached with the suggested contact list, but saturation in the data also occurred, i.e. the same themes kept on emerging and no new ideas were found in the last few interviews.

In the end **thirty-three** interviews were conducted. Most of them were in Rustenburg and here and there some of the senior managers were actually situated in Johannesburg and thus a small percentage of the interviews were conducted in Johannesburg. The sample size was not that big as this was mostly a qualitative study. With qualitative research much in-depth information is gathered. To illustrate this there were well over one thousand three hundred *verbatim* quotes from the thirty-three interviews. Thus the size of data collected from those thirty-three interviews was considerable. For this reason some people are of the opinion that there are limits on the number of qualitative interviews that one interviewer can conduct and analyse competently (Bauer & Gaskell, 2000:43). Even when computer packages are used to

help with the analyses, the categorising and logic behind it are still incumbent on the individual researcher.

4.3.1.3 Type of respondents chosen in three categories

As the sample consisted of role players from the community, business and government, some space will be utilised defining them as it influenced the categorisation used in the questionnaire.

From a sociological view a *community* covers a territorial area, where there are interpersonal ties and a special base of coherence[174]. It has all the characteristics of a society, **but on a smaller scale** (Fairchild, 1965:52). A *society* is a functioning group of human beings that cooperate in pursuit of their interests, self-maintenance and perpetuation (Fairchild, 1965:300). Thus as the Rustenburg study focuses on the local regional level, technically one deals with a community and not a society. However while doing the literature research and the pilot study, it became apparent that not everybody makes this distinction. The respondents viewed these terms as synonyms. Although the respondents did not make the distinction between the two, the researcher used the concept "community" whenever she directly referred to the third leg of the **Rustenburg** case study.

Thus for the case study, the community leg encompasses an extremely broad range of actors ranging from NGOs and environmental agencies to other local and traditional communities. Due to the fact that the role players within this group are so diverse, there can be some conflicting interests and thus one cannot just assume they all have the same problems/needs.

As for business Fairchild (1965:29) defines it as "a productive unit, organized according to whatever pattern is characteristic of any particular culture, or permitted by its mores". Fairchild (1965:168) also defines labour as "that element in the population which contributes to the self-maintenance of society, by providing a combination of physical energy and human intelligence to the production process."

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[174] The special base of coherence in the Rustenburg platinum region is the mining that takes place on a big scale in the area and directly or indirectly affects all the role players in the study.

For the purposes of this study the business and labour leg is concerned with the production of goods and services pertaining to the mining industry in some way and included mines, unions, some big service providers and the JDF (Joint Development Forum).

The JDF was an established sub-regional development forum[175] in Rustenburg, but the main criticism levelled at them was that they did not represent all the role players needed for a forum. Thus some JDF members were included in the interviewing process and even they were happy that the concept test for a forum was more encompassing than the current JDF. They also had some good insights as to why their forum had failed, which could be used when setting up a broader more inclusive forum.

Government as institution is concerned with creation and maintenance of public order and the distribution of public goods and legislation. For the purposes of this study the local and district municipalities were both included. Fairchild (1965:132) states that *government* "as an objective entity, refers to the individuals and agencies who are charged with the responsibility of carrying out state action."

It is interesting to note that in all the formal definitions given for the three main categories of role players, some idea of each of them being a functional unit that cooperates comes to the fore. This links to what functionalism as a theory encompasses (see general discussions in chapter two).

The role players were grouped as they were in this study, based on rational similarities and characteristics they displayed that instinctively assigned them to a "similar" cluster/grouping. The groupings were then given to each person interviewed as a standardised set[176] on a show card and few of the interviewees had a problem with the groupings. Some people interviewed were of the opinion that the Royal Bafokeng for example should not be placed under the community as they tend to

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[175] At the time of the fieldwork the JDF still existed in theory, but on a practical level they were not even having meetings any longer.

[176] The respondents were asked to give their opinion on whether each of the role players mentioned on the list should be included or excluded from a cooperative partnership. They were also given a third option i.e. they were given the choice not to include or exclude a role player, based on the fact that they did not know the role player and thus in all honesty could not give an opinion either way. Later they were also asked to rate each of the role players according to certain aspects (to be discussed in detail in chapter five).

operate as part of the industry in some ways. This is a valid observation and some other study might well have grouped the role players differently. Interviewees were told that role players were grouped as they were for the purposes of **this study**, as one needs a standardised set of categories for a study. It must also be pointed out that in most of the literature research done, other researchers/writers grouped and sub-grouped their role players in much the same way as was done in this study.

4.3.2 How respondents were approached

As was noted before a list of possible respondents were compiled. A back-up list of names was also supplied where possible as some of the respondents could be on leave or unwilling to grant an interview. The back-up list was not that big as the "pool of available" respondents were not that big to start with. There was also the possibility of asking the original respondents for a "replacement person" themselves, if there were none on the list. The researcher still had to do all she could to get the first option to agree to do the interview, as they were the most legitimate representative of the group they were representing and in theory the most knowledgeable on the topic of discussion, i.e. partnership formation in the Rustenburg platinum region. Thus the utmost care was taken when approaching the respondents, as the rest of this section will attest. In fact the respondents were treated with due care in every aspect and this will be discussed in more detail under the ethics and research section.

Phone call: A "pitch" was written for the first telephonic contact to ensure standardisation and to help a nervous interviewer through what can be an intimidating process if ventured into for the first time (see appendix O). During this phone call the researcher made it public knowledge that the North-West University (Potchefstroom campus) was doing research in conjunction with Anglo. The sponsoring organisation was mentioned for two reasons, number one being ethical in orientation (as there might have been a bad history between Anglo and some of the other respondents, hiding this fact would be unethical). On the other hand, mentioning Anglo could also motivate other role players to partake in the interview.

The aim of the study was also discussed with the possible respondents and a feedback session on the research results promised. The respondents were also assured that all interviews would be anonymous and that reporting would be done on

category level and thus there were no chances of any of them being linked to their statements. The interviewer was also upfront about the approximate[177] length of the interview as determined by the pilot study. Lying about the length to get respondents to do the interview, just angers people on the day of the interview. This phone call was also used to judge how fluent respondents were in English. The idea was to offer to bring a translator along if it seemed necessary. A date and time was set up for the interview and directions obtained on how to get there.

The respondents were also phoned again the day or so before an interview to confirm the interview, where possible. During the fieldwork period three interviews were scheduled for some days and between doing the interviews and being in transit between them, confirming interviews for the following day would drop through the proverbial "cracks" at times.

Internet site (see appendix P): During the first phone call possible respondents were asked if they had access to the internet as an internet site had been set up for the study. The reasons for setting up the site were various:

1. The aims of the study were discussed in more detail than a mere phone call could do. Respondents could at their leisure look at the aims again. Respondents who were hesitant or refused the first time round were directed to this site in an attempt to "lure them in". A printout of the internet site was faxed to respondents without internet access[178].

2. The site was linked to the university site and thus the researcher was linked to an accredited research facility. The respondents could browse the university site if they wanted to gain more information on the research institution behind the researcher.

3. There was a picture of the researcher on the site, thus when she arrived for the actual interview, she was not a "stranger" i.e. building of some rapport before the actual interview.

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[177] It would differ for each interview. In the beginning the interviews also took longer, but as the researcher became more adept at doing the interview, the time it took to complete an interviewed decreased. In the end an average interview took one hour.

[178] There were not many respondents without access and these were mostly in the community category.

4. The site was also used to keep respondents updated on the progress of the study, thus they could feel part of it as it progressed, i.e. the interview was not treated as a "hit and run" event.

5. The final feedback presentation was also linked to the site as some of the respondents wanted a copy and others could not attend the session, but wanted the information.

Introduction letter (see appendix Q): On the day of the actual interview, respondents were once again informed of the aims of the study and the fact that the interview would be confidential. As part of the show card pack, they were also handed another introduction to the researcher, i.e. a letter from her promotor to introduce the researcher and research institution, i.e. give the study legitimacy and to thank them in advance for the contribution they were about to make. The researcher also handed each respondent her business card with contact details, should any of them wish to contact her with any queries regarding the research.

Taping of interviews: After the aim of the study and the confidentiality of respondents had been re-iterated, the respondents were asked for permission to record the interview. They were assured that the recordings would solely be used as a memory aid for the interviewer when it came to the analyses of the data later as the interviewer did not want to interrupt the flow of the interview by taking detailed notes. If any of the respondents had refused to be recorded, more detailed notes would have been taken. However, without exception all of the respondents agreed to be recorded. In the end the notes taken during the interviews ended up being very detailed. The interviewer listened to all but two[179] of the recordings again after the fieldwork had been completed and the incidence of "missing" data that had not been noted on the actual answer sheets was not significant at all.

4.3.3 Interviewing diary/record of actual interviewing

During the time span that the actual interviewing was taking place the researcher kept a diary. The diary would be used as an intro-spective tool where learning curves

[179] After the first interview, the interviewer realised that the dictaphone she was using was not working correctly. This dictaphone was also used for the second interview, as the researcher did not have enough time to purchase a new one between interviews. The rest of the interviews were however recorded using a different dictaphone.

were noted. The writing was done in the first person and was not scientific at all. The aim was to write down occurrences and the researcher's thoughts along with them. In the end the diary had an additional unforeseen benefit. Some time had elapsed between the fieldwork and the writing of this thesis and the diary was a useful memory aid on actual occurrences. Not every occurrence will be discussed in detail in this thesis, however there were some that had an impact on the research process or that held a valuable learning curve for the researcher. Those will be discussed briefly and in some instances the self –reflexivity that accompanied them will also be noted.

- None of the respondents who had been approached refused to do an interview and all but one completed the interview[180]. This respondent had been approached and informed of the aims of the study, just as the rest had been. He was also the only respondent who had some queries about the fact that Anglo was sponsoring the research. After he had been assured that the researcher was not a minion of the mine and that due to ethical reasons she would not skew data, the respondent agreed to be interviewed. However, as soon as the respondent realised that the questions being asked were broad questions about role players and not directed to specific sections of specific mines, he said that he was of the opinion that his time would be better utilised speaking to the press about specific problems he had with specific sections of some mines. Here enters the ethical dilemma of how far a researcher should push the boundaries to obtain an interview. Although the researcher had a feeling that she might have been able to "push" the respondent, she made the decision not to as it would have been uncomfortable for both of them and the respondent was not the only individual who could represent his category of role players. Decisions like these are often made in a split second and one can at times only lament them later.
- Another interesting occurrence was that many of the role players suggested a specific mine be included, but none of them could give an individual that represented the mine. The researcher had to contact the human resource

[180] In some instances interviews had to be re-scheduled and one was even completed in the researcher's car as it was early in the morning before work and the respondent did not have the keys to the outside door of the office building.

department of this mine in the end and after speaking to about five people, made a contact. Although this mine operated in Rustenburg, the operation was run from Johannesburg. Although this is not unusual in itself (some of the other mines also have their headquarters in Johannesburg) this specific mine was the only one that did not seem to have a regional office as well.

- The interviews were all supposed to have been done as *one-on–one,* face-to-face interviews. Imagine the researcher's surprise when she was halfway through an interview and a colleague (of the respondent) who had just popped in to drop off some papers was invited by the respondent to stay and help complete the interview. Yet again another split second decision had to be made. The interaction dynamics in a one-on-one interview is different from that of a "focus group" situation and this could affect the interview. However, it had happened so naturally that the researcher did not want to interrupt the flow of the interview and in the end the other person had useful insights. There was nearly a second "focus group" as another respondent whom the researcher met at a coffee shop also brought a colleague along. In the end this colleague however did not contribute anything to the interview, as this individual ended up merely having lunch.
- A great learning curve was that during the course of any fieldwork, things will go wrong (even if one tried to plan it as a strategic military operation). During the course of one interview, the respondent asked for a convenience break. While he was away the interviewer switched off the recorder and forgot to switch it back on directly after the respondent had returned. The interview was not recorded for about five minutes, before the researcher realised this. As bad luck would have it, this was the one questionnaire, where the interviewer also skipped a question when the respondent returned. Although it might not be the end of the world to phone a respondent later to get the "missing" information, it is embarrassing to say the least.

The aspect of "ethics" in research has been mentioned here and there up to now and in the next section it will be discussed in more detail as no methodology chapter is complete without a discussion of this subject.

4.3.4 Ethics in research

According to Janse van Rensburg (2001a:28) research ethics refers to the "moral dimensions of researching, our decisions – technical and otherwise – about what is right and wrong while engaged in research". There ethical aspects relating to both the researcher and the participants/respondents. In the next two paragraphs these aspects as well as how they were addressed in the actual study will be discussed.

The integrity of the researcher has been discussed in great detail in section 4.2. Other aspects of the researcher's ethics that received attention in this study, was the fact that great care was taken to ensure that the sponsoring institution (see p. 142) did not impose restrictions on the researcher. The data[181] capturing (to be discussed in next section) was done in such a way that each of the quotes could be traced back to an original questionnaire.

When it came to the integrity of the respondents, their vulnerabilities, involvement and the possible consequences of the research for them was looked at. During the case study, the following steps were taken to ensure the research was ethical:

- The *informed* consent of the respondents was obtained (Sieber, 1982:36). All respondents were informed of the purpose of the study (WHAT and WHY) as well as whom the researcher and sponsoring institution were (WHO). Thus they knew WHO wanted to know WHAT and WHY before the research commenced.
- They were assured that their identity would be kept confidential (Sieber, 1982:53). See discussion on p. 139-140.
- All respondents were invited to a session where the results of the study were given to them as none of the findings were handled covertly. Thus the promise of reciprocity was kept.
- As discussed on p. 142, there were boundaries set for gathering the data as no respondent was asked to continue an interview if he/she did not wish to do so.
- Great care was taken not to create expectations. Thus for example the respondents were told that it was not the aim of the study to set up the actual forum.

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[181] The integrity of the data will be discussed in greater detail in a separate section.

4.3.5 Capturing, coding and processing of data

As was mentioned during the discussion on types of questions (see p. 132), both open-ended and closed-ended questions were used. At times these two types were linked to each other for example in question nine, respondents were asked to respond either in the affirmative (yes) or negative (no) when asked if they had *a history of any previous partnerships in the past five years,* i.e. a closed–ended question. If they answered "yes", question ten then asked them *to list all the previous partners* in an open-ended question format.

This section will deal with the types of questions, codes and the type of analyses used in this study.

A "codebook" is attached as appendix R, where the details of each of the codes used per question is given. As the appendix is attached, the coding will not be discussed in detail again, but briefly summarised[182]. The codes might not be discussed in detail, but the processes followed will be.

Section one of appendix R covers codes based on closed-ended questions only. Here the respondent was given a choice of answers and the SAS programme (SAS Institute Inc.) was used to analyse the data.

In section two of appendix R there is a discussion of open-ended questions that were turned into "closed–ended questions", **after** the research had been concluded. Here the researcher read through all the answers given in an open-ended format and listed them all. For example in question ten a list of every single previous partner across all thirty-three interviews had been made. They were then re-read and coded as closed-ended questions for each respondent, i.e. they were assigned a "1" if the respondent had dealt with them and a "2" if they had not. The data was then analysed using SAS once again.

Section three of appendix R looked at open-ended questions only. As was mentioned before most of the capturing of the data only commenced at the end of fieldwork. The data of all **open-ended only** questions were captured very systematically as each of the captured quotes needed to be traceable to an original questionnaire. The data

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[182] Some examples will also be given in the text, whereas **each** question is dealt with in the codebook.

also had to be captured in such a way that cross-referencing of data could be done. Although there are software packages for example NUD*IST, Nvivo, Ethnograph and Atlas-ti (Froggatt, 2001:519) where one can insert the *verbatim* quotes to code and categorise later, the researcher had no access to any of these packages at the time. The researcher set up an Excel spreadsheet[183] for the data capture (see appendix S[184]).

In the first column of this spreadsheet each interview was captured as a number. Numbers were assigned for confidentiality reasons[185] and to be able to find the original questionnaire again.

In the second column the question number was noted, thus one could find the original quote by simply using columns one and two as reference points. Column one gives the questionnaire and column two would direct one to the question number. As each of the original questionnaires had been filed in number order, with their corresponding audio recording, linking quotes to questionnaires was no problem.

In column three, the *verbatim* quotes were captured and they were then coded in column six (see discussion on column six to follow shortly for more detail).

In column four each of the respondents had been coded into a category, i.e. if the respondent was part of the mines, he/she received a code "1" and if they were part of the service providers, they received a code "2" and so forth.

In column five each of the respondents were coded into broader categories, i.e. all the respondents who were part of the business and labour group received a code" 7". Thus by just using column four and five, one could do a data sort on either the smaller sub-category or the broader category.

In column six general codes were created as themes/concepts emerged from the data. In essence these themes/concepts were identified and coded and later became

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183 Although some qualitative researchers do the coding on the actual questionnaires, the volume was just too much to do it this way. With Excel the researcher could also sort and do automatic counts of codes with ease and great speed.

184 Only one page of the data was used in this appendix as an example. There were about thirty-seven pages of data captured in the end.

185 In essence respondents received a number in order to protect their identity.

categories with patterns and trends emerging[186]. A pattern is a relationship among categories (Taylor & Bogdan, 1998:151; Flick, 2002:176). Inductive reasoning was used to produce these codes as categories emerge from the data and were not imposed on it. The analyses based on these codes can be found in chapter five. The codes in essence reduced the data to manageable units that could be interpreted (Marshall, 2002:56). As it might seem that the researcher reduced what is in essence qualitative data to nothing more than quantitative bits of data, some of the actual *verbatim* quotes will be given in chapter five. Thus the depth of qualitative data will not be compromised as it gives context to the data. In appendix R examples of quotes that were grouped together under a code are also given.

In column seven deductive reasoning was used. The principles generated in chapter two and three were imposed on the data. This column then produced analyses that can be found in chapter six. Not all the *verbatim* quotes could be coded in this column due to the way some of the questions were phrased. As was pointed out before, the principles that in essence are the codes that need to be coded against the data were formulated after the fieldwork had been done and thus the questions had not been formulated with them in mind, i.e. formulated to illicit responses that would always be in a usable format. For example **code** twenty-two (see chapter six p. 205) states in short that there need to be values and their underlying norms for a partnership to succeed. **Question** twenty-two (see appendix A) asks respondents to list all the values needed to run a partnership and **question** twenty-three (see appendix A) asks respondents to list all other rules i.e. norms needed. Thus the researcher could not code all the responses in question twenty-two and twenty-tree as code twenty-two. There is a difference between somebody spontaneously mentioning that norms/rules are needed for a partnership to work and them listing a number of norms after they had been asked to do so. This does not however make the data useless, it just means it cannot be used to validate the code/principle. If the principle is validated in some other way and one accepts that norms are needed, the data in question twenty-three becomes useful as it gives a list of norms that will be needed in the Rustenburg partnership. This places some boundaries on the analyses

[186] Some of these trends were already obvious during the fieldwork as data saturation was reached near the end of the interviews i.e. the same issues/ideas kept on emerging.

(theory testing) in chapter six. However, where possible the codes/principles will be tested.

To insure that the coding was systematic and unbiased, another researcher checked the codes in both column six and seven. This was a way to check that the researcher did not create categories where non-existent, or forced data to fit categories where they did not belong.

Due to the fact that the data had been captured in Excel, cross-referencing could be done with great ease. The data could be sorted on any of the columns or even on more than one column at the same time and data counts could be done with great ease. This produced a mass of data that could be compared in various ways. As was pointed out on p. 125-126, the research for this study had both quantitative and qualitative aspects i.e. mixed methodologies were used. Thus instead of just the usual qualitative descriptions, some numbers were also used.

In section four of appendix R the questions not coded as well as the reasons for not coding them are discussed.

In section five of appendix R, general codes for example the coding of the category of respondent are given.

As discussed in this section, various steps were taken to ensure the integrity of the data such as that a fellow researcher checked all the codes and a codebook was used that is open to scrutiny, etc. This however is just some of the ways to ensure data integrity. As all research is evaluated on the integrity of the data, the following section will focus on what else was done in this specific case study to ensure both the integrity of the data and the integrity of the research process.

4.3.6 Integrity of data and research process

In this chapter the integrity of the researcher and research subjects has already been discussed. In the next section, other aspects of integrity pertaining to the research process and the data will be looked at. The value of the data can only be evaluated objectively if its integrity has been noted.

4.3.6.1 Relevance/reliability

According to Kumar (1999:140) reliability looks at the consistency of results/data. To ensure the reliability of the data in the study, the following was done:

- As was mentioned before a grid was set up that looked at the research problem as well as the research goals and linked it to the actual questions asked. It also linked it to the two theories used and the principles formulated (see appendix T).
- A fellow researcher was asked to look at the wording of the questions as it can influence the reliability of the results.
- A fellow researcher as noted before was also asked to check the coding structure used, i.e. check the objectivity of the coding structure.
- The consistency of results was further ensured by the fact that the same interviewer conducted all the interviews.
- Further, to ensure consistency of results, self-reflexivity was part of the whole research process.
- A feedback session was also given to all respondents.
- The actual raw data would also be open to an audit by either of the promoters of this thesis.

4.3.6.2 Internal validation

According to Janse van Rensburg (2001b:6) *internal validation* answers the question of whether one is indeed testing/measuring what one should. To ensure internal validation in the Rustenburg case study, a dense description of the theories and methodology used was given in this thesis and it is open to the scrutiny and judgement of all its readers. In fact appendix T (discussed in detail on p. 120) entitled "Matrix of the research problem and how it unfolds through the various chapters" does prove that the researcher did measure what should have been measured.

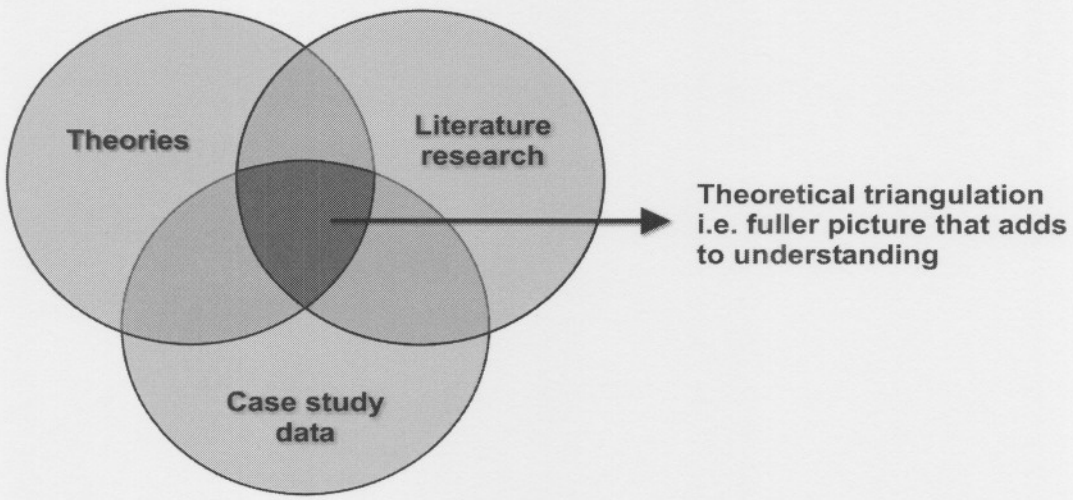
4.3.6.3 External validity

According to Janse van Rensburg (2001b:7) *external validity* is all about the ability to generalise the results of a study.

The sample has a great influence on the external validity of results. As was noted before a non-probability sample was used and this sampling method offers no evidence in support of the results being "typical" i.e. one usually is not able to generalise the results (Bailey, 1987:92). As a case study was used as method, by implication the results are specific to that case study. However, in this instance the results of the Rustenburg case study could be extrapolated and transferred to some extent as theoretical triangulation was used. Thus the process of partnership formation could be generalised to other groups.

With theoretical triangulation the research is approached with diverse perspectives/propositions (Arksey & Knight, 1999:23). In this thesis the principles formulated from the theories discussed in chapter two, the principles formulated from the literature research discussed in chapter three and the actual data obtained from the case study are compared in chapter six (see illustration below).

ILLUSTRATION 17: THEORETICAL TRIANGULATION



From the theories discussed in the theory chapter, broad principles on partnership formation in general were formulated, i.e. they are based on general theoretical context-independent knowledge. These theories have been tested over time by others and will once again be tested in this study. The principles formulated from the literature review chapter are less general as they are based not just on partnership formation, but partnership formation in the mining industry[187], thus they are already more context based and less general. The data obtained from the Rustenburg Case

[187] The literature review study also covered a few case studies, making it more "typical".

study are based on very concrete context-dependent knowledge. These three sets of information will be compared and both discrepancies and consistencies noted. Although the Rustenburg case study is very specific, if it confirms principles formulated in the theory and literature review chapters, it is already more transferable and one can extrapolate the data beyond the one case study. With theory the understanding or explanation of certain features of social life can be carried beyond a particular setting.

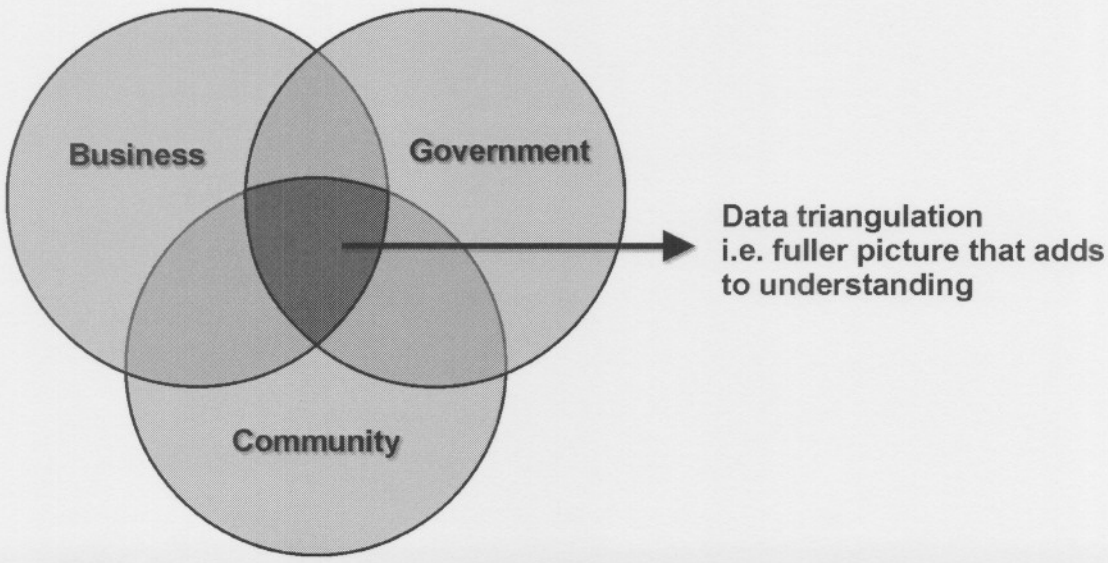
Thus the Rustenburg case study has the following contributions:

- The testing of the principles generated from the exchange theory, functionalism and the literature review chapter by looking at consistencies and discrepancies.
- It adds to the completeness and in-depth understanding.
- It enhances interpretability as one set of data gives a handle to understanding the other set.

In the Rustenburg case study, theoretical triangulation was just one type of triangulation used. Data triangulation was also used.

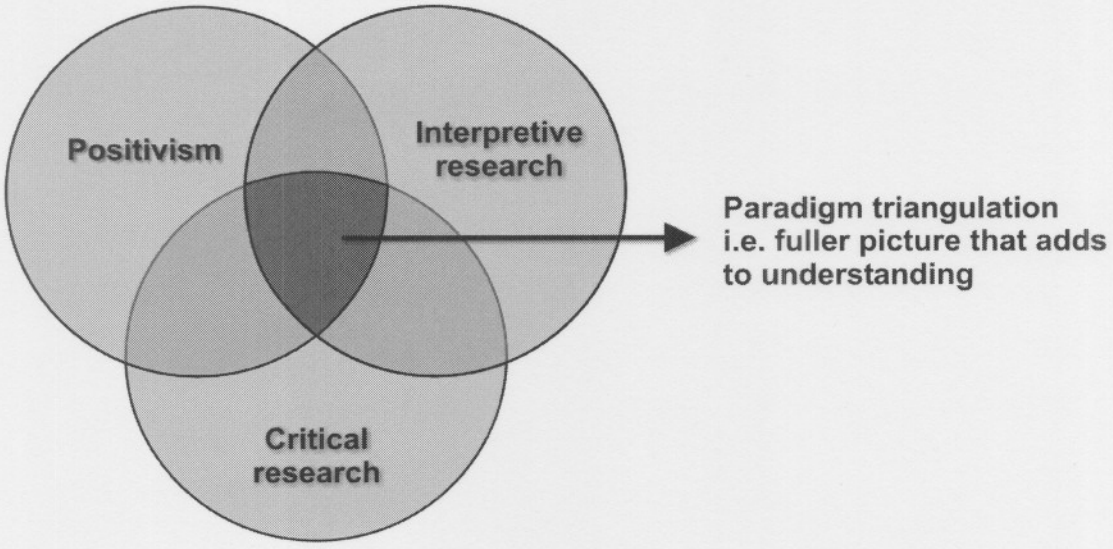
According to Arksey and Knight (1999:23) data triangulation is when one uses different data sources to study the same phenomenon. In the Rustenburg case study data was obtained from all three sets of role players, i.e. business, government and community (see illustration below).

ILLUSTRATION 18: DATA TRIANGULATION



In some ways paradigm triangulation was also used as discussed on p. 122-124 (see illustration below). If one approaches research from various angles, there is the potential to generate new analyses or enrich analyses. Van Maanen (1983:138) also notes that "the effectiveness of triangulation rests on the premises that the weaknesses in each single method will be compensated by the counter-balancing strengths of another."

ILLUSTRATION 19: PARADIGM TRIANGULATION



In conclusion the whole of section 4.3.6 is to ensure that the research process and the data obtained can withstand investigation, is consistent and credible and is transparent to all. In short it makes sure that the data are plausible.

CONCLUSION

Now that the methodology, collection and capturing of data as well as the integrity of the data have been discussed in this chapter, chapter five and six will cover the results of the data.

CHAPTER 5:

General results

PROLOGUE

The results in this chapter will basically be broken into two sections. In the first section the data of the thirty-three in-depth questionnaire–based interviews will be analysed in a "story telling" i.e. descriptive format (also see discussion on p. 127 of chapter four). Thus the results will be based on "snapshots" in time and will contain the more traditional statistical analyses, i.e. frequency distributions and other basic analyses. Most of the results discussed in this section, are also the results that were given to the respondents in their feedback session.

Here and there the data in this chapter will also be linked to some of the principles formulated in chapters two and three. As the questionnaire had been set up and the fieldwork done before the principles were formulated, links found in chapter five are co-incidental, i.e. the questions had not been formulated with the intention to elicit responses that link to the principles. Chapter six is the chapter where the formulated principles will be tested against the obtained data at great length.

As stated in chapter one (see p. 9) the first research question would focus on cooperation and collaboration[188] and the second research question on integration and cohesion. Thus the concepts of *cooperation, integration* and *cohesion* will be pointed out wherever they appear in chapter five as was also done in chapters two and three. At times they will be discussed in the main text and at other times they will be discussed in the footnotes.

As stated in chapter one the third research question pertained to the progress of the partnership in the first stage of implementation and this will be discussed briefly in section two of this chapter. The second section will contain the results of the follow-up conversations.

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[188] The question pertaining to cooperation and collaboration is also linked to the main goal i.e. determining if the functionalism and exchange theories could be applied as a practical guide in partnership formation.

5.1 Analyses of the data of the thirty-three interviews based on "snapshots" in time.

In this section a "snapshot" of the present, future and then the past will be given. The order of the analyses of the data is linked to the discussion of the "order of questions" in chapter four (see p. 131). Just as the respondents were not exposed to the negative past history, before they were exposed to the present and future picture, the reader will also only be given the analysis of the past last. The past however is important as it provides valuable insights.

5.1.1 "Snapshot" of the present/current picture

Based on the assumption that you have to know where you are, if you want to plan for the future, respondents were firstly asked who the role players/stakeholders should be in a partnership based on shared social, economic and environmental problems (questions one through to three)[189]. All respondents were asked to give their current perceptions/opinions[190] of each of the mentioned role players (questions four through to seven), as how you perceive each other now will influence your future interaction and relationships with each other. According to Fairchild (1965:285) interaction is "social processes when analyzed from the standpoint of the interstimulations and responses of personalities and groups. The chief forms of social interaction are opposition (including competition and conflict) and cooperation".

Each respondent was asked to rate all the role players (including their own group) on four basic issues, using a standardised four-point scale. There was also a fifth option namely zero, if the respondents felt they did not know the role players well enough to have a valid opinion. The table below shows the average ratings obtained once all the zero ratings had been removed.

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[189] The choice of role players is very important as whom you "put into the mix" so to speak influences the integration and cohesion possibilities. For example the more homogenous role players are, the easier integration and cohesion becomes.

[190] One could assume that if the current perceptions are good, integration and cohesion should occur with greater ease.

TABLE 11: AVERAGE RATINGS OBTAINED

		Question 4	Question 5	Question 6	Question 7
		Commitment to sustainable development	Commitment to cooperation	Trustworthy	Powerful
Business & labour as category	**mean**	**2.72**	**2.94**	**2.70**	**3.78**
	std dev	0.81	0.77	0.75	0.49
	n	32	31	30	32
Mines as sub-category	**mean**	**3.13**	**3.13**	**2.94**	**3.81**
	std dev	0.92	0.73	0.77	0.47
	n	31	30	31	32
Service providers as sub-category	**mean**	**2.97**	**3.00**	**3.00**	**3.59**
	std dev	0.94	0.80	0.69	0.57
	n	29	26	26	27
Unions as sub-category	**mean**	**2.68**	**2.84**	**2.27**	**3.07**
	std dev	0.99	0.94	0.96	0.92
	n	25	25	26	27
Local government as category	**mean**	**2.78**	**2.97**	**2.68**	**3.28**
	std dev	0.91	0.91	0.83	0.77
	n	32	31	31	32
Community as category	**mean**	**2.90**	**2.97**	**2.57**	**2.77**
	std dev	0.71	0.78	0.74	0.86
	n	30	29	28	30

For both question four (commitment to sustainable development) and question five (commitment towards cooperation) the ratings cluster around three (medium-high scale rating)[191]. When it comes to the average trust rating (question six), the results also cluster around three, but some role players scored closer to two on this issue. If respondents are committed to working together, they will have to work on the trust issue as one can assume there is a direct correlation between trust and cooperation, i.e. the higher the trust, the higher the cooperation[192]. If the trust is lacking,

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[191] If the role players are committed towards sustainable development, they have a shared goal to work towards and thus cooperation, collaboration, integration and cohesion should occur with greater ease.

[192] Principle E 21 states that a partnership can only succeed if there is trust. If there is no trust, obtaining integration and cohesion becomes a problem.

cooperation is inhibited, as role players doubt the integrity of their partners. Of course there is also an inverse effect namely that if role players start cooperating more, trust can be a by-product of the interaction[193].

Another interesting observation is the fact that with the exception of question six, the mines as sub-category received the highest rating every time and with the exception of question seven the unions received the lowest rating. Thus the mines are perceived to be the most committed to sustainable development and cooperation as well as the most powerful role player. The unions on the other end are perceived to have the lowest commitment to sustainable development and cooperation. The unions are also *perceived* to be the least trustworthy role player. In question six (trustworthy rating) the service providers scored the highest rating. For question seven (power rating) most respondents were of the opinion that community had the least power. All of the ratings were based on respondents' *perceptions*. Although perceptions do not always reflect reality, they often form the basis of role players' actions towards each other.

Each respondent was asked to give a list of all the current existing partnerships they were aware of (question eight). According to principle L2 one cannot ignore existing structures and according to principle L6 there are wisdoms that can be obtained from existing partnerships. Once the researcher had coded all the mentions into similar categories of mentions, the following three observations were noted:

- Many of the respondents were aware of existing business-to-business partnerships as they were often mentioned.
- When it came to partnerships, clumped around issues/needs, many of the respondents mentioned the AIDS partnership initiative.
- It was also interesting to note that many of the respondents were aware of one specific NGO (the Greater Rustenburg Community Foundation). This NGO seemed to feature in many partnerships mostly with other NGOs.

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[193] Principle E 5 states that social bonds are not just the cause of partnerships, but often they are a consequence of a partnership.

The respondents were asked to list all their social, economic and environmental problems so as to ascertain their needs and get an overlap of needs[194] (questions twelve through to fourteen). The table below lists the problems/needs/issues in categories, as well as the percentage of mentions per need. Although forty-two categories were created, only the top nine categories are noteworthy as the incidence of mentions drops sharply after that. These categories are listed in table twelve and the total list of needs can be seen in appendix U entitled "Complete list of categories for both the needs and hurdles that need to be overcome".

TABLE 12: SOCIAL, ECONOMIC AND ENVIRONMENTAL PROBLEMS/NEEDS/ISSUES

Needs/problems	n	%
HIV/Aids/aids orphans/antiretroviral drugs	22	67
Informal housing/housing need/upgrading of squatter camps	21	64
Pollution (air, noise, water)/dumping/litter	20	61
Unemployment/jobs/job creation	18	55
Water/water provision/water supply	16	49
Crime/safety/theft	14	42
Infrastructure/roads/logistical/schools	13	39
Sanitation	12	36
Education/school dropouts/training	11	33

In most cases when respondents mentioned a need, they felt most role players shared it

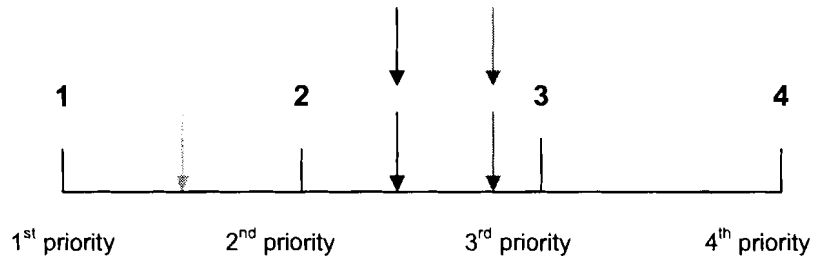
The above-mentioned needs and the overlap between the mentions could by themselves justify the need for a Joint Development Forum based on shared needs. It was also interesting to note that all the priority issues listed in the IDP (Rustenburg Municipality, 2004a:5-6) were also picked up in the case study done for this thesis. The IDP (Rustenburg Municipality, 2004a:5-6) listed twenty-two priority issues and

[194] These shared needs are the "goals" that need to be achieved through cooperation as discussed under the GOAL ATTAINMENT prerequisite of Parsons (see p. 35). When needs are shared, cooperation, collaboration, integration and cohesion are made easier.

each one of these was either directly mentioned in the list of forty-two categories of needs/issues found in the study or alluded to.

After the respondents were asked to list all their needs, they were also asked to rank their top four needs (question fourteen), using a scale of one to four. Illustration twenty shows the average rating given to the top five categories of needs as listed in table twelve above, on the given four-point scale. Principle L10 also states that one should not just identify needs, but also prioritise them.

ILLUSTRATION 20: PRIORITY OF NEEDS MENTIONED

Unemployment/jobs/job creation	1,5
Informal housing/housing need/upgrading of squatter camps/rapid urbanisation	2,4
Water/water provision/water supply	2,4
HIV/Aids/aids orphans/antiretroviral drugs	2,8
Pollution (air, noise, water)/dumping/litter	2,8
Scale 	

It is interesting to note that although the HIV issue was mentioned by the most respondents, it was not rated as the first priority[195]. Respondents were of the opinion that if job creation was seen as priority one, it would create wealth that would indirectly solve some of the other problems mentioned in question twelve. Thus respondents were reasoning that if people have jobs, they have money and if they have money they could start buying their own homes or send their children to school for example and in so doing solve some of the needs listed in table twelve for themselves.

[195] The priority rating of the needs are not always correlated to the amount of mentions they received.

5.1.2 "Snapshot" of the future/analysis of future

Working from the assumption that once you know where you are, you will have to know where you want to be before you can start planning strategically on how to get there, all the respondents/ role players were asked some basic questions to ascertain both their vision of a cooperative partnership on shared social, economic and environmental needs and some thoughts on how this vision can become a reality (operational ideas). The idea was first to ascertain their dream and then to find out how they would go ahead to make this dream operational i.e. a reality.

5.1.2.1 Vision of a cooperative partnership, i.e. concept test

When it came to the vision, aspects of who should be included in a partnership, what area should be covered and the envisaged format of the partnership were covered.

As mentioned under 5.1.1 all the respondents were asked whom they thought should be included as role players in a cooperative partnership, based on shared needs (questions one through to three). Looking at the results of these questions, 97% of the respondents were of the opinion that business/labour as a category should be included. The following results were also obtained for some of the sub-groups listed under the **business/labour** category:

- Between 94-97% of the respondents were of the opinion that the mines should be included. The percentage varied from mine to mine.
- 94% were of the opinion that the service providers should be included
- Between 70-85% were of the opinion that the unions should be included. The percentages mentioned here are considerably lower than other mentions, but not due to the fact that the respondents did not want to include the unions. The lower incidence of mentions is due to the fact that more respondents chose option three (do not know the role player well enough to either include or exclude them[196]). This, however, in effect does tell us something. All the respondents interviewed were closely involved in the Rustenburg platinum region. Some were part of the business/labour section (people working in the mining industry or big service providers who were intimately involved with the

[196] See discussion on p. 138 in chapter four.

industry). Others were part of the local government. According to the Rustenburg Municipality (2005:23) 77,2% of the Rustenburg economic activities come from the mining and quarrying industry. Lastly representatives of the community were interviewed. This category consisted of people living in the area and thus all the environmental issues associated with the mining industry affect them. Most of the community members who were interviewed also had family members working within the industry. Thus it came as a surprise that some of the respondents did not even know the more actively involved unions in the industry. Also see discussion on how trustworthy the unions are perceived to be on p. 156.

As for the perceptions on the **local government** and the **community** categories, the following results were obtained:

- 97% of the respondents were of the opinion that the local government should be included as a category. Both the Rustenburg local municipality and the Bojanala district municipality were listed under the local government category. The Rustenburg local municipality received slightly higher mentions than the district municipality.
- When looking at the community as a category, 97% of the respondents were of the opinion that they should be included. Once again the incidence of mentions varies for each sub-group. The variances per group however were also based on the fact that option three (do not know the role player) was chosen more often for some of the sub-groups than for others. Thus it was more a case of role players not knowing all the communities that well, than them actively excluding communities on other grounds.

The study did not just obtain information on the role players respondents thought should be included, but also the scope of the physical area that should be covered. As mentioned before, respondents were asked in question thirty-three if they thought other role players above and beyond the Rustenburg platinum region should be included (see p. 135). Most of the respondents did not want the scope to be broader than the Rustenburg platinum region and those who did, mostly mentioned the provincial government or specific departments of central government.

Now that the scope of the partnership (who should be included and the area to be covered) has been looked at, the concept test will be discussed. As noted before in question sixteen the respondents were exposed to a concept test of a "forum". They were asked to imagine the cooperative partnership taking the format of a forum. To help the respondents the vision/image of this forum was given to them as a visual illustration (see appendix M).

The illustration was then explained to the respondents in the following way[197]: *Imagine the starting point of this vision of a "joint forum" as the shared social, economic and environmental needs/problems/issues be that AIDS, pollution or any of the other needs listed as shared in questions twelve to thirteen. Then assume that based on the fact that role players have shared needs/problems, they will have a common goal to work towards i.e. solving these problems. Cooperation and collaboration will take place in a "Joint Forum" where all three the categories (business/labour, local government and community) will be included. In this forum, the three categories will pool and share ideas, resources and skills. Hopefully things will progress beyond the discussion phase and actual action will take place to address the shared needs that in turn will lead to sustainable development for the whole region.*

After being exposed to the concept, the respondents were asked about their attitude[198] towards this vision of a "Joint Forum".

Of the respondents 88% were positively inclined, 9% were negatively inclined and 3% were totally neutral towards this concept.

Of the 88% *positively* inclined, the following are some of the main categories/themes that emerged:

- Role players liked the concept, as it would be based on joint problem solving/ action plans/collective plans/draft resolutions/clear ideas etc.
- Role players liked the concept, as it would be based on cooperation/ inclusiveness/participation/unity/team-work/collective effort/collaboration, etc.

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[197] Although most of these types of explanations were done in the methodology chapter, here an exception was made. It is easier to appreciate the analyses of the data if the concept is still fresh in your mind.

[198] One could assume that there will be a correlation between a positive attitude and a willingness to cooperate, collaborate, integrate and to stay together.

- Role players also liked the concept as it was based on the idea of shared goals/common problems/common understanding of objectives, etc.

Here follow some of the direct quotations of the people who had a *negative* attitude as all respondents were asked to justify their attitude:

> "Inability to get parties to resolve issues"
>
> "Lack of catalyst to get process started"
>
> "Some people would like to stop development, as they fear it would lead to more migration into the area"
>
> "Not as much negative about idea, than how it has panned out in reality up to now"
>
> "Individuals who are really invested [*sic*] in it, burn out eventually"
>
> "In theory it looks good, practical problems (e.g. who has the power?)"

Some of the quotes of the respondents who were *neutral* towards the vision:

> "The developmental needs of people are diverse and it is difficult to cater for all the needs"
>
> "As the needs differ, you will have to drill down to the really shared needs"

As it was not just the intention of this research to get the attitudes towards a pre-set vision, respondents were also asked in question seventeen if they had any further improvements or alterations to the vision.

Most of the respondents had nothing to add or change. Where they added, they generally mentioned the inclusion of provincial and national government. Some respondents also felt that they would have clumped the role players differently. For example one respondent felt that under the community there is an organised and unorganised part that should be separated. Also see discussion on p. 138-139 of chapter four for categorisation of Royal Bafokeng.

Once the respondents' views about the vision of a joint development forum had been obtained, they were also asked about how they would foresee this forum operating on a practical level.

5.1.2.2 Practical operational issues of partnership

How the forum should be structured, other functional issues, i.e. how decisions should be made, whom the controlling authority[199] should be and how disputes should be resolved[200] will be discussed in this section. Respondents were also asked about who (role players) should contribute what (resources[201]) to make this future vision of a joint forum a reality.

In question eighteen the respondents were asked to imagine that they were in the process of setting up a joint forum and to give the interviewer some insight on how they would see the forum being structured on an operational level.

After the respondents had given their views on how they foresaw the structure of the forum the researcher combined similar thought patterns/trends and produced seventeen models of what the structure could look like. Although some of the views differ only subtly, it was enough of a difference to warrant a separate model. As the respondents were also promised a feedback session, it was felt that some of the finer nuances would be lost if more of the models were collapsed into one. This could always be done at a later stage and in consultation with all the role players. The thought was that if the forum were to ever become a reality the participants would have to choose either one of the existing options or combine some options until they had an option that they perceived could work and that the majority of the role players would be happy with. Although the structure would never be set and would change and evolve as the forum grew, one would have to assume that there should be some agreement on the structure to work towards in the beginning.

As the study mostly focussed on the first stage in partnership formation, the aim was to gather information on as *many* viewpoints as possible and then to disseminate the

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199 The correct choice of a controlling authority can ease integration and cohesion.

200 Disputes must be resolved if cohesion is to be obtained.

201 As not all role players have access to the same resources, resources need to be found and distributed i.e. cooperation and collaboration becomes unavoidable.

information to all the participants via a feedback session. The promise of a feedback session was not only made as an incentive to lure the respondents into participation and to lower the refusal rates, there was also an honest expectation from the researcher's side that the study could be one of the first steps to the actual formation of a partnership between the role players. Hence the discussion on action research on p. 10-11 of chapter one.

The seventeen models can be placed on a continuum ranging from the view that the forum should be merely an information-sharing vehicle on the one side to the other side of the continuum, where respondents felt it had to be run like a separate independent organisation. Models one to seventeen are also placed where possible according to this continuum. As the models were also grouped based on other similarities, i.e. all the integrated development plan (IDP) ideas were put together - the exact placement on the above-mentioned continuum is not always 100% correct. In some cases the researcher (based on sketchy information) was also not sure exactly where on this continuum the model would fall. This continuum was after all only conceptualised after the interviews were completed and thus respondents were not probed on this issue during the research.

In some instances the idea of the structure was also so unique, that the model is not a combination of similar ideas, but came solely from one individual. Where ideas were added to already existing ideas, dotted lines were used in the model to convey the fact that some of the respondents elaborated on some ideas that had already been mentioned. Of course this elaboration was not intentional as the interviews were done in isolation and respondents were not aware of what the other respondents had said. The seventeen models will each be discussed now[202].

Models of possible structure for Rustenburg platinum region partnership

In **model one** the forum would consist of all three categories (business-labour, community and government). In fact all the models, with the exception of model nine (to be discussed in detail later) wanted all three categories to be included in one-way or another. In model one the forum would be a conversation desk where information

[202] Their matching visual depictions are placed at the end of this chapter (see p. 183-199) and not in the appendix section to ensure ease of paging.

would be shared. These discussions could either take place one-on-one or be group-based. A neutral facilitator could be appointed to help the flow of discussions. The role players who should be involved are also mentioned and can be seen in model one. One of the role players mentioned here that was not mentioned in any other model, is any individual in the community with wealth that would want to help with sustainable development, i.e. the Oppenheimers of the world. When the community was mentioned it was made clear that it should be the organized part of the community, i.e. non-profit organizations (NPOs), community-based organizations (CBOs) and non-government organizations (NGOs). Another interesting mention was role players like Old Mutual that was mentioned as part of an "other business" category as they would be able to help with the generating of capital. The mining industry was also separated from the rest of the business category in this model.

In **model two** all role players would come to the table (forum) and inform others about what they were doing. Role players who would then be interested in participating, i.e. cooperating in any of the mentioned projects would be welcome to do so and those who were not interested, were welcome to come back to the next meeting to see if there would be something they would like to participate in at that stage. The forum would also cluster issues around areas of concern and a separate mechanism would handle these concerns. For each concern, people with experience of dealing with that kind of concern, would be placed in charge of it. Thus, for example the crime issue, could be run by the police. Please note that the word mechanism was used and not committee as such as it does not refer to an actual group of people that meet every month or so.

In **model three** there would be a separate mineral producers' forum consisting of the mines in the area and other businesses. There would also be a local government structure that would include the Rustenburg municipality, Bojanala district municipality and other government departments. These two and the local community as a third leg, would then form a joint development forum that would set up joint task teams to look at social, economic and environmental concerns. The scope of operations of this private-public/social partnership would also need to be clearly defined according to the respondents.

In **model four** the forum would be composed of business, traditional authorities and political government structures. The community is not mentioned as such as they

would already be included indirectly by either their traditional authority structures or political structures like ward councils. This idea also comes to the fore in several of the models to follow and will therefore be pointed out later again. Some respondents felt that one should not create new structures if there were existing structures that could do the same job, as one is not just duplicating but also adding to the confusion. This links to principle L2 that states that existing structures cannot be ignored.

Other respondents also thought that in the midst of this forum, there should be a coordinating body that would act as an information centre. The forum would have sub-technical groups that would be clustered around similar issues. Once again the idea was that each role player would come with their own plan and would then determine if there were any overlaps with any of the common action plans and budgets.

Decisions will not be taken at this forum level, but there should be a management committee (MANCO) one level higher that would consist of heads of organisations. This is another one of those recurring themes that will be pointed out again and again in models to follow. Respondents felt that people with the power to make decisions or who have a mandate should be included as it inhibits both the speed and navigation stability of a forum if people have to run to and fro to get permission before any action can be commenced.

In **model five** general decisions and decisions about funding would be taken at the forum level. Once again it was mentioned by *some* of the respondents that the representatives on the forum should have the power to make decisions. Where quotation marks were used in the models it was a direct quotation of one of the respondents. Thus some of the respondents might have had the same idea of where the decisions should be taken, but they did not mention the level of the people that make them. Similar ideas were grouped together and although some people might have had the same broad overall view, smaller differences could and did occur.

Under the forum level in model five, respondents saw what some called technical groups, others working groups and others task groups. These groups would be based on issues and once again there were finer nuances within broader encompassing ideas. Thus some respondents saw a working group per issue and

others saw a working group on various issues that could be clumped together due to similar propensities/attributes.

Some role players also took their discussion one level lower than the work groups and mentioned the separate role players feeding into the work/task/technical groups.

In **model six** all the role players would sit on a main forum that would have action/funding forums/groups feeding into it. Each of these action/funding forums looks at separate issues, but issues within an action forum would be related. It is interesting to note that unlike the previous model, funding and action takes place one level lower, i.e. not at the forum level, but in the action groups. To grasp this idea better, the following example will be used. Let us assume that there are five mines on the main forum and that there are three action/funding forums feeding into the main forum. Action forum one deals with the Aids and prostitution issue, action forum two deals with air/soil and water pollution and action forum three focuses on issue X. All five mines would perhaps have an interest in the Aids and prostitution issue and therefore decide to contribute money and other resources towards the solving of this issue. However, only three of the five mines might have an interest in issue X and therefore only three would contribute to this action forum and so forth. Thus, unlike the previous model, role players would have more control over where their resources would be put to use, i.e. resources are not just put into a central pool and managed from there.

In **model seven** some people once again mentioned the fact that the central committee/forum should consist of people with authority. As per the dotted line, some respondents also saw an executive committee one level higher than this forum where others did not mention it. Those who did not mention an executive committee (EXCO) felt that decisions would be taken by the forum, where an executive committee was mentioned, the decisions would be taken at that level. Under the forum, there are ground structure committees. This model differs from a previous one as the sub-groups are not groups based on issues, but rather sub-groups that would be based on individual role players/organizations. Thus instead of having a small compact level under the main forum that focuses on issues, each individual role player gets to represent themselves and this can lead to a broader "second tier" so to speak. Some respondents mentioned the community as a ground structure

committee and others felt that the community was already included under the municipality.

In **model eight** once again there were mentions that the representatives should be senior people who could make decisions. According to the model, some respondents also added an EXCO, while others did not (see dotted lines). The model does differ from previous ones as sub-groups are not based on issues, nor do all the separate role players have their own group. All of the individual smaller role players would already be clumped into three broader sub-groups. Thus this level is far more compact than in the previous model for example. Some respondents also added a level below the sub-groups. They felt that there should be an implementation body that would implement the decisions made in higher levels, i.e. the "think tank" and the "do tank" would not be the same people.

In **model nine** the forum itself was seen as much smaller. Only business/labour and the government as a category should be included to start with. The sub-forums should also be limited. The whole idea was to start small and to expand with time. The sub-forums, unlike sub-groups mentioned in other models, would also focus on individual or specific needs and shared needs would only be covered on the main forum level. In other models shared needs had already been looked at on the level below the forum.

Model ten was a totally unique concept that had only been mentioned by one respondent. In this model the forum did not consist of a group of people. An individual manager with leadership abilities would be chosen by the municipality to make decisions. He/she could be chosen from any of the three categories. This person would, however, have an advisory committee and a feedback loop would exist between these two entities.

Model eleven was also unique due to the fact that the sub-forums under the central forum were based on geography. Here geographic areas/communities formed sub-forums. Each of these sub-forums would discuss issues of concern in their own area. Here much as in model nine, shared needs would only be discussed at the central forum level. Each sub-forum would have a representative from each of the three categories. However, the business representative for example in area forum one could be the same person as the business representative in area forum two.

Model twelve has been separated from some of the previous models. Although the integrated development plan (IDP) has been mentioned before in some of the other models, here it took a very prominent position. In fact in models twelve to fourteen the IDP takes pride of place. In model twelve the IDP is hierarchically higher up than both the forum and even the EXCO as the IDP has legal status and thus supersedes all other plans that guide development at the local government level. All decisions taken by the forum, should thus feed into the IDP. Under the forum there are working groups, once again based on issues as in some of the previous models.

Model thirteen also mentions the local government's IDP as the starting point, but whereas model twelve has sub-working groups based on issues, model thirteen has sub-groups based on individual role players. Once again all three categories will be included in a consultative forum. Each of the role players mentioned in model thirteen gives input to the forum.

Model fourteen also mentions that decisions should be taken at the local government's IDP level. Should a participant be unhappy with a decision taken by local government they have the right to appeal to the provincial or national government and thus challenge the local government's decision. Feeding into the IDP, there are various forums that are based on broader groups of role players. As per some of the other models, only the organised section of community is mentioned. The feeling here was that the rest of the community were already represented by their ward councillors. The local government is also clearly placed higher in the hierarchy than the business/labour and the organized section of the community. In most of the other models the three categories (business/labour, community and local government) are placed on a par.

Model fifteen had a most unique clustering of role players. Here the mines and local government were grouped together and the community and unions were grouped together. Both of these groups would choose representatives to sit on the forum. The mines and local government would provide the funding and major ideas. The community and unions on the other hand would provide input on their needs and also give some suggestions and proposals. Plans are executed at the forum level, but should a dispute occur, the central government could be called upon to have the final say. In this model the three categories are also not placed on the same level.

In **model sixteen** the three categories of the tripartite- partnership is clearly depicted as the three corners of a triangle. Local government, however, is once again placed higher in the ranking order. Some respondents also placed the provincial government over the local government in the pecking order.

In **model seventeen** the tripartite-partnership is depicted as a pyramid. Right on top there is a legal trust/vehicle, which consists of representatives of all the role players. These representatives must however be people on a strategic level, as they need to have the power to make decisions as the controlling authority of the partnership. The next level would be people that can be identified to head up the vision. They can be seen as "social entrepreneurs" that will need experience in the fields they will head up. According to the respondents they would also need passion and be able to dedicate a hundred percent of their time to the forum. For example, a medical doctor could be appointed to head all health related issues. These people will also need to be paid market-related salaries. Under the "entrepreneurial" level, one would have people who would do the things line managers would do in organisations and on the ground there would be people who actually do the work. This pyramid thus takes us from the vision stage right through to the actualisation of the vision in the last level.

It is interesting to note that model seven was the one mentioned by most of the respondents and thus takes first place in mentions. Model five took second place.

In chapter six these seventeen models will also be linked to the four concepts that keep on re-appearing as they pertain to the research aims, i.e. *cooperation, collaboration, integration*[203] and *cohesion*.

While discussing the structure of the forum (as in the seventeen models) issues pertaining to who would take the decisions, who would be the controlling authority[204] and how conflict would be resolved[205] were touched upon.

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203 Parsons also lists INTEGRATION as one of his prerequisites (see discussion on p. 35).

204 The controlling authority refers to the "power structure" discussed under the GOAL ATTAINMENT prerequisite of Parsons (see p. 35).

205 Conflict resolution is nothing more than the "tension management" discussed under the LATENCY prerequisite of Parsons (see p. 35). For role players to cooperate conflict needs to be resolved or channelled positively.

If one looks at the models, who is in control is often depicted in them. For example in **model eight** the community, government and business are on the same level and thus the three ovals representing them are drawn on the same level. In **model sixteen** business and the community are on a par, but the government is placed one block above the other two, depicting the place of each category in the hierarchy.

The respondents were also specifically asked these questions in question nineteen through to twenty-one. The table below contains multiple mentions within and across respondents and not percentages. As these three issues are interlinked, a total column was also added. Once again the categories mentioned in the table were constructed subsequent to the research by the researcher.

TABLE 13: HOW DECISIONS ARE TO BE TAKEN, WHO THE CONTROLLING AUTHORITY SHOULD BE AND HOW DISPUTES ARE TO BE RESOLVED

Categories	**Decisions taken**	**Controlling authority**	**Dispute resolution**	**Total**
Local elected/within local representative body/forum/consultation	5	3	3	11
Consensus/equal authority/no controlling authority	6	6	1	13
Subcommittee level	1	0	0	1
Vote (majority/quorum/75% majority, etc.)	10	0	8	*18*
Weighting of priority of needs/compare problems/look at budget/common issues	13	0	3	*16*
Formal rules/guidelines/prior agreed constitution/rules/principles	2	0	4	6
Mediator/arbitrator	2	1	13	*16*
MANCO/EXCO	4	4	1	9
Chairperson/convenor	3	9	1	13
A leader/government to select leader	2	1	1	4
Authority/mandate/senior/representative has power	4	1	0	5

According to contribution/power/power=say	5	0	2	7
Specialist/objective evaluator	0	0	2	2
Facilitator/unbiased driver/2nd opinion	0	2	5	7
Business	0	3	0	3
Legal trust	0	1	0	1
Government (local/municipality/IDP/ central/national/provincial)	1	16	9	**26**

Some of the highest mentions in the above table will now be discussed in detail. The last row, i.e. the role of government holds important insights and has the highest mentions in the total column. According to this row there was one mention that the government should take the decisions, sixteen mentions that the government should be the controlling authority and nine mentions that the government should be the one to resolve disputes. If all of these mentions are added up, there were twenty-six mentions of respondents who were of the opinion that in some way the municipality had to be the leader/take charge of the partnership formation. It is also interesting to note that the municipality did take charge, as they launched the Rustenburg IDP representative forum as was discussed in chapter three (see p. 84-85). In the follow-up study section, this forum will be discussed again.

In table thirteen there were also eighteen mentions to the effect that decisions and disputes could be settled by some form of voting. There were also sixteen mentions to indicate that decisions or disputes could be made/resolved by balancing concerns, be that problems, budget or needs. Lastly there were also sixteen mentions alluding to the fact that a mediator/arbitrator could be used to make decisions/take control or resolve disputes.

To end off the future "snapshot" section, other basic rules (question twenty-three) and values (question twenty-two) the respondents thought should be put in place to assist with the running of the forum will be looked at[206]. Lastly, what the role players thought each of the categories should contribute towards making the vision a reality will also be looked at (questions twenty-four and twenty-five).

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[206] These are the norms and values that will need to be institutionalised i.e. "patterns of value orientation" discussed under the LATENCY prerequisite of Parsons (see p. 35).

In question twenty-two respondents were asked about the broad values and in question twenty-three they were asked about the underlying norms/rules[207]. As they were not sociology students the distinction between values[208] and norms[209] were made in laymen's terms. After coding the two questions, it became apparent that the same themes/categories cropped up in both questions. Thus the respondents did not make much of a distinction between values and norms and for that reason they will just be noted as a whole and not per question here. The themes that kept on re-appearing were the following:

- The idea of inclusiveness/unity/team work, etc.
- Respect/caring/love/support
- Honesty/frankness/integrity/ethics/morals
- Openness/transparency/accountability, etc.
- Consistency/fairness/equality in benefits, etc.
- Trust[210]
- Mutual understanding/empathy/compromise, etc.
- Culture of delivery/excellence/achievement, etc.
- Participation voluntary/free
- Do not misuse power/must have mandate, etc.

It was also interesting to note that there were two mentions from two separate respondents that rules are important, but that one should not get into a "rule rut" or "get wound up" in rules. The table below gives a link to some formulated principles and some of the above bullet points.

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207 These shared norms ensure cohesion.

208 The respondents were given a broad definition of what a value is.

209 Here the respondent was just asked for input on any other "basic rules".

210 The concept of "trust" and issues revolving around it, keep on recurring in this chapter.

TABLE 14: PRINCIPLES FORMULATED

General information on norms and values	Principles E7, E25, E27, F3 & L16
Trust	Principles E21 & L20
Power	Principles E3, F9 & L13
Accountability	Principle L19

Both questions twenty-four and twenty five dealt with the contribution[211] issue. In question twenty-four the respondents were asked for spontaneous mentions of what they thought the individual role player they represented would contribute. Question twenty-five was a prompted question about what the respondents thought the other role players should contribute. Thus both the issue of what role players would "give" and what they would "get" was discussed, i.e. the exchange. Principles E12 and L35 states that people only continue with an exchange situation if they perceive the transaction to be fair, i.e. they compare what they get to what they gave.

TABLE 15: CONTRIBUTIONS OF EACH CATEGORY (MULTIPLE MENTION) AS PER QUESTION TWENTY-FIVE

	Business/labour		**Local government**		**Community**	
Contribution	**%**	**n**	**%**	**n**	**%**	**n**
Do not know	0%	0	0%	0	3%	1
Funding/money	82%	27	82%	27	18%	6
Time	82%	27	79%	26	70%	23
Expertise/skills	97%	32	88%	29	67%	22
Information	79%	26	91%	30	88%	29
Contacts	70%	23	88%	29	73%	24
Other, i.e. place to meet	73%	24	94%	31	48%	16

[211] What role players contribute refers to the "resources" discussed under the ADAPTATION prerequisite of Parsons (see p. 34).

Some interesting percentages to note in the table above:

- 82% of respondents were of the opinion that both business and local government should contribute funding. Most respondents however were of the opinion that the community did not have much in terms of capital to contribute (some NGOs and other rich individuals were however expected to make some monetary contribution).
- When it came to expertise/skills, 97% of the respondents expected business/labour to make a contribution and 88% expected the local government to make a contribution.
- When it came to information and contacts, more respondents started counting the community in, i.e. although they did not expect the community to contribute much in terms of funding they were expecting them to have information, contacts and for that matter time to contribute.

5.1.3 "Snapshot" of the past/analysis of past

When it comes to analysis of the past, the history the respondents have with other role players should be looked at due to the fact that past interactions will influence future interactions[212] (questions nine through to eleven).

The hurdles respondents had encountered before[213], when they tried to work together (question twenty-seven and twenty-eight) will also be discussed. The assumption being that if one knows where you are going, it is also advisable to take note of all the hurdles in the past that can once again crop up and hamper your progress.

The table below lists the role players most of the respondents have dealt with in the past five years.

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[212] A bad history can be a hurdle towards cooperation, collaboration and integration.

[213] These could be used as a learning curve towards what had inhibited cohesion in the past.

TABLE 16: ROLE PLAYERS MOST OF RESPONDENTS HAVE DEALT WITH IN PAST FIVE YEARS

Role player	n	%
Anglo	19	58
Impala	15	45
Lonmin	9	27
Samancor	9	27
X-strata	9	27
Royal Bafokeng	8	24
Rustenburg municipality	8	24
Magalies Water	5	15

From the above table it is clear that most of the respondents have dealt with Anglo and Impala. More role players were mentioned than the listed eight in the table, but after the fifteen percent that mentioned dealing with Magalies water, the incidence dropped to such an extent, that listing all the other mentions was not worthwhile. Most of the respondents who had dealt with the listed role players in the above table also reported a mostly positive history with them.

The table below contains the top ten hurdles mentioned, the percentage of mentions, as well as a rating on a scale based on how difficult people thought these hurdles would be to overcome in the future. The scale ranged from one (very easy hurdle to overcome) to four (very difficult hurdle to overcome). Once again the researcher compiled all the hurdles mentioned into categories.

TABLE 17: HURDLES IN PAST COOPERATION ATTEMPTS

Top 10 hurdles	n	%	Scale
Funding/finance/budget	12	36	2,6
Lack of cooperation/contributions/commitment/capacity to mobilise	12	36	2,2
Time & availability/schedules/attendance/time management/100% of time/100% secretariat	11	33	2,5

Trust	9	27	3,2
Hidden agendas/political agendas/agenda different	9	27	3,6
Competitive advantage/competition/info private/business secrets/hide info/lack of info	7	21	2,7
Misunderstanding of goals/goals not so common/conflicting interest/understanding real issues	7	21	2,9
Cultural differences/traditional differences/language differences	5	15	2,4
Role clarity/responsibilities/assignment of tasks/commitment to tasks assigned	5	15	2,6
Time between decisions & action/delivery on time/delivery & not just talk	5	15	2,6

Looking at the table above it is clear that once again the trust issue emerged as a potential problem (see table eleven: Average ratings obtained). Hidden agendas (links with the trust issue) were seen as the most difficult hurdle to overcome. Lack of cooperation (2,2) was the easiest to overcome according to respondents. It seems that everybody wants to work together, but that trust[214] (3,2) and hidden agendas (3,6) will have to be managed.

5.1.4 Time line estimation based on our "snapshots" in time

The respondents were asked to give an estimation of what they saw as a feasible time line for the setting up of a forum (question thirty-two). They were asked to say how long they thought it would take to set up a forum to the point where it could start looking at solving the first problem. The assumption here was that if you know where you are, where you want to go and what can hamper your progress, you should be able to give an estimation of how long it should take.

The estimations ranged from three weeks to three years and differed within the three categories (business/labour, the community and government) and not just between them. The results of the time question is depicted in the table below.

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[214] Also see discussion on p. 155-156.

TABLE 18: TIMELINE FOR SETTING UP OF FORUM

Created intervals	n	%
Within half a year	19	58
Within a year	9	27
1-3 years	5	15

Estimations do not always turn out to reflect reality. Most of the literature consultated, noted that the formation of a partnership requires a relatively long-term commitment, since the skills, structures and relationship of trust cannot be created overnight. This is especially true if past relationships were characterised by distrust and conflict.

In chapter three the formation of a partnership was also described as evolving through stages. Although there is no time line assigned to these stages (it differs from situation to situation), it should stand to reason that if one considers the mentioned hurdles and focus on the vision of a cooperative partnership there is nothing standing in the way of some of these expectations becoming reality. The question of how long it would take to set up a forum was also phrased as such in the study, that it mostly covers the first stage of relationship building as discussed in chapter three. Hoping to start with a mature partnership and saving years of time by doing it, is perhaps unrealistic as the process of partnership formation is just that, a process.

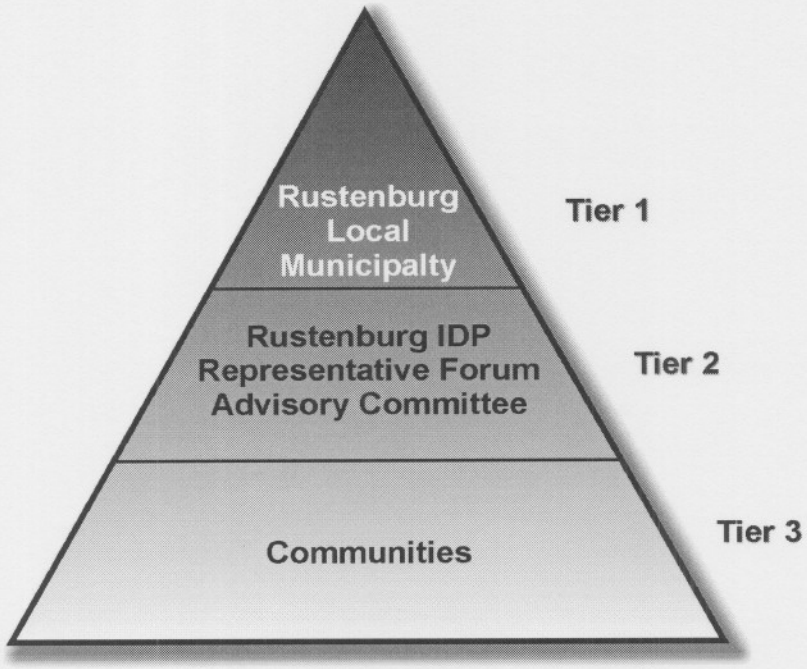
5.2 Follow-up study results

As was mentioned in chapter three the Rustenburg IDP representative forum was formally launched in June 2004 by the municipality. The progress of this forum was monitored in its first stage by doing both desk research and some follow-up conversations. It should also be noted that this forum was launched after all the respondents (including the municipality) had been given the results of this study in a feedback session. In chapter seven there will be a critical discussion of the structure of the Rustenburg IDP representative forum.

5.2.1 Data obtained from desk research

As the name indicates, the IDP would play a central part in this forum. According to the Rustenburg municipality (2004b:4), the final structure had three tiers (see illustration below).

ILLUSTRATION 21: STRUCTURE OF RUSTENBURG IDP REPRESENTATIVE FORUM



According to the Rustenburg municipality (2004b:4) tier one would consist of the council, mayoral committee, portfolio committees and the directors and municipal manager. Tier two would include representatives from key organisations, mining companies/business, the municipal manager and one representative per traditional authority as well as the executive mayor. Tier three would cover the community through organised channels like NGOs. Thus in effect tier one consists of the local government leg; tier two consists of the local government leg, the business leg and a certain part of the community leg, i.e. the traditional authorities. Tier three included the other sector of the community leg.

Although it was stated (by the municipality) that the structure should not be seen as hierarchical, it is clear that the municipality is hierarchically higher up as the following quotes attest. Tier one has "the final decision-making powers" (Rustenburg municipality, 2004b:3) and they also "give required approval for proposed projects"

(Rustenburg municipality, 2004b:5). According to the Rustenburg municipality (2004b:5), tier two has the following responsibilities:

> "Engage with the IDP".
>
> "Probe environmental, social and economic issues"[215].
>
> "Research and document solutions through collaboration and consultation".
>
> "Plan possible interventions".

Tier three in turn had the following responsibilities assigned to them (Rustenburg municipality, 2004b:6):

> "Engage with Ward Committees (of the IDP) for communities to question and engage with various service providers and other stakeholders".
>
> "Provide one of many mechanisms for the dissemination of information".
>
> "Interface with interested parties on projects, for the purpose of supporting the activities of tier two with accurate information and needs from the community".

One level below the Rustenburg IDP representative forum, there would be eight working groups/committees that would be clustered according to priorities, i.e. they were grouped by issues (Rustenburg Municipality, 2004b:7). This structure also reminds one of the structure in model twelve (see p. 169). These working committees would meet regularly and feed back into the forum.

5.2.2 Data obtained from follow-up conversation

As was mentioned in chapter four, the four follow-up telephonic conversations did not lead to much information. They took basically five minutes (if that) and all of the respondents basically were of the opinion that nothing much had happened since the formation of the forum.

The two face-to-face conversations however did produce some more information. The first was conducted with a member of the most active working committee and

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[215] All three legs of sustainable development were included.

this respondent was of the opinion that the working committee she was part of kept on "having the same meetings", i.e. there were different people at every meeting and things then had to be repeated[216].

The second face-to-face conversation was done with a municipality representative. Even when speaking to what could be perceived as the leader of the forum, it was concluded that the forum had not progressed much. The forum members were all waiting for the working committees to comply with their assigned responsibilities and to report back to the forum, so that they in turn could do their job. However, very little was happening at the working committee level, a fact the following quote attests to: "The effect of the working committees cannot be registered since some of them had limited meetings as reflected in the table below" (Rustenburg municipality, 2005:35).

TABLE 19: MEETINGS HELD BY WORKING COMMITTEES

Working committee	Number of meetings
Financial viability	2
Infrastructure development	2
Local economic development	4
Spatial restructuring and housing	0
Disaster and risk management	1
Social development	2
Institutional viability	1
Democracy and participation	2

Thus within approximately a year[217] (the follow-up conversations were mostly done in May 2005) one committee had not even met and the most active one had met four[218] times.

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216 Also see discussion on "consistency and continuity" (p 108-109).

217 It is interesting to note that if one adds the 58% of respondents who estimated the time line to set up a forum as "within half a year" and the 27% who estimated the time line as "within a year" there are 85% of respondents interviewed in the in-depth interviews who could be disappointed in this respect.

218 As the first face-to-face conversation had been conducted with a representative of this group, one now knows that these four meetings were often just a repeat of the previous one.

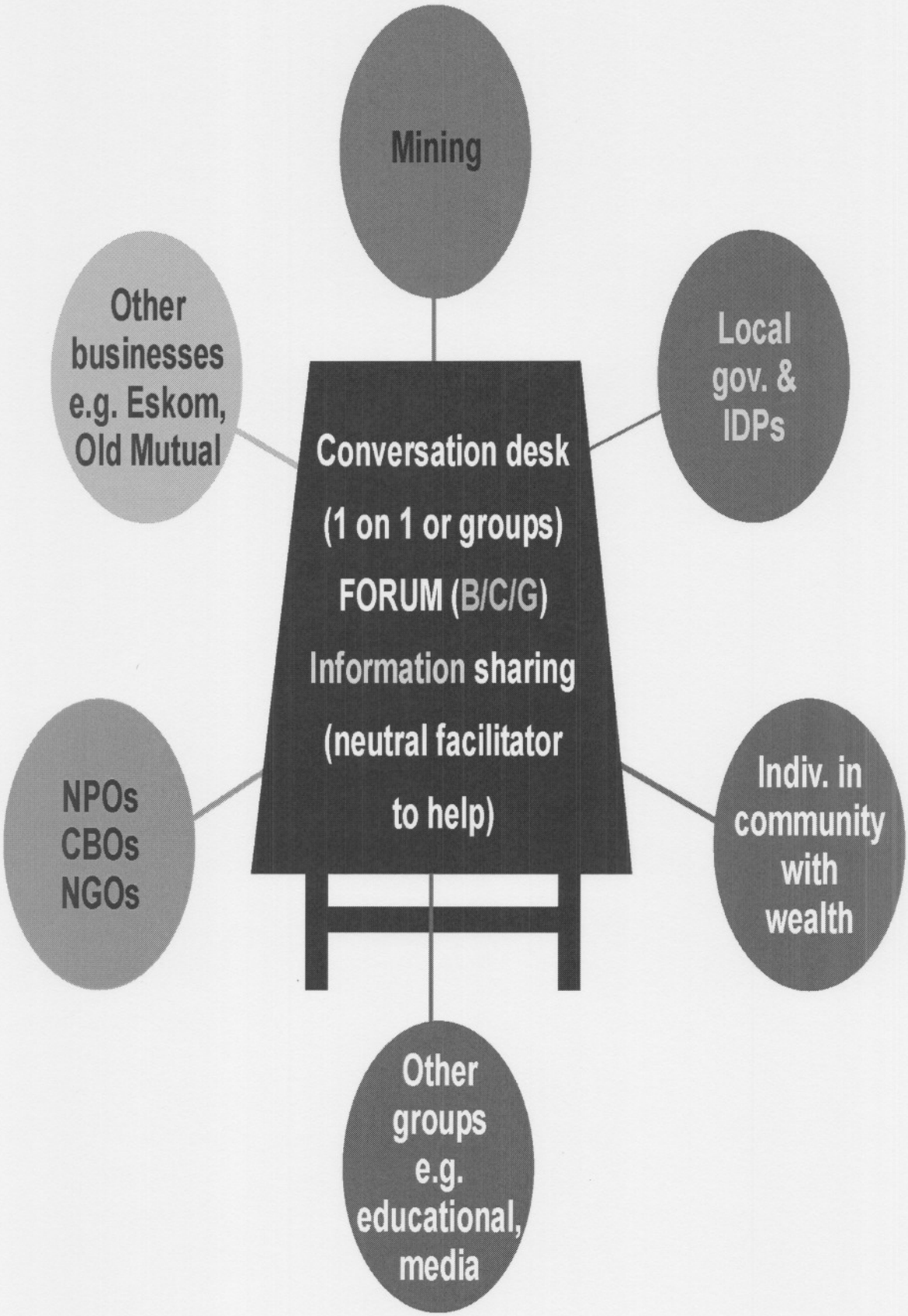
The fact that the working committees were not meeting was not the only hurdle. The second face-to-face respondent also mentioned the fact that the representatives attending the meetings kept on changing and that some representatives sat on more than one of the committees and just could not manage time-wise. None of these hurdles were new as they were also mentioned in the original thirty-three interviews (see p. 176-177). Another problem mentioned was the fact that the role players were not all from the municipality, thus the municipality could not exert control/social sanctions over them, i.e. there is no recourse for non-conformance of attendance or anything else for that matter.

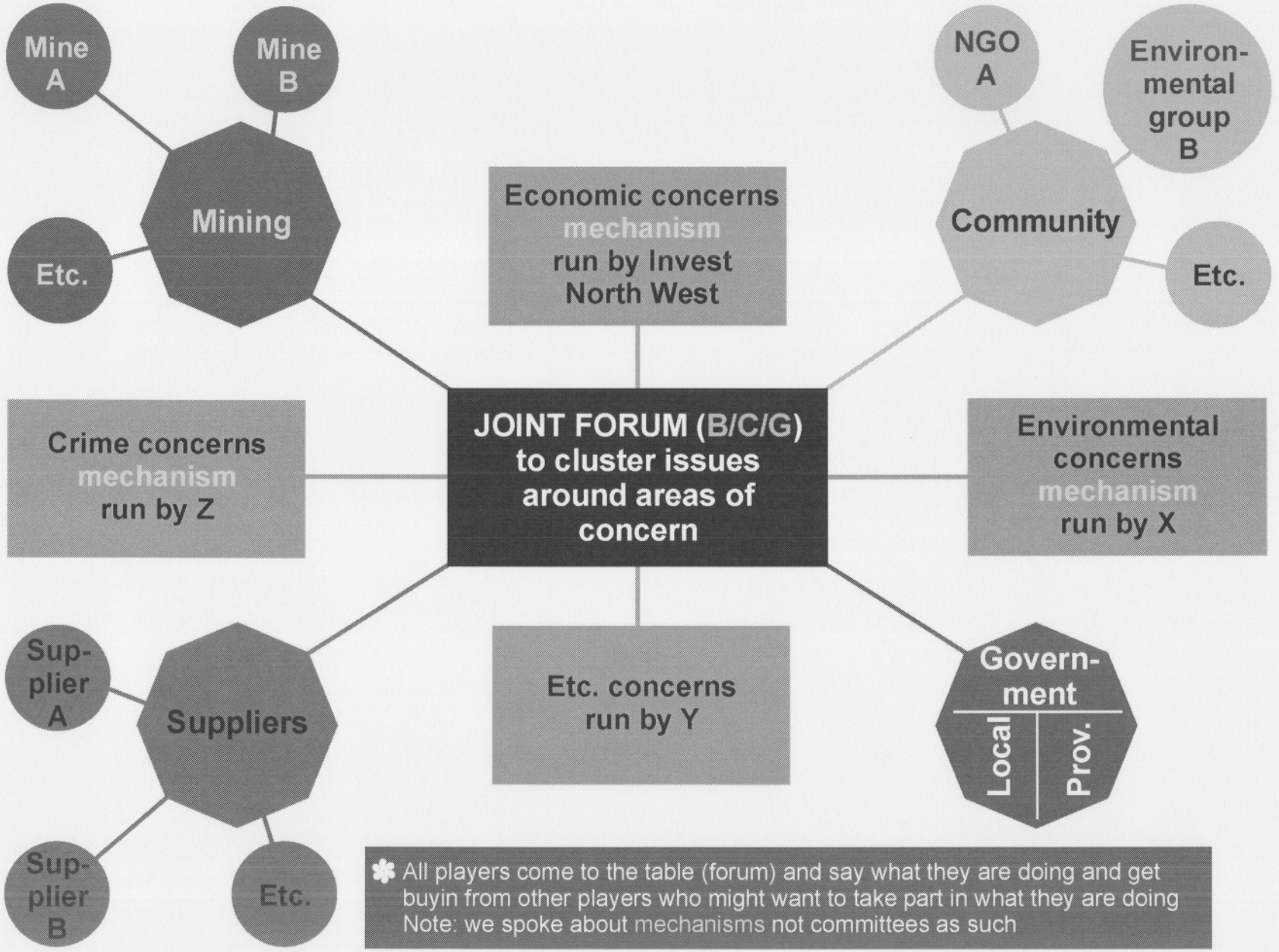
Thus it seemed that there never really was much cooperation nor any integration, let alone cohesion. The forum just "died a natural death" as one respondent phrased it. The role players have not, however, given up on the forum as a decision has been taken to reduce the number of working committees from eight to three and to start the process again. Once again each of these three committees would have "focus areas" i.e. be clustered around issues (Rustenburg municipality, 2005:36). In chapter seven some other hopefully positive suggestions will be discussed about the way forward for the Rustenburg IDP representative forum.

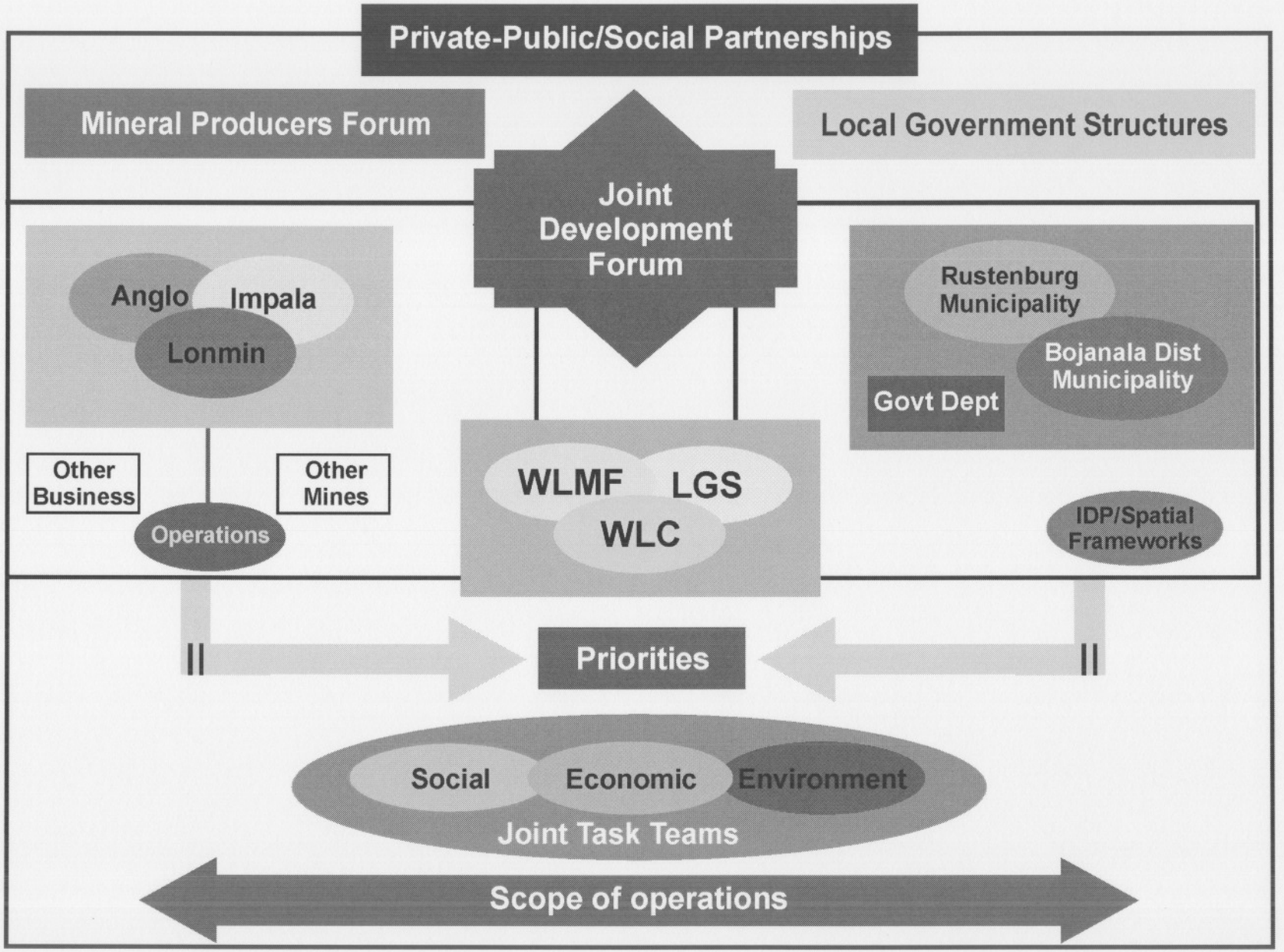
CONCLUSION

In this chapter general results have been discussed. In chapter six results based on the formulated principles will be discussed. This thesis will then be concluded with chapter seven where both the results discussed in this chapter and chapter six will be interpreted.

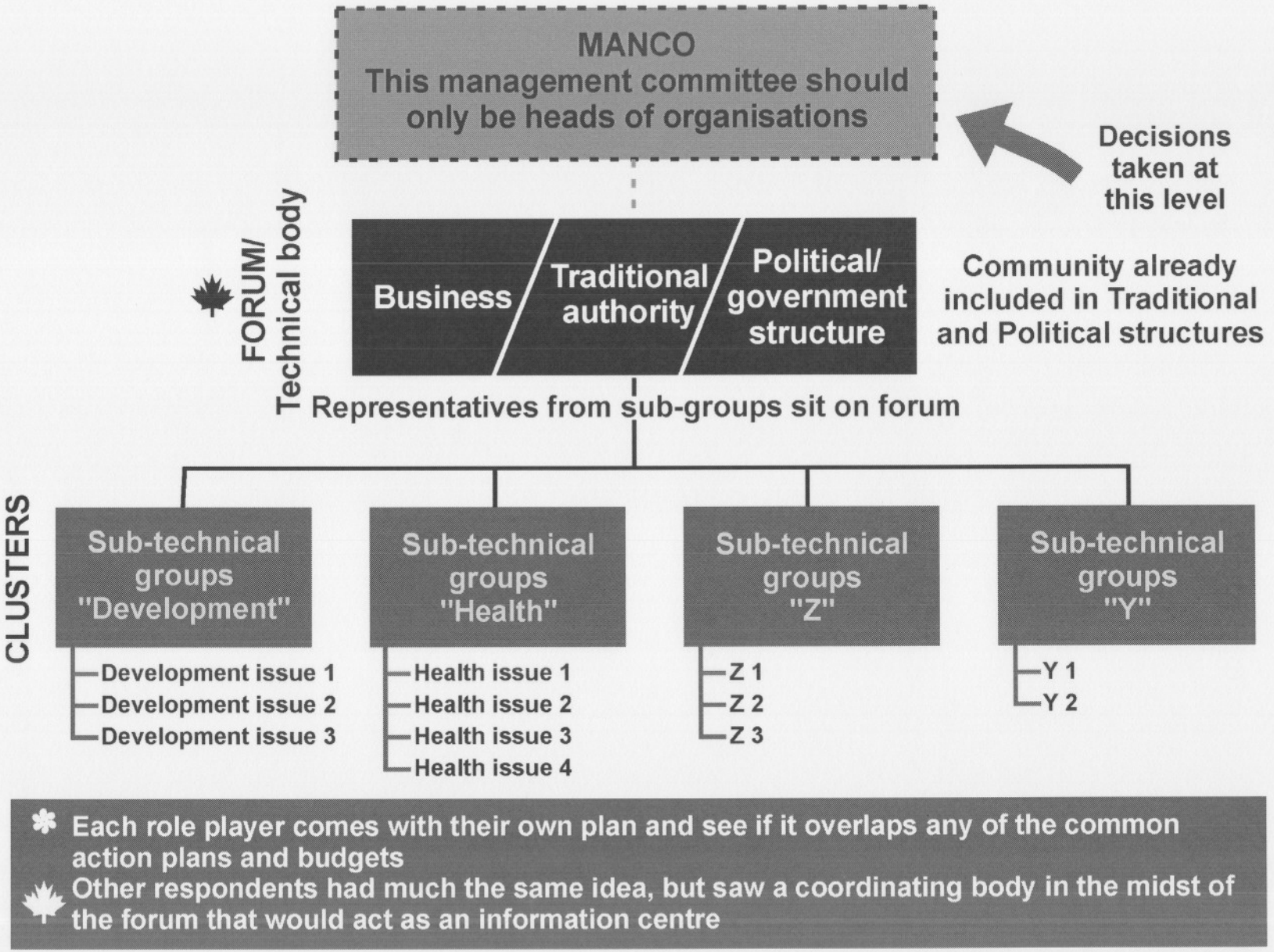
MODEL 1

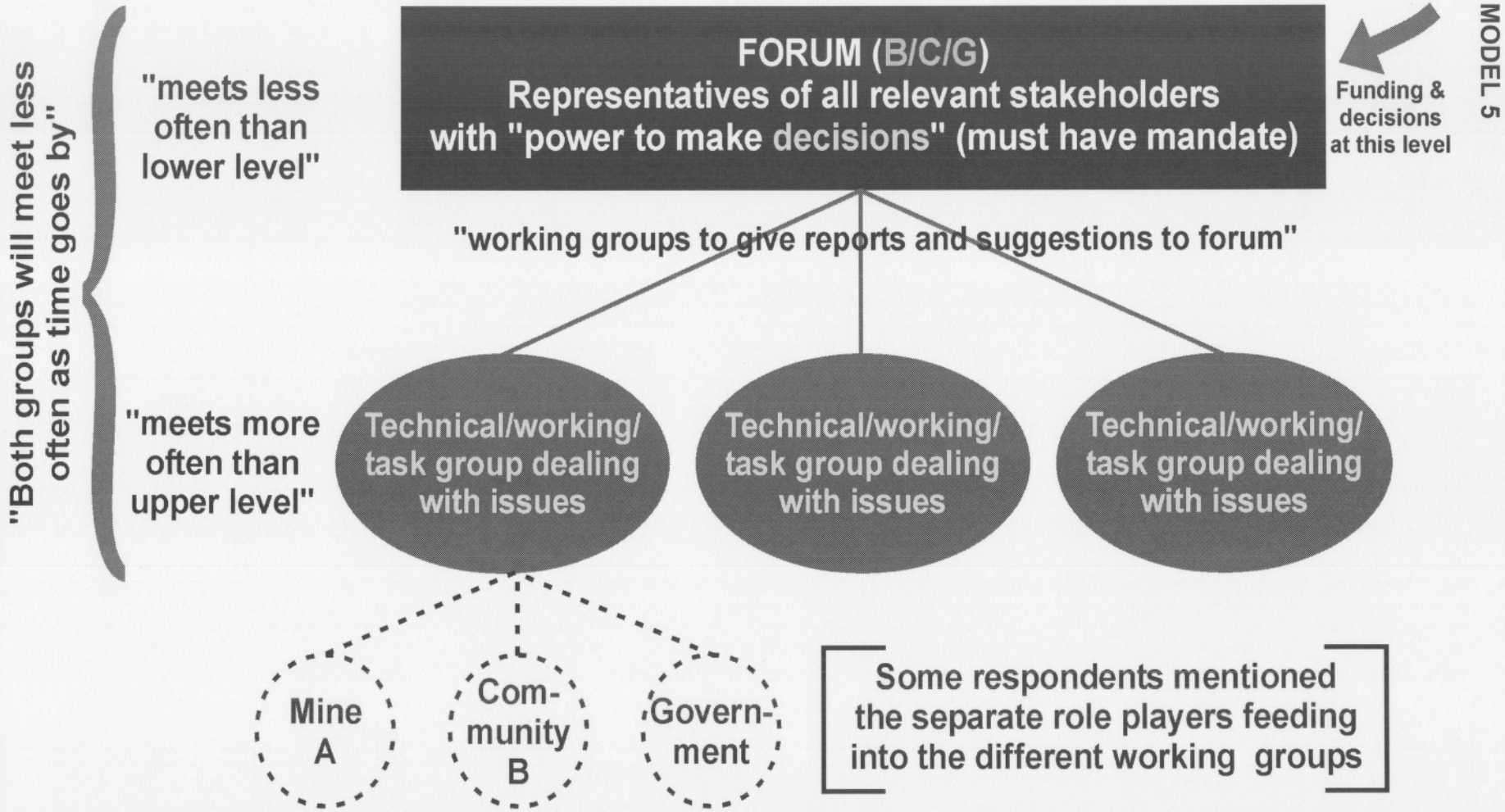

Mining
Other businesses e.g. Eskom, Old Mutual
Local gov. & IDPs
Conversation desk
(1 on 1 or groups)
FORUM (B/C/G)
Information sharing
(neutral facilitator to help)
NPOs
CBOs
NGOs
Indiv. in community with wealth
Other groups e.g. educational, media


Mine A
Mine B
Mining
Etc.
Economic concerns mechanism run by Invest North West
NGO A
Environ-mental group B
Community
Etc.
Crime concerns mechanism run by Z
JOINT FORUM (B/C/G) to cluster issues around areas of concern
Environmental concerns mechanism run by X
Sup-plier A
Suppliers
Sup-plier B
Etc.
Etc. concerns run by Y
Govern-ment
Local
Prov.
All players come to the table (forum) and say what they are doing and get buyin from other players who might want to take part in what they are doing
Note: we spoke about mechanisms not committees as such


Private-Public/Social Partnerships
Mineral Producers Forum
Local Government Structures
Joint Development Forum
Anglo
Impala
Lonmin
Rustenburg Municipality
Bojanala Dist Municipality
Govt Dept
Other Business
Other Mines
Operations
WLMF
LGS
WLC
IDP/Spatial Frameworks
Priorities
Social
Economic
Environment
Joint Task Teams
Scope of operations

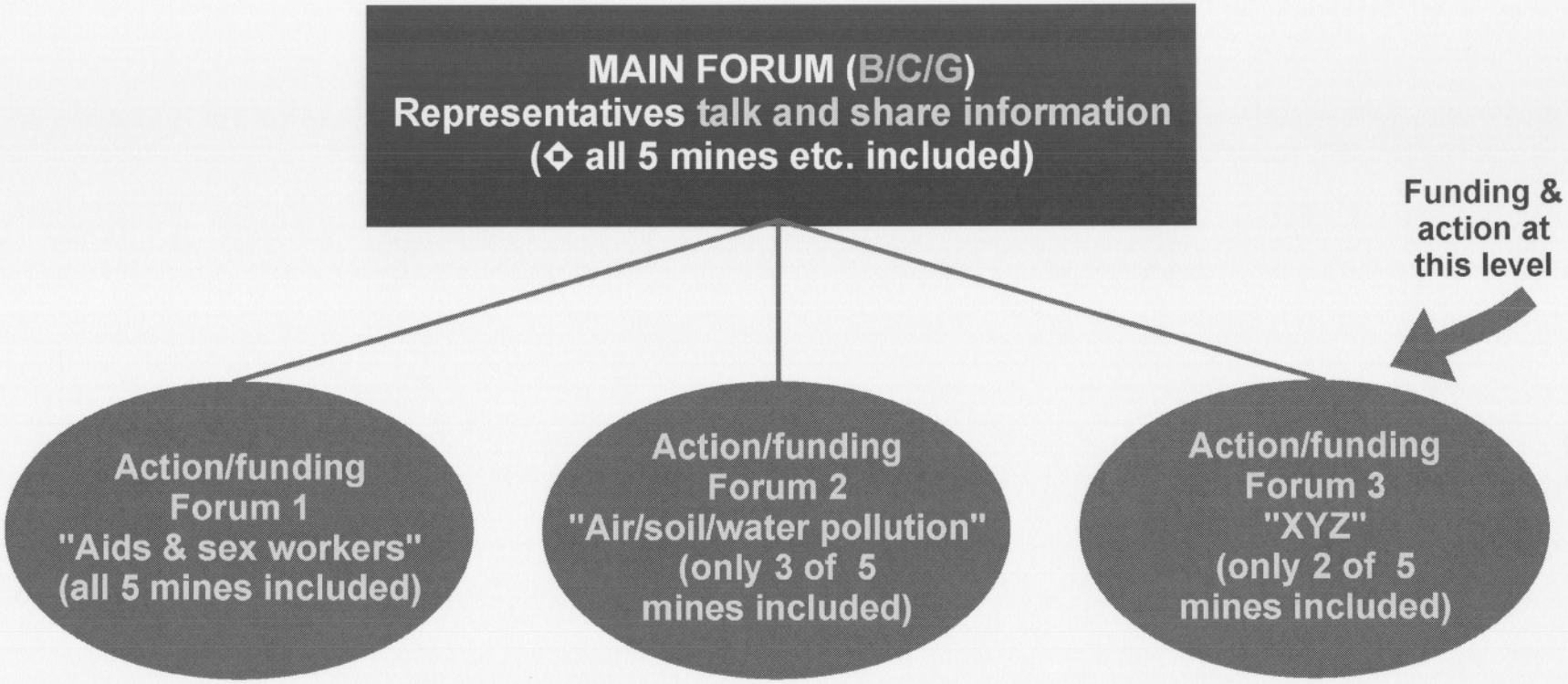
MODEL 3


MODEL 4
MANCO
This management committee should only be heads of organisations
Decisions taken at this level
FORUM/ Technical body
Business
Traditional authority
Political/ government structure
Community already included in Traditional and Political structures
Representatives from sub-groups sit on forum
CLUSTERS
Sub-technical groups "Development"
Development issue 1
Development issue 2
Development issue 3
Sub-technical groups "Health"
Health issue 1
Health issue 2
Health issue 3
Health issue 4
Sub-technical groups "Z"
Z 1
Z 2
Z 3
Sub-technical groups "Y"
Y 1
Y 2
Each role player comes with their own plan and see if it overlaps any of the common action plans and budgets
Other respondents had much the same idea, but saw a coordinating body in the midst of the forum that would act as an information centre



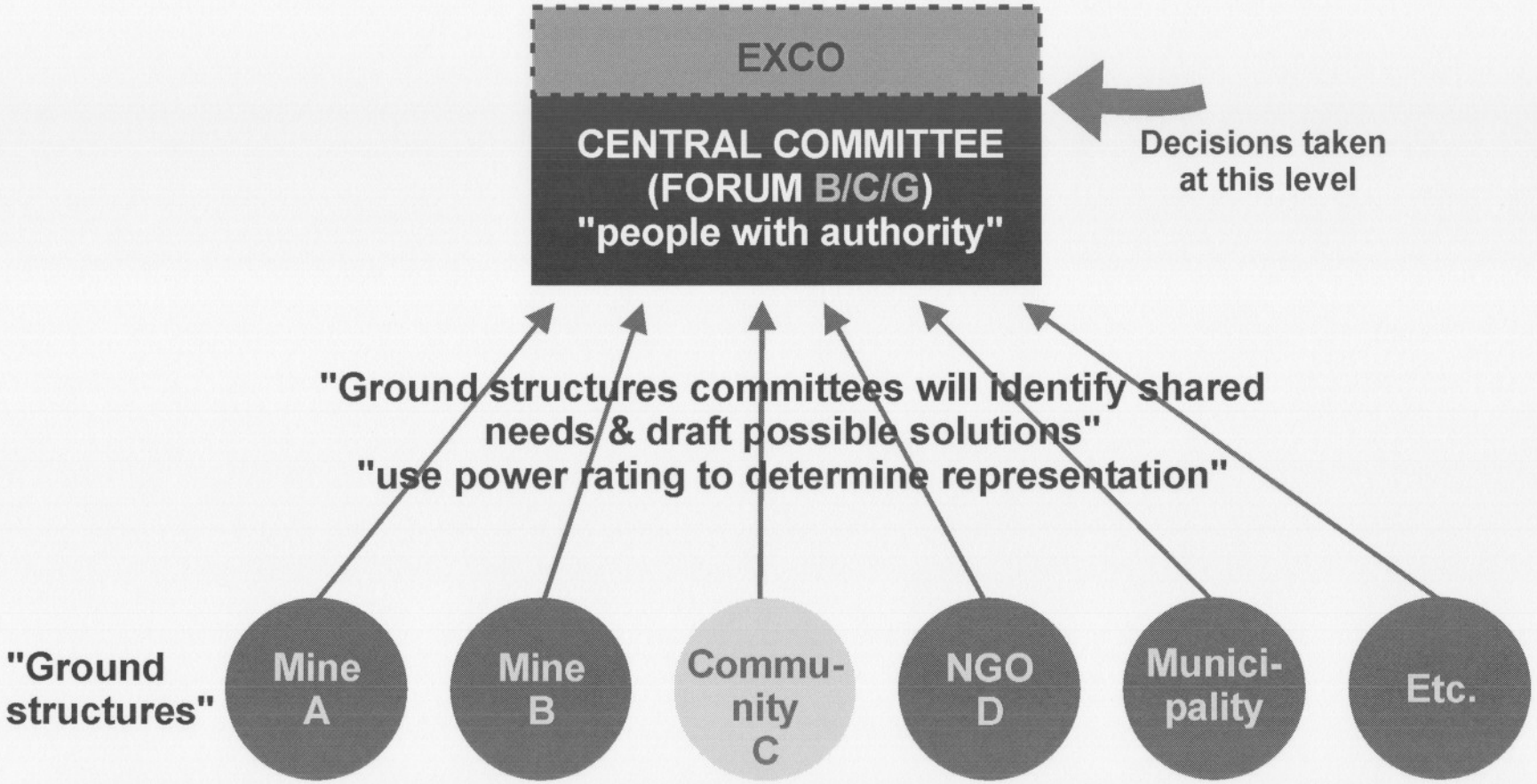
Some respondents saw a working group per issue, others saw a working group on various issues that could be put in categories/clumped together

MODEL 6



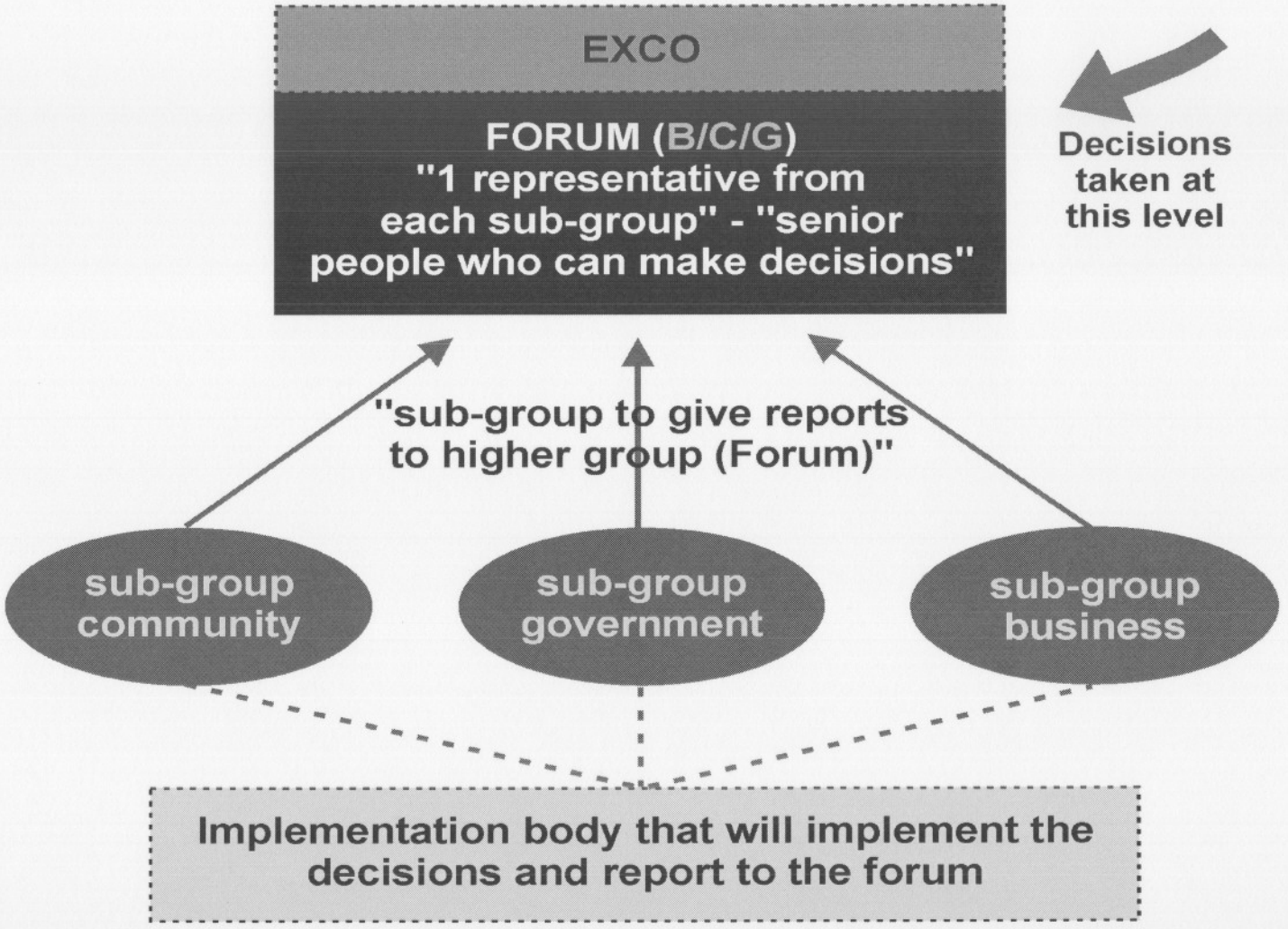
Each of these action/funding forums, looks at separate issues. Issues within an action forum are related though

Please note 5 mines used as example, includes other role players from government to the community



Some respondents felt the individual communities had to each have a representative, others felt that they needn't as they were already included under the municipality.

✱ This illustration differs from a previous one as the sub-groups are not groups based on issues, but more sub-groups based on separate organizations/role players

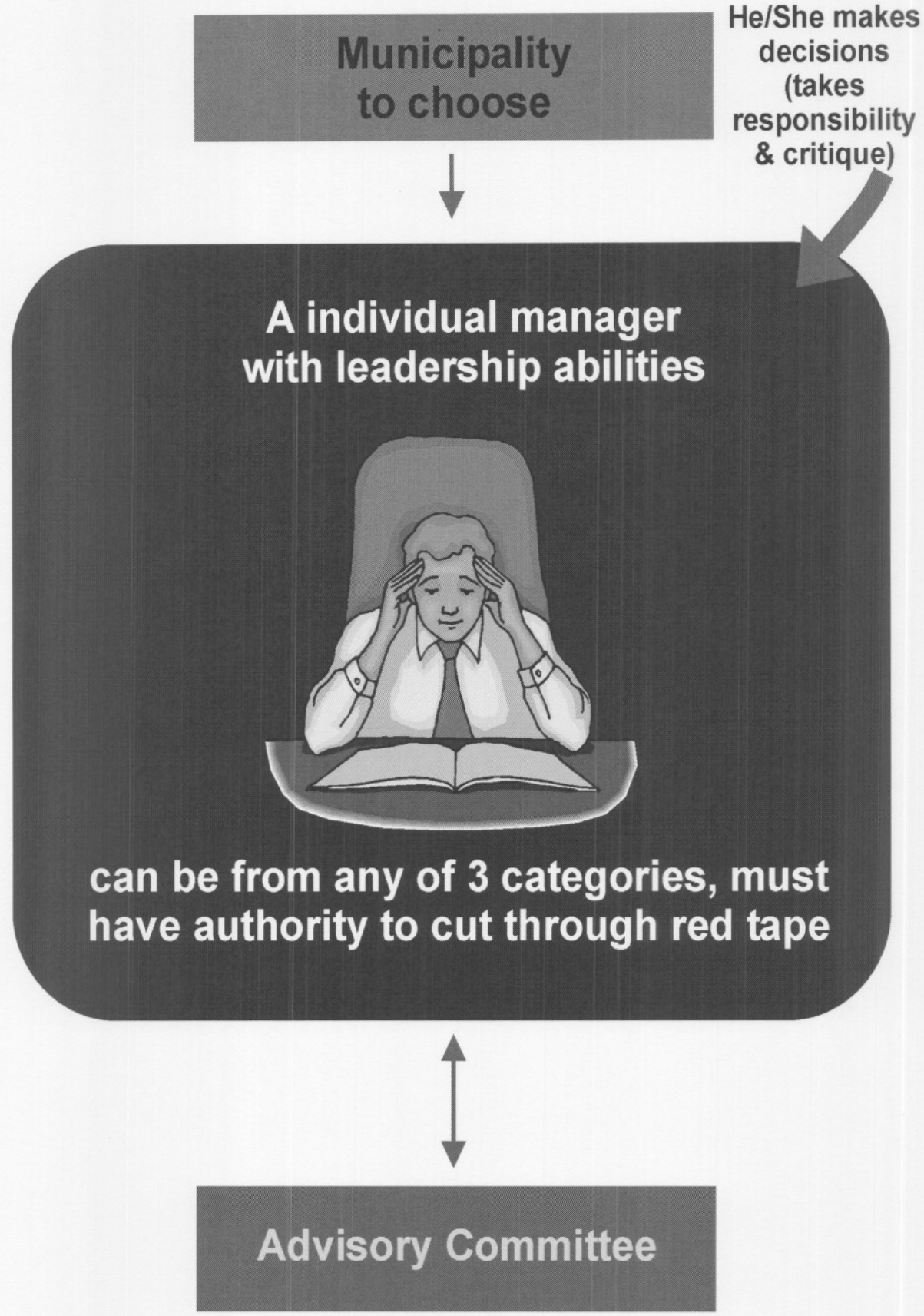


* Differs from previous pictures as sub-groups are not based on issues nor do all the separate role players have their own sub-group i.e.mine A won't have their own sub-group, but will be part of the business sub-group

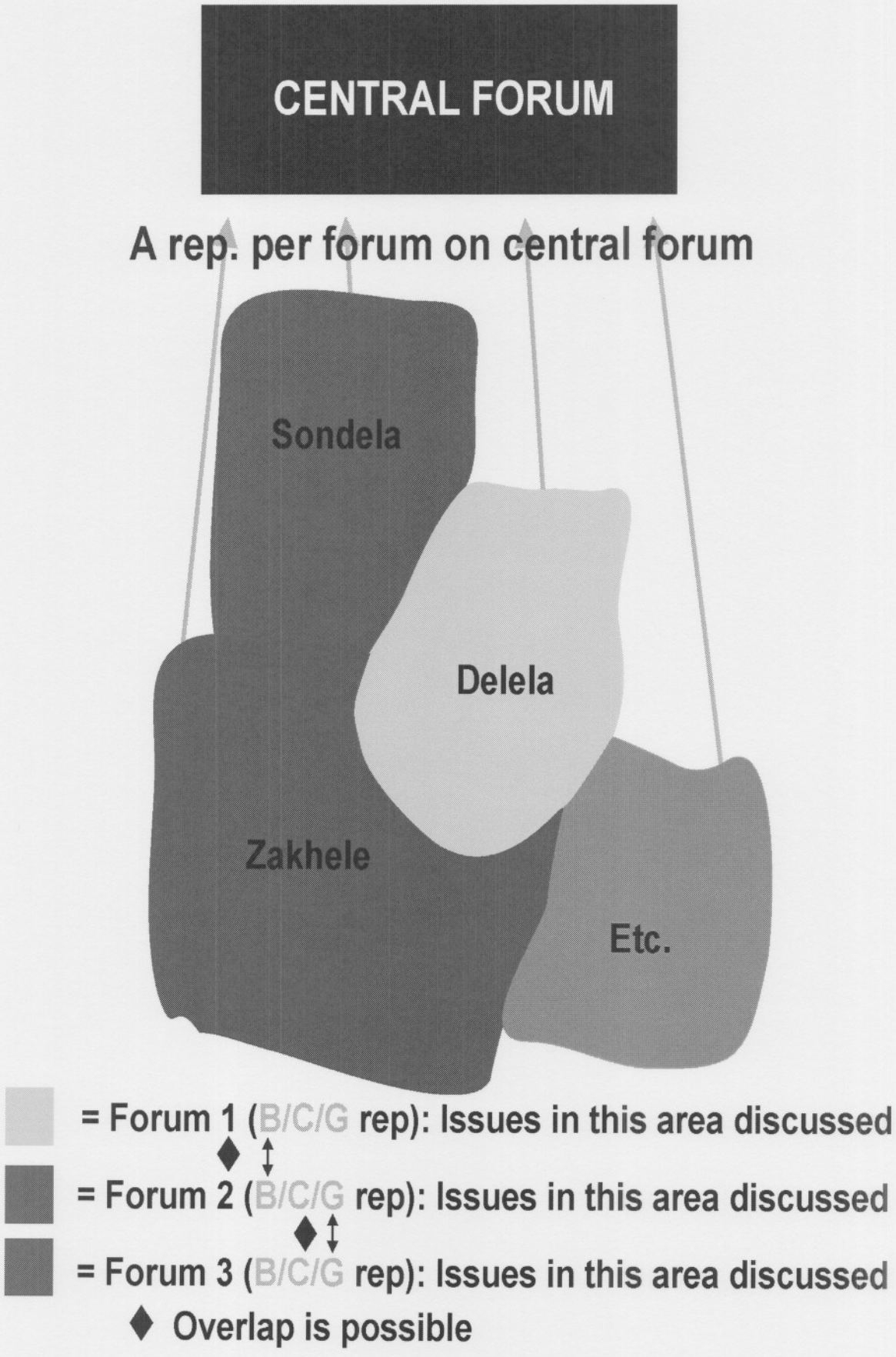
MODEL 9

MAIN FORUM (B/G)
Representatives from sub-forums,
however only start with
◆ main role players
Take decisions
on shared problems
FORUM
(Mine A)
specific
needs to
this forum
FORUM
(B)
specific
needs to
this forum
FORUM
(C)
specific
needs to
this forum
FORUM
(D)
specific
needs to
this forum
FORUM
(E)
specific
needs to
this forum
◆ Start small and grow from there

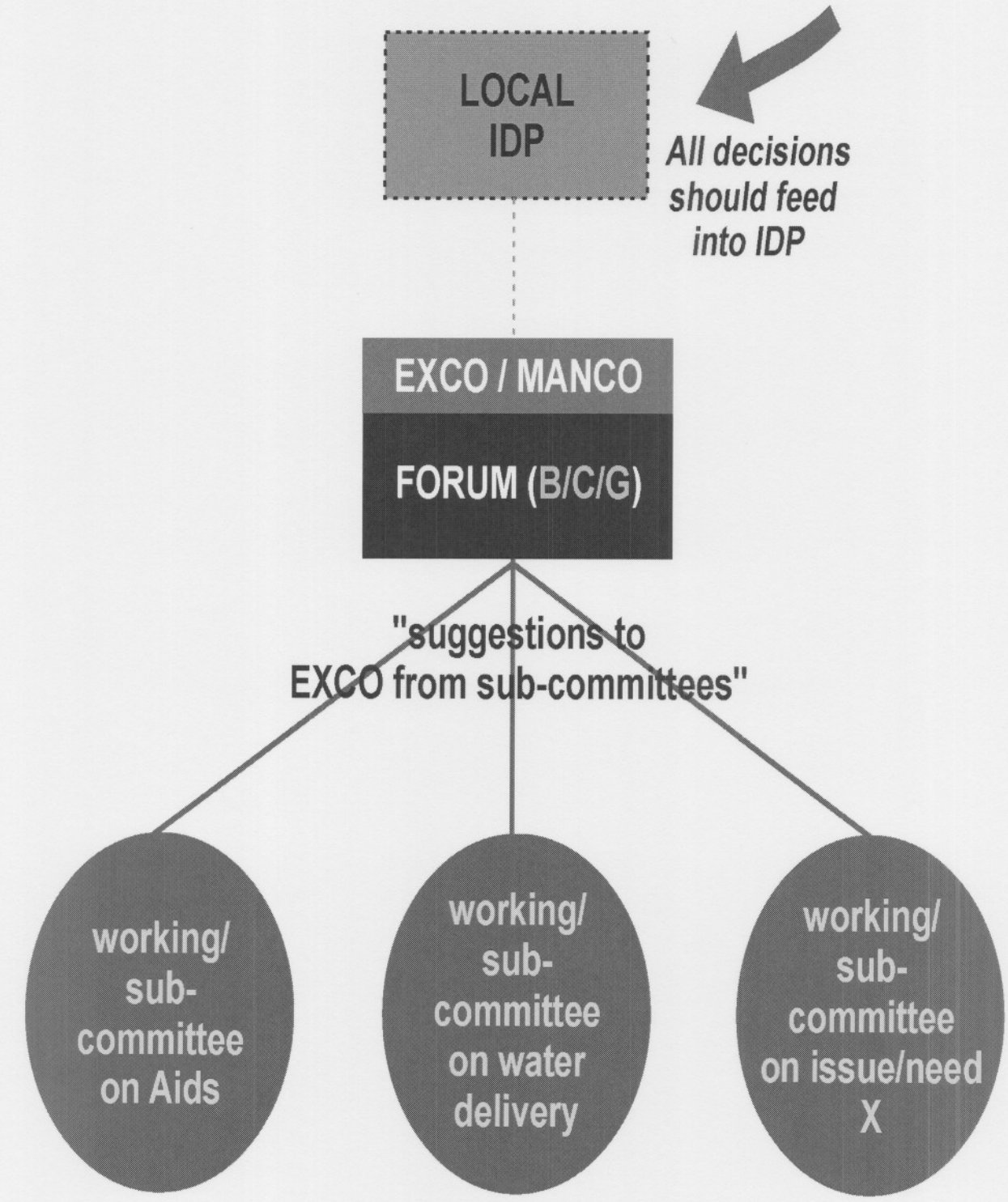
MODEL 10


Municipality to choose
He/She makes decisions (takes responsibility & critique)
A individual manager with leadership abilities
can be from any of 3 categories, must have authority to cut through red tape
Advisory Committee

MODEL 11


CENTRAL FORUM
A rep. per forum on central forum
Sondela
Delela
Zakhele
Etc.
= Forum 1 (B/C/G rep): Issues in this area discussed
= Forum 2 (B/C/G rep): Issues in this area discussed
= Forum 3 (B/C/G rep): Issues in this area discussed
Overlap is possible

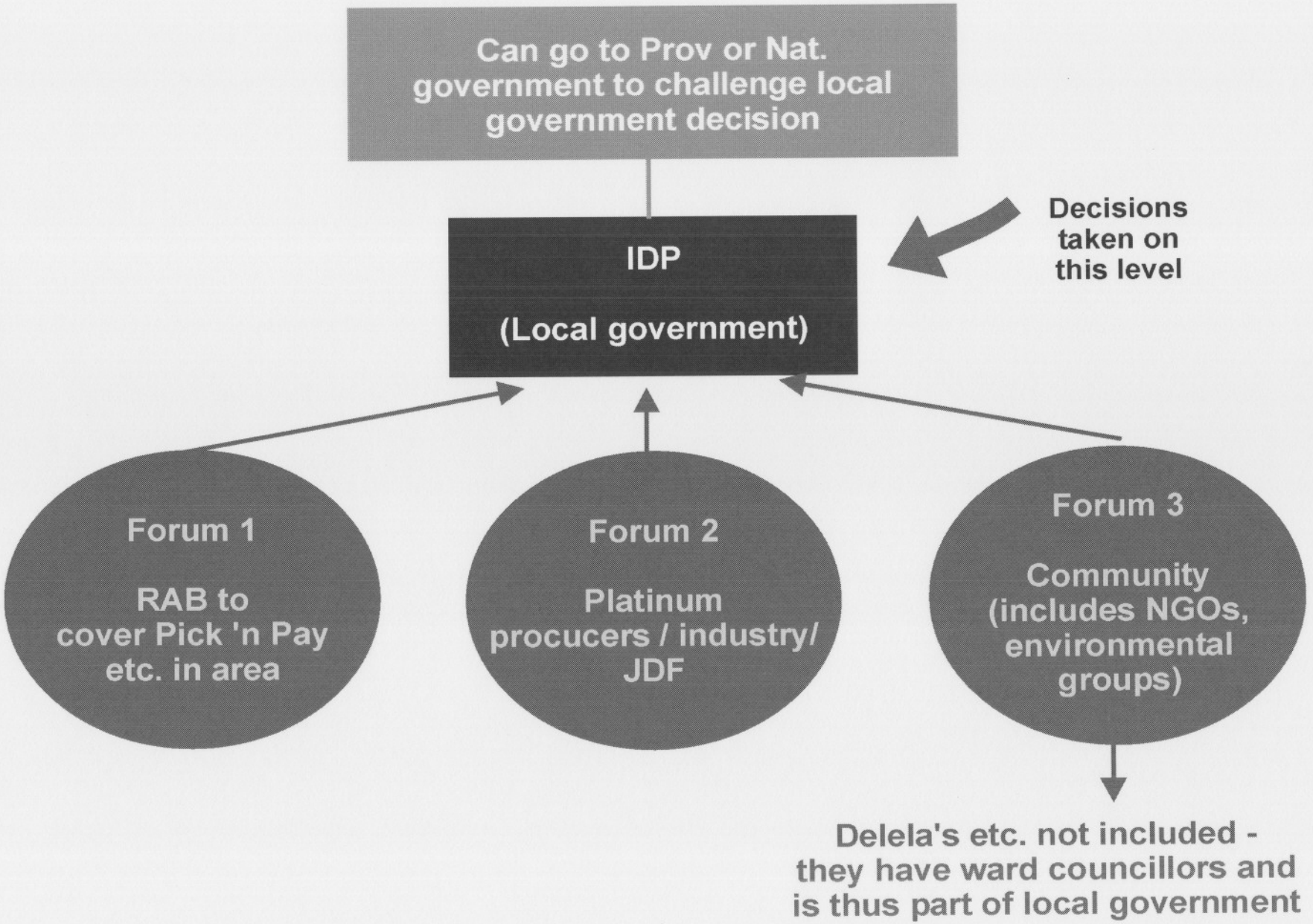
MODEL 12



✱ Differs from previous pictures as all decisions should feed into the local IDP

MODEL 13

IDP
(local gov)
"Consultative FORUM" (B/C/G)
Stakeholders
• Wards/Committees
• Sectors – Business
– Non-business
• Other gov. departments
• Service Providers
Gets input
e.g. action
planning
* Other respondents mentioned the IDP as starting point, but the rest turned out slightly different

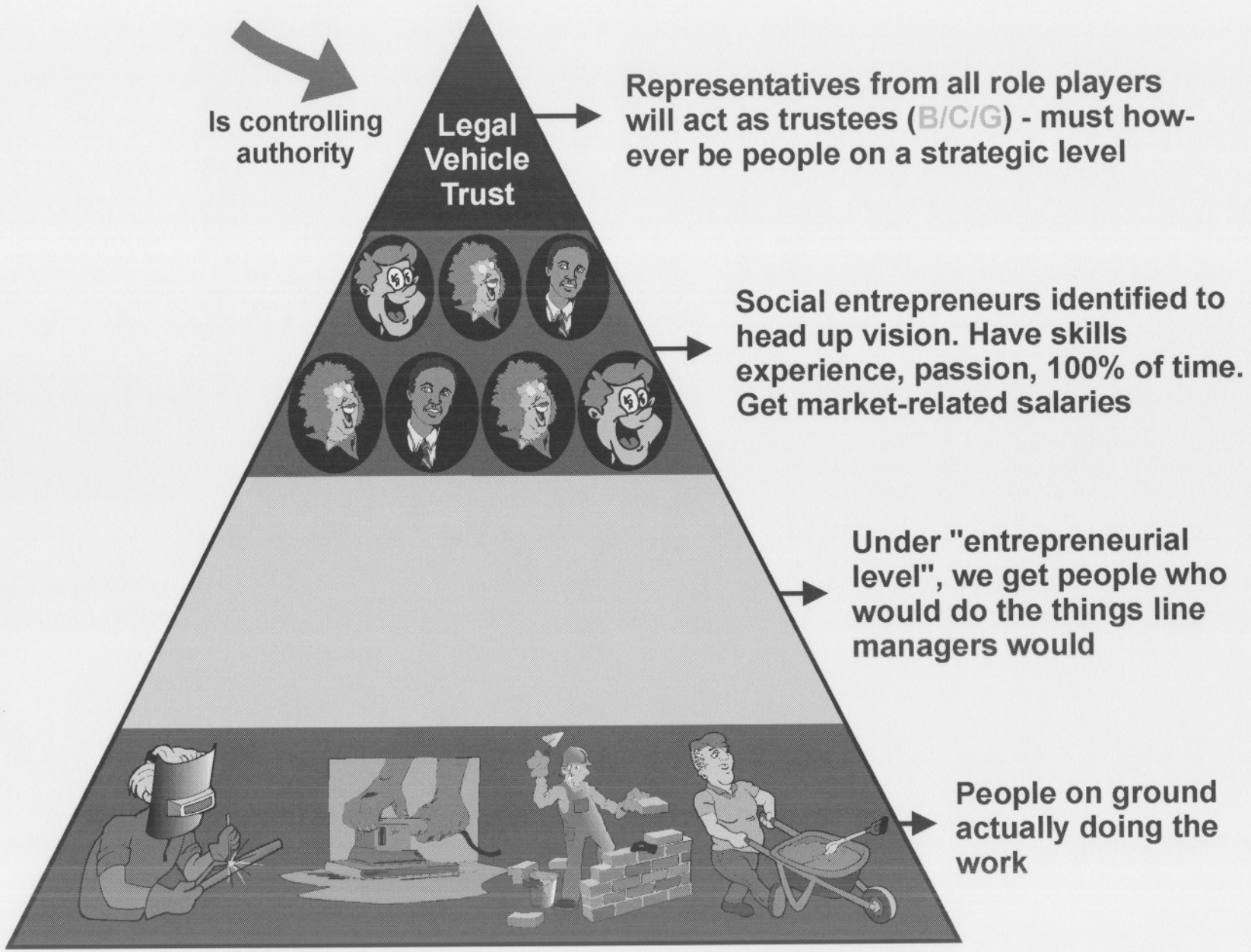

Can go to Prov or Nat. government to challenge local government decision
IDP
(Local government)
Decisions taken on this level
Forum 1
RAB to cover Pick 'n Pay etc. in area
Forum 2
Platinum procucers / industry/ JDF
Forum 3
Community (includes NGOs, environmental groups)
Delela's etc. not included - they have ward councillors and is thus part of local government

MODEL 15

Central government (has final say in dispute resolution)
Mines/local government
Provides funding & principle ideas
Both these groups choose representatives to sit on forum
Community/unions
Provides input on their needs, suggestions & proposals
FORUM (B/C/G)
Plans executed at forum level

MODEL 16

Provincial Government
Local Government
FORUM (B/C/G) [Discussion/ suggestions loop]
"community" subcommittee
"business" subcommittee
(needs of each member to be discussed)
Selected representatives
Selected representatives
Separate communities
Separate mines/businesses


Is controlling authority
Legal Vehicle Trust
Representatives from all role players will act as trustees (B/C/G) - must however be people on a strategic level
Social entrepreneurs identified to head up vision. Have skills experience, passion, 100% of time. Get market-related salaries
Under "entrepreneurial level", we get people who would do the things line managers would
People on ground actually doing the work

CHAPTER 6:

Results/interpretations based on the formulated principles

PROLOGUE

Principles were formulated in chapter two from the functionalism (noted as F-principles) and exchange theory (noted as E-principles), as well as in chapter three from the literature review (noted as L-principles). As mentioned before, these principles are a set of practical guidelines of what to do or for that matter not to do in order to maximise the chances for a successful partnership, i.e. a set of critical success factors. These principles are, however, more than just a set of guidelines to follow. They explain and interpret the phenomenon of partnership formation in terms of *collaboration, cooperation, integration and cohesion*. To this effect there are at times lengthy and at other times just brief footnote discussions on these concepts and their impact on partnership formation in both chapters two and three. There are both duplications of principles within and between these two chapters and they were purposefully not condensed - although the links between the various principles were pointed out. If there is more than one similar principle formulated in the functionalist section for example, it means that more than one theoretician had observed human behaviour and drawn the same theoretical supposition, i.e. they validate each other. The duplication between the functionalism and exchange theory also means that there are more than one theoretician validating the same supposition and in this instance across two theoretical outlooks. It also points out how well these two theories complement and enhances each other. However, as the interplay between theory and practice will be investigated in this chapter, i.e. the formulated principles will be tested against the Rustenburg case study data, they will be condensed for this purpose later in this chapter.

6.1 Interplay between theory and practice

The principles have both a practical and theoretical contribution. As was mentioned above, they could be used as a set of practical guidelines. These principles will also be used as part of a theoretical triangulation (see in-depth discussion on p. 150-151

on theoretical triangulation) in this study. Where the principles in the literature review chapter of this thesis overlaps with the principles in the theory chapter, the existing theories are already validated from practice. The principles in the literature chapter were formulated after existing cases studies in the mining industry had been studied, i.e. "existing wisdoms" on what to do or not to do when forming a partnership had been extracted from various sources. The principles will also be compared with the data obtained from the Rustenburg case study later in this chapter.

Folding practical observations and theoretical "ingredients" into the research "batter" as such is not an unusual approach as they do not just complement each other and add to the fuller picture, but in some ways are natural building steps upon each other as these following quotations attest.

> "Social science is a two-tiered process, propelled as much by theoretical logic as by empirical evidence" (Elliot & Ray, 2003:11).
>
> "Man is incapable by his nature not only of combining facts and deducing from them several consequences, but of even simply observing them with attention and retaining them with certainty if he does not attach them immediately to some explanation. He cannot have connected observations without some theory any more than a positive theory without regular observations" (Ritzer, 2003:20).
>
> "That systematic comparisons among data assembled from very different types of societies were essential to developing inductively, and assessing deductively, abstract theoretical principles…Science is only as good as its theoretical principles, assessed against a broad spectrum of data" (Ritzer, 2003:72).

Before the formulated principles can be linked to the data obtained from the Rustenburg case study, i.e. theory tested against the observed reality, they will be categorised and condensed.

6.2 Categorisation of formulated principles

Principles were condensed to cut out duplications as principles that build on each other, i.e. add to each other could be put together. For example principle E15 states that *role players should receive rewards they value* and principle E12 states that

rewards should be perceived as profitable and fair by role players. In actual fact what both of these principles are saying is that role players evaluate the rewards they receive in some way. These principles were condensed as principle four that states that *role players evaluate the rewards they receive in terms of how valuable it is to them and if it is profitable and fair*. The principles also had to be condensed as they were going to be used as practical guidelines to help in the formation of partnerships and if there are too many guidelines, it becomes difficult for role players to comply with them all in reality. Not only were the principles condensed but similar principles, i.e. principles that cluster around a theme/topic were categorised together where possible.

Thus in the end thirty-four principles were identified after eighty-four principles (total tally of all the F-principles, E-principles and L-principles), were condensed. These thirty-four principles formed the themes that were used to code the data of the Rustenburg case study against (see table twenty).

CONDENSED PRINCIPLES

Section A: Principles concerning resources, i.e. what role players need to give/bring to a partnership (see principles L8, F2 and E9 in appendix D, B and C).
Principle 1: *For a partnership to succeed, it needs to obtain and distribute resources.*
Principle 2: Also links to principles on values and norms. *What a role player gives, i.e. the "cost" of a transaction is not always contributed to the recipient. At times the cost is contributed to some other value.*
Section B: Principles concerning rewards, i.e. what role players gain from a partnership (see principles L8, E1, E4, E19, E18, L34, E15, E23, E12, L35, E13, E14 and E16 in appendix D and C).
Principle 3: Also links to principles on social bonds, networks and information. *For a partnership to succeed role players need to gain something from it i.e. be rewarded. The rewards can be economic or social in nature (i.e. networking opportunities, social approval and recognition, etc.).*

Principle 4: *Role players evaluate the rewards they receive in terms of how valuable it is to them, if it is profitable and lastly if it is fair. If a role player receives the same reward too frequently in the recent past it loses value.*
Principle 5: *By rewarding role players for their actions, repeat behaviour is encouraged.*
Section C: Principles concerning roles and rights. In some ways roles are what role players give and rights are what they get (see principles E28, L24, F15, L37, L28, L17, F16, L21, F7, L29, L30 and L19 in appendix C, D and B).
Principle 6: *On the one hand role players in a partnership have responsibilities/obligations/roles and on the other hand they have privileges/rights.*
Principle 7: *For a partnership to succeed a sufficient proportion of role players should be motivated to fulfil their roles on time.*
Principle 8: *Before the assignment of roles, there needs to be a functional assessment of role players and their abilities as roles need to be realistic and achievable. Once capacity building has been looked at, roles can be re-assigned.*
Principle 9: *The roles need to be made clear and the role players who need to carry them out should not vary from day to day (consistency and continuity).*
Principle 10: *Once roles have been assigned there should be a monitoring mechanism and accountability to these roles.*
Section D: Principles concerning the uniqueness of a partnership (see principles L5, F11 and F14 in appendix D and B).
Principle 11: *For a partnership to succeed, the role players need to be reminded that each partnership is unique. As each partnership is unique, it need not always be in the format of a forum.*

Section E: Principles concerning some learning curves of partnerships (see principles L6 and L2 in appendix D).
Principle 12: *One can obtain learning curves from other partnerships, existing networks, previous histories and hurdles as well as existing stereotypes.*
Section F: Principles concerning conflict (see principles L23 and F12 in appendix D and B).
Principle 13: *Role players need to realise that no partnership is without conflict. It is not about the conflicts, but how they are overcome and what impact they make.*
Section G: Principles concerning expectations and expectation management. If these principles are adhered to the possibility of the above-mentioned conflict is lowered (see principles E17 and L25 in appendix C and D).
Principle 14: *If the expectations of role players are not met, the probability of aggressive behaviour increases. On the other hand if their expectations are met or exceeded, behaviour conformity is increased.*
Principle 15: Also links to principles on roles. *The expectations management of role players can be in terms of stereotype management, role assignment management, capacity management, etc.*
Section H: Principles concerning unity. If these principles are adhered to the possibility of conflict is lowered (see principles F10 and L36 in appendix B and D).
Principle 16: *Role players need to feel that they are part of the group and in control of their own destiny.*
Section I: Principles concerning cooperation and commitment (see principles L7, F4, L33 and L26 in appendix D and B).
Principle 17: *A partnership can only succeed if role players cooperate, are committed to the cooperation and there is a general conducive climate to cooperation.*

Section J: Principles concerning trust (see principles L20 and E21 in appendix D and C). Cooperation as mentioned above can only be achieved if this category of principles and the ones to follow are adhered to.
Principle 18: *For a partnership to succeed there needs to be trust.*
Section K: Principles concerning social bonds/networks and information sharing (see principles L22, L27 and E5 in appendix D and C).
Principle 19: *For a partnership to succeed there needs to be the building of social ties/networks/communication networks where information can be shared for example. These networks can both be the consequence and the cause of a partnership.*
Section L: Principles concerning the needs and goals of the individual role players versus the whole (see principles F5, E6, E8, L4, L9, E29, F8, F13 and L10 in appendix B, C and D).
Principle 20: *Both the needs and the goals of the individual role players and the whole should be considered. However, for a partnership to succeed there have to be shared goals towards which the whole works. These goals may be openly stated/set goals or indirect/unplanned goals.*
Principle 21: *For a partnership to succeed, not only should there be shared needs and goals, but they should also be prioritised.*
Section M: Principles concerning values and norms (see principles L16, E7, F3, L18, E27, F18 and E2 in appendix D, C and B).
Principle 22: Also links to reward principles. *For a partnership to succeed there need to be values and their underlying norms to guide the interaction. New members need to be made aware of these norms. Conforming to these norms can have rewards, i.e. status gain.*
Principle 23: *Once there are norms in place, there should also be ways to sanction their compliance, i.e. social control.*

Section N: Principles concerning power (see principles L13, E3, E11, E22, E26, E24, E25, F9, E20, L32, L31 in appendix D, C and B).
Principle 24: *For a partnership to succeed, the power relations should be looked at.*
Principle 25: *If role players are equal, one has a good chance of a successful partnership. A partnership of non-equals can however function if status is not an issue and the inequality is clear.*
Principle 26: Also links to principles on social networks *Aspects such as a role players' position in a network and to what extent they are dependent on others can determine their power.*
Principle 27: Also links to principles on norms. *Even if there are power imbalances in a partnership, other norms can regulate the interaction. Through the use of power (sanctions for example) role players can be made to conform to norms.*
Principle 28: *The representatives should be legitimate, i.e. have the power to make decisions for those they represent. Top management should be involved where possible as they also have the power to make decisions*
Section O: Principles concerning the change/stages/evolution of partnerships (see principles F1, L12 and F17 in appendix B and D).
Principle 29: *A partnership evolves/changes over time.*
Section P: Other/miscellaneous principles (see principles L3, L11, L1, E10, F6, L15 and L14 in appendix D, C and B).
Principle 30: *For a partnership to be successful the local, national and international scenarios should be looked at. This includes legislative requirements.*
Principle 31: *For a partnership to succeed, the diversity of its role players should be respected.*

Principle 32: *For the sake of a stable partnership it should be devoid of exploitation (not just power-based exploitation).*
Principle 33: *For a partnership to succeed, integration of the role players is needed and the right role players should be chosen*
Principle 34: *For a partnership to succeed "action" and not just "talk" is needed.*

In the above summary, each of the thirty-four principles have been categorised into sixteen sections (section A-P). These sixteen sections contain valuable information. Here are some examples of the information encased within these sections:

Section A for example contains all the principles concerning resources, i.e. what role players need to give/bring to a partnership. In this section, there is an F-principle (principle formulated in the functionalism theory section), an E-principle (principle formulated in the exchange theory section) and an L-principle (principle formulated in the literature research section)[219]. Due to the fact that there is both a "functionalist" principle and an "exchange" principle, the two theories already validate and complement each other. The "literature" principle (formulated out of actual practical insights from various case studies in the mining industry) also validates the two existing theories, i.e. the theories measure up to the practical reality of the mining industry in current times. Thus, even before any of the thirty-four codes had been compared to the Rustenburg case study, theory testing had already taken place.

Theory testing was taken further, by each of these thirty-four principles being compared with the data obtained from the Rustenburg case study where possible (see table twenty for results of comparisons). There were some limitations placed on this process of theory validation, due to the nature of the questions asked (see discussion in methodology chapter p. 147-148).

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[219] The exact wording of each of these principles and others to follow can be found in appendixes B-D.

The above discussion of **section A** highlights how theory testing has taken place. For that matter theory building[220] also takes place in some of the sections. In **Section C** there is one "exchange" principle, i.e. principle E28 that states *in a partnership role players have both responsibilities/roles/obligations on the one hand and rights/privileges on the other hand*. Principle L24 also states that one should remember that *role players have rights that are balanced by the assignment of roles/responsibilities*. Thus principle L24 validates principle E28, i.e. theory testing takes place once again. However, principle L37 states that *role players should complete the roles assigned to them on time.* One can now take principle E28 that states *role players have roles to fulfil* and add principle L37 to it, i.e. not only do role players have roles but they need to fulfil them on time for a partnership to survive. For that matter some of the other principles in **section C** can add and build on to principle E28.

Theory building can also occur across sections. For example **section D** states that partnerships are unique and **section E** states that partnerships have valuable insights. Thus **section E** builds onto **section D** and one is left with a more realistic "theory", i.e. although partnerships are unique one can still obtain valuable insights from them.

6.3 Comparison of condensed principles to data obtained from Rustenburg case study

The table below lists the frequency of mentions for each principle. Thus, in effect, each time an idea had been mentioned that in actual fact encompassed any of the ideas contained in principle one to thirty four, it was counted under the relevant principle. At times one respondent would mention a similar idea more than once during the interview. It would then be counted more than once due to the fact that if something is really important to a respondent, one could expect encountering the same idea although phrased in different words more than once. The principles were also sorted from the ones mentioned most often down to those receiving no mentions.

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[220] Theory building turned out to be a latent function (see discussion on p. 30) of this thesis and as such is not as prominent.

TABLE 20: COMPARISON OF PRINCIPLES TO ACTUAL DATA

Principle	Count of mentions	Mentions as % of total mentions
Principle **20**	72	12.8 %
Principle **19**	71	12.6 %
Principle **17**	67	11.9 %
Principle **18**	45	8.0 %
Principle **8**	39	6.9 %
Principle **34**	32	5.7 %
Principle **28**	27	4.8 %
Principle **1**	24	4.3 %
Principle **16**	22	3.9 %
Principle **30**	19	3.4 %
Principle **31**	19	3.4 %
Principle **3**	17	3.0 %
Principle **24**	17	3.0 %
Principle **12**	16	2.8 %
Principle **13**	14	2.5 %
Principle **29**	10	1.8 %
Principle **9**	9	1.6 %
Principle **10**	8	1.4 %
Principle **21**	8	1.4 %
Principle **22**	5	0.9 %
Principle **25**	5	0.9 %
Principle **23**	4	0.7 %
Principle **26**	4	0.7 %
Principle **4**	3	0.5 %
Principle **6**	2	0.4 %
Principle **7**	2	0.4 %
Principle **15**	1	0.2 %
Principle **2**	0	0%
Principle **5**	0	0%
Principle **11**	0	0%
Principle **14**	0	0%

Principle **27**	0	0%
Principle **32**	0	0%
Principle **33**	0	0%
Total	**562**	**100%**

Principle **twenty,** i.e. the principle that states that both the needs and the goals of the individual role players and the whole should be considered, but that there always needs to be shared goal(s) to work towards was mentioned seventy-two times. Principle **nineteen,** i.e. the principle that states that there need to be social ties/networks where information can be shared, for example, was mentioned second most often and principle **seventeen,** i.e. the principle concerning cooperation, commitment and a conductive climate took third place. One could assume that these three principles were seen as the most important in the Rustenburg platinum region partnership, as they were mentioned most often. Considering that the questions had not been set up to illicit responses in line with the principles, it was significant to note how often the ideas contained within the principles were mentioned.

Although seven of the principles (principle two, five, eleven, fourteen, twenty-seven, thirty-two and thirty-three) were not specifically mentioned, this could be due to the boundaries placed on the theory validation (see above discussion on p. 207). Thus one should not assume they do not appear in the Rustenburg case study data, because they are not important or relevant there.

To some it might seem that the researcher worked quantitatively with what is in actual fact qualitative data by taking quotes and counting them in table twenty. To address this some of the actual quotes that were counted under principle **twenty, nineteen and seventeen** will now be given in order to give some perspective on the numbers. It cannot be denied that mere numbers do not give the depth that qualitative data would, i.e. the qualitative data provides a broader picture/context.

Some of the quotations grouped under **principle twenty** were as follows:

"Must have a shared vision"

"Each member to bring their needs to discussion"

"Forum only has limited decision-making power on real shared goals and specific projects, for the other things everybody pretty much runs their own show"

"When it comes to shared issues, it should be issues that underwrite the development of the community"

"Joint benefits and needs must be the focus point"

"When you share a problem it is easier to solve it".

The quotations grouped under **principle nineteen** are not as lengthy as the questions did not elicit the same detailed responses as above. Here are some of the quotations:

There were many respondents who mentioned "networking" as such by name.

Others had much the same idea, but used the following words "willingness to embark on future ventures"; "partnership building"; "relationship building" or "contacts".

The idea of "information" sharing was also often mentioned specifically and as one respondent phrased it "information sharing is important as it empowers people". Another respondent even spoke of a "channel of communication".

Once again the quotations grouped under **principle seventeen** did not elicit the same detailed response as those grouped under principle twenty. Here are some of the quotations grouped under principle seventeen.

The following words were often encountered in quotes "consensus", "commitment", "participation" and various respondents even used "cooperation".

Other quotes were "individuals must be motivated"; "good attitudes"; "improved synergy" and even "buy in from all".

6.4 Principles linked to models

The thirty-four principles discussed in this chapter can also be linked to the seventeen possible models of structuring a partnership that the researcher had constructed in chapter five (see discussion on p. 164-170 for details of each model). In turn, these seventeen models can be linked to the four concepts that keep on re-appearing and pertain to the research aims, i.e. *cooperation, collaboration, integration and cohesion.*

Before the link between the thirty-four principles, the seventeen models and the sociological concepts that keep re-appearing in this thesis are discussed; a brief discussion of structural and functional differentiation will be given. Although these concepts have been discussed in chapter two they will briefly be recapped here. Special attention will be given to the different types of cooperation, integration, collaboration and cohesion that can be found between structural and functional differentiation.

In table five (see p. 53 of chapter two) structural differentiation is compared with a puzzle that consists of pieces that all basically have the same shape, if not the exact same size. If a partnership is based on structural differentiation, it is not that strong as the partnership is "loosely" constructed. Due to the fact that the integration is not that strong, it stands to reason that the cohesion is also not that strong, i.e. the parts can be pulled apart without great effort. The cooperation and collaboration is thus also not as strong.

In contrast a partnership based on functional differentiation is much stronger. In table five (see p. 53 of chapter two) functional differentiation is compared with a puzzle that consists of pieces that have neither the same shape nor size. Here the integration is much stronger as the parts have an intricate and inter-related construction. This makes the cohesion stronger as separating the parts are not that easy. Thus the cooperation and collaboration are also proportionally higher than in a partnership based on structural differentiation.

Although a partnership based on functional differentiation and not structural seems to be the best option, as outlined in chapter three, partnerships evolve over time. Thus not all partnerships might start out as a functional partnership, but over time it can evolve[221] into one. Integration, cohesion, cooperation and collaboration thus take time to develop. Even a structural partnership is a better option than where most of the role players in the Rustenburg region started. Each of these role players was working in isolation, i.e. they were not even part of the same puzzle (see illustration twenty-two below, and compare with illustration two and illustration three on p. 24).

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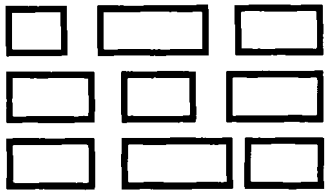
[221] Principle twenty-nine states that a partnership can evolve.

ILLUSTRATION 22: ROLE PLAYERS IN THE RUSTENBURG REGION, BEFORE ATTEMPT TO PARTNERSHIP FORMATION.



The seventeen models range from a more structural type of partnership to a more functional type of partnership. As discussed on p. 164, the models were placed on a continuum ranging from the view that the forum/partnership should be no more than an information-sharing vehicle to the idea that it should be run like a separate organisation. Thus in effect the more loosely constructed version, *entailing information sharing only*, is more structural in nature and the other side of the continuum, i.e. *run forum/partnership like an independent and interdependent organization* is the more functional type. As mentioned before the models were also grouped according to other similarities and thus one cannot assume that each model necessarily represents a more functional partnership than the previous one[222]. Once again, placing the models on a structural versus functional continuum was only done after the interviews were completed and thus the distinction is not always clear. There was no probing of respondents on issues like "how interdependent would each part be to the other?" etc. However, some models are more structural in nature and others more functional.

Some examples of how the principles link to the models and by implication how structural or functional each model is (where possible) will now be discussed. The first few models will be discussed in more detail than the others as the same idea often appears in more than one model and duplication in the discussion is not needed. At times the information obtained was also not enough to make a clear link between the models and some of the principles. The focus will mainly be on the top sixteen[223] principles as set out in table twenty, being the most important ones in the Rustenburg platinum region. The ranking of principles could vary from partnership to

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[222] Thus one cannot conclude that model seventeen is the best option. The role players would have to get together and then either combine some of these ideas or choose one of the existing models.

[223] Here and there some of the less important principles were mentioned prominently in some models and they will also be discussed.

partnership. For example there might already be high levels of trust between role players and thus it does not need as much attention in another partnership than in the Rustenburg platinum region partnership[224]. This does not negate the fact that trust is always important in any partnership; in some it just needs more attention[225]. Here is the discussion per model:

MODEL ONE (DETAIL OF MODEL IN CHAPTER FIVE P. 164-165)

Principle	What principle entails	Discussion
20	Individual vs. shared needs. Shared goal needed.	This model is nothing more than a "conversation desk", thus very structural in nature as role players do not have shared goals they work towards.
19	Social networks (consequence or cause of partnership).	Due to the structural differentiation, the networking is not as strong. In fact networking is based on restricted exchange.
17	Cooperation, commitment and + climate needed.	As it is structural in nature, cooperation is not as strong.
18	Trust needed.	Trust need not be as strong as with functional differentiation.
8	After assessment, roles assigned.	With structural differentiation there is simple division of labour, i.e. many functions are still duplicated. Thus role players cannot build on each other's strengths.
34	ACTION, not just talk.	This model is nothing more than a "conversation desk", thus there is no shared **action**.
1	Obtain & distribute resources.	With structural differentiation, resources are not shared as much as with functional differentiation. Exchange is restricted.

[224] It was interesting to note that principle eighteen (principle about trust) was ranked fourth in table twenty and in chapter five (see p. 155-156) it was also noted that trust is an issue should one like to start a partnership in the Rustenburg platinum region.

[225] Due to the history of competition in the Rustenburg platinum region (see chapter one) it is understandable that building trust would be an issue.

16	Feel part of group & in control of destiny.	Role players are much more individually inclined with structural differentiation, thus never totally part of group. However, has much control over own destiny.
31	Respect diversity.	With functional differentiation, this becomes more of an issue.
3	Gain something from partnership (rewards).	With structural differentiation, rewards more individually inclined.
13	Conflict is a fact, how one deals with it is important.	In this model a "neutral facilitator" was mentioned in order to try and avoid some conflict.

MODEL TWO (DETAIL OF MODEL IN CHAPTER FIVE P. 165)

Principle	What principle entails	Discussion
20	Individual vs. shared needs. Shared goal needed.	Although this model is still structural in nature, it is less so than model one. Here role players inform each other of what they are doing and if there is an overlap and they want to, role players can work together.
Principle **19, 17, 18, 1, 16, 31 & 3** same as in model one		
8	After assessment, roles assigned.	Although this model is based on structural differentiation, there is the realisation that people with experience need to be assigned to concerns they can handle.
34	ACTION, not just talk.	More action (not just talk) than in model one.

MODEL THREE (DETAIL OF MODEL IN CHAPTER FIVE P. 165)

Principle	What principle entails	Discussion
20	Individual vs. shared needs. Shared goal needed.	This model depicts functional differentiation, as there are joint task teams that look at shared needs.
Principle **19, 17, 18, 1, 16, 31 & 3** just the opposite from model one, i.e. cooperation high, trust very important, generalised exchange, collectively inclined, etc.		
21	Prioritise needs.	As in the illustration (depicting model three) the social, economic and environmental needs should be prioritised.

MODEL FOUR (DETAIL IN CHAPTER FIVE P. 165-166)

Principle	What principle entails	Discussion
20	Individual vs. shared needs. Shared goal needed.	This model is based on structural differentiation as role players come with an individual plan and then see if it overlaps.
Principle **19, 17, 18, 1, 16, 31 & 3** same as in model one		
28	Legitimate representatives with power.	Here as well as in some other models there was the opinion that the community is already represented in their traditional structures or by the local municipality i.e. ward councillors. There is also the opinion that the MANCO must be heads of organisations. The idea that there should be people with authority to make decisions also occurs in other models.

MODEL FIVE AND SIX (DETAIL IN CHAPTER FIVE P. 166-167)

Principle	What principle entails	Discussion
20	Individual vs. shared needs. Shared goal needed.	By comparing models five and six it is interesting to note that just the decision on what level funding should be managed can make a partnership more functional and less structural and vice versa. In model five funding is at the forum level where the money is pooled and individual role players have less say over the division of money between task/action groups. In model six funding takes place at the action group level and thus individual role players have more control over the allocation of their money (see discussion on p. 167). Thus model six is more individually inclined, i.e. more structural than functional in nature.
In model five, principle **19, 17, 18, 1, 16, 31 & 3** just the opposite from model one. In model six, principle **19, 17, 18, 1, 16, 31 & 3** same as in model one.		

MODEL SEVEN (DETAIL IN CHAPTER FIVE P. 167-168)

Principle	What principle entails	Discussion
20	Individual vs. shared needs. Shared goal needed.	The models are not always clearly either structural or functional. It is more of a continuum than two separate groups. In model seven there are shared needs that give the feeling of functional differentiation. However ground structures under the forum is huge as each individual role player is included. Thus in some way there are aspects of structural differentiation, i.e. some individual inclination.

28	Legitimate representatives with power.	Fact that people should have authority is also mentioned.

MODEL EIGHT (DETAIL IN CHAPTER FIVE P. 168)

Principle	What principle entails	Discussion
20	Individual vs. shared needs. Shared goal needed.	In contrast to model seven the ground structures are not huge as individual role players are already in sub-groups, i.e. collectively inclined.
Principle **19, 17, 18, 1, 16, 31 & 3** just the opposite from model one i.e. cooperation high, trust very important, generalised exchange, collectively inclined, etc.		
28	Legitimate representatives with power.	Fact that people should have authority, i.e. be senior is also mentioned.

MODEL NINE (DETAIL IN CHAPTER FIVE P. 168)

Principle	What principle entails	Discussion
20	Individual vs. shared needs. Shared goal needed.	In this model there are sub-forums that focus on individual needs thus idea of some structural differentiation at this level. However, there is functional differentiation at forum level as here the focus is on shared needs.
29	Partnerships evolve.	This model has the idea that the partnership should start small, i.e. not with many role players and then expand as it evolves.

MODEL TEN (DETAIL IN CHAPTER FIVE P. 168)

Principle	What principle entails	Discussion
20	Individual vs. shared needs. Shared goal needed.	This model reminds one more of a one-person show than a partnership.
28	Legitimate representatives with power.	Model mentions one leader with authority.
10	Monitor & accountable to roles.	The model also mentions that the leader will be held accountable if things go wrong.

MODEL ELEVEN (DETAIL IN CHAPTER FIVE P. 168)

Principle	What principle entails	Discussion
20	Individual vs. shared needs. Shared goal needed.	Structural differentiation at sub-forum level as they look at individual needs. However, at forum level shared needs are looked at. Thus more functional differentiation here.

MODEL TWELVE AND THIRTEEN (DETAIL IN CHAPTER FIVE P. 169)

Principle	What principle entails	Discussion
30	Local national and international scene important. This includes local, national and international laws.	In models twelve and thirteen the IDP has legal status and the partnership revolves around it.

MODEL FOURTEEN (DETAIL IN CHAPTER FIVE P. 169)

Principle	What principle entails	Discussion
30	Local national and international scene important. This includes local, national and international laws.	This model also mentions the provincial and national government.

24, 25 & 26	Principles concerning power relations.	There is a clear hierarchy. In many of the other models government, business and the community is placed on the same level, i.e. one is not drawn higher than the others.

MODEL FIFTEEN AND SIXTEEN (DETAIL IN CHAPTER FIVE P. 169-170)

Principle	What principle entails	Discussion
24, 25 & 26	Principles concerning power relations.	Role players not placed on same level.

MODEL SEVENTEEN (DETAIL IN CHAPTER FIVE P. 170)

Principle	What principle entails	Discussion
8	After assessment, roles assigned.	Model mentions that roles should be assigned to people who have experience in the fields they head.
Principle **19, 17, 18, 1, 16, 31 & 3** just the opposite from model one i.e. cooperation high, trust very important, generalised exchange, collectively inclined, etc.		
28	Legitimate representatives with power.	Model mentions that representatives must be on a strategic level, i.e. have the power to make decisions.
7	Must be motivated to roles.	The model mentions that the role players need to have passion.

From the above discussions it is clear that some of the models conform to more of the principles than others and some are more functional than others. In chapter seven a recommended model for the Rustenburg platinum region will be discussed. This model is nothing more than a combination of some of the above discussed models and is more functional in nature than structural.

CONCLUSION

In conclusion this chapter looked at the interplay between theory and practice. Then a set of guidelines for partnership formation (principles) was listed. These principles were linked to the models of partnerships as discussed in chapter five as well as to

some important sociological concepts. In chapter seven these principles and a possible ideal model for partnership in the Rustenburg platinum region will be discussed. The possibility of further and more extensive theoretical validation will also be discussed in chapter seven.

CHAPTER 7:

Conclusions and recommendations

PROLOGUE

How the problem statement and the interlinking research questions and goals were addressed in the course of this thesis, will be discussed in this chapter. A critical discussion on a possible way forward towards actualising a functional partnership in the Rustenburg platinum region will also be looked at and some further research possibilities leading from the work done in this thesis will be considered. Lastly the contributions of this study will be summarised briefly.

7.1 The research goals and a critical discussion on the way forward for the Rustenburg partnership.

The problem statement was in essence "considering a bad history of partnership formation, how could one improve the chances of setting up a sound foundation, that in turn could lead to a successfully integrated, cooperative and unified partnership?" Thus the study focussed on what role players should do to unify (*integrate*) themselves into a *collaborative* and *cooperative* partnership, as well as what they should do to stay together (*cohesion*/solidarity).

These concepts, i.e. *cooperation*, *collaboration*, *integration* and *cohesion* were specifically mentioned in goal **one** and **two** and discussed throughout the course of this thesis. As it is not the aim of this chapter to repeat all that has been said in the preceding chapters the minor details of how the goals of the study were reached can be found in the preceding chapters. In this chapter a brief summary of the goals and solutions to the problem statement will be examined.

Bearing the above research problem in mind three research questions were formulated in chapter one (see p. 9) and from these questions three specific goals were formulated[226]. Herewith the goals and a critical discussion of each:

Goal 1: To determine how functionalist (with the focal point the concept of *cooperation*) and exchange theories (with the focal point the concept of *collaboration*) could be applied as a practical guide in partnership formation.

Goal one was addressed by formulating principles, i.e. "guidelines of what to do or not to do during partnership formation" from existing theories. These principles contain guidelines on how role players can cooperate and collaborate in order to achieve a successful partnership. In chapter six these principles were used to validate the functionalist and exchange theories where possible. Thus these principles had both a practical and theoretical contribution.

The reasons for choosing functionalism and the exchange theory were discussed in chapter two (see p. 14-17) and one would thus expect that the choice of theories would be appropriate to study the subject matter, i.e. partnership formation. It was significant to note just how well these two theories could be used to study the phenomenon of partnership formation. As chapter two through to six were written the theories, literature research and data analysed just tied together.

However, as was mentioned in chapter two, other theories could also have shed some light on the phenomenon of partnership formation. In chapter two the conflict theory was mentioned as an alternative. Conflict theorists "see an arena in which groups fight for power" (Wallace & Wolf, 1995:76) and there are definitely aspects of this in partnership formation. For that matter the evolution theory could have been used, as central to evolutionary theories is the concept that there is progress, i.e. evolution (Henslin, 1999:634) and a partnership evolves over time. Although neither of the above-mentioned theories were used, their underlying essence was encapsulated in this study. Principles twenty-four through to twenty-eight address the aspect of power and principle thirteen states that all partnerships will have conflict. Principle twenty-nine states that a partnership evolves over time.

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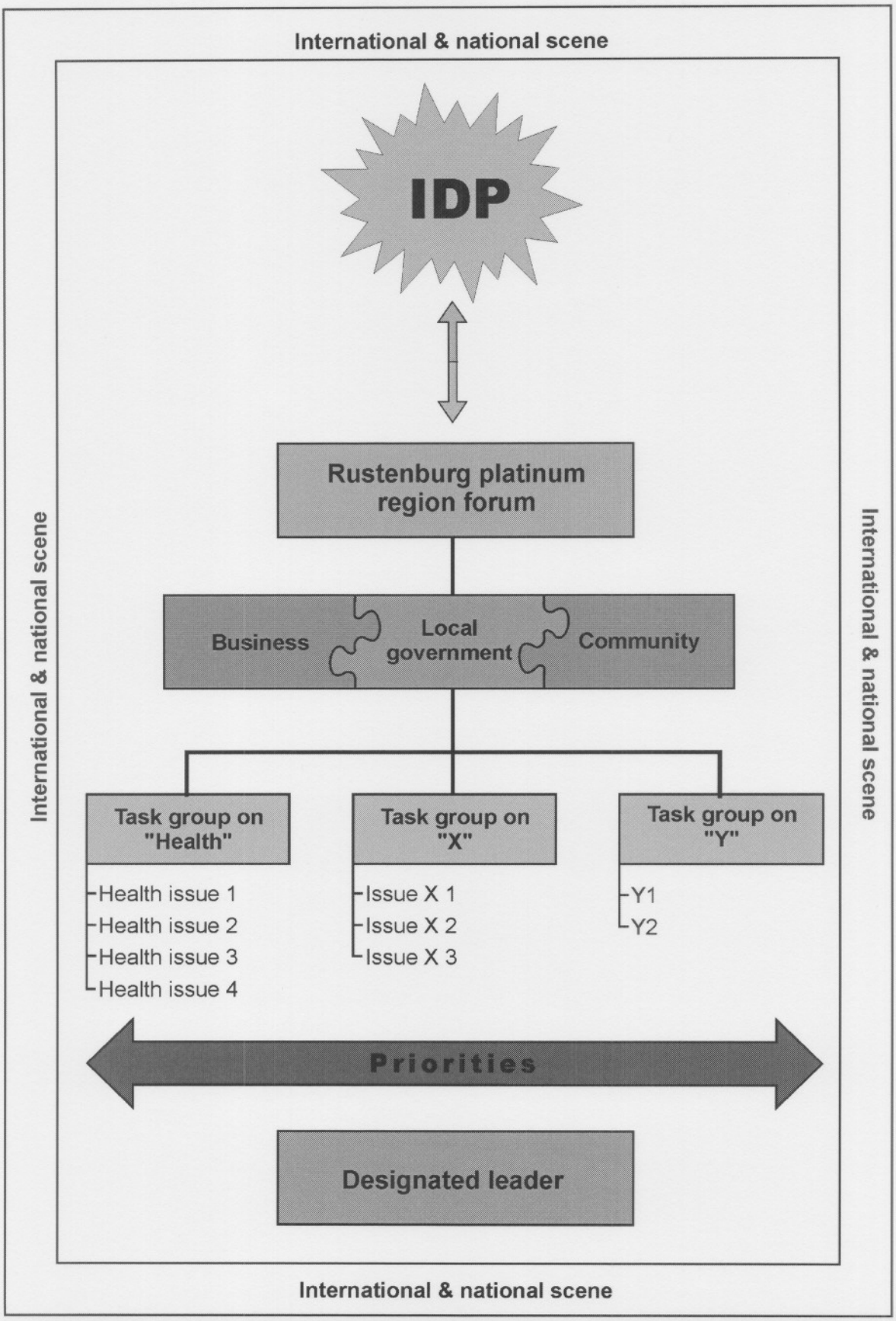
[226] Appendix T as discussed on p. 120 traces the research problem and goals through every chapter.

Goal 2: To determine what could be done to optimise the harmony and unity (*integration*), as well as the stability and maintenance (*cohesion*) of a partnership in the Rustenburg region.

Goal two was also addressed by formulating principles pertaining to integration and cohesion from both the two existing theories and from the literature research. In fact by simply trying to adhere to the thirty-four principles discussed in chapter six, one can go a long way towards solving the research problem, i.e. how can one improve the chances of a successful partnership?

Not only were there principles formulated in this study but in chapter five and six seventeen models of how a partnership could be structured were discussed and evaluated. Depending on the choice of structure the harmony as well as stability of a partnership can be enhanced or diminished. As was mentioned in chapter five the role players need to make a joint decision on which of the models they would prefer as each partnership is unique and one model may work for one partnership and not for another. However, after all the desk and field research done the researcher will recommend an "ideal" model for the Rustenburg platinum region here. Of course this model (see illustration below) will need to be critically evaluated by the role players and tested with further research.

ILLUSTRATION 23: SUGGESTED MODEL FOR RUSTENBURG PLATINUM REGION



The recommended model is a combination of some of the seventeen models and is based on functional differentiation, as integration and cohesion is stronger with functional differentiation than structural differentiation. As not all partnerships can start with functional differentiation, they might evolve over time towards it[227]. Thus the recommended model is the end stage and there might be a different intermediate one. The recommended model is also based on a "true partnership" where there is no hierarchy between role players as this is the better option as discussed on p. 89 of chapter three. This does not mean that there is no leader (see discussion on p. 112 of chapter three). In fact, most of the role players interviewed were of the opinion that the municipality should be the designated leader. Once again the partnership might not start out as a "true partnership", but with time it can evolve towards one. The recommended model also incorporated the following:

1. The structure of the recommended model under the forum is not big, as including each individual role player leads to aspects of structural differentiation.

2. The structure is very formal as it was found with the follow-up study that there needs to be some control over role players and this cannot be obtained with an informal structure, i.e. just talking.

3. The recommended structure does take the IDP into consideration, as it is a legislative requirement. However, in all the models where the IDP was mentioned it was seen as a set framework that moulds the partnership. This need not be true. The IDP must be reviewed (Rustenburg Municipality, 2002:1). By just looking at the reference list of this study under the "Rustenburg municipality" one can see that the IDP was reviewed and re-drafted a number of times during the course of **this** study alone. Thus the partnership need not be moulded around the IDP. For that matter the IDP can be moulded to the partnership as long as they do not contradict each other. The fact that the partnership is on the local level makes it easier as the IDP for the Rustenburg municipality is also very localised.

4. In the recommended model the community is listed separately from the local government and business. This is just for illustrative purposes. Once the actual

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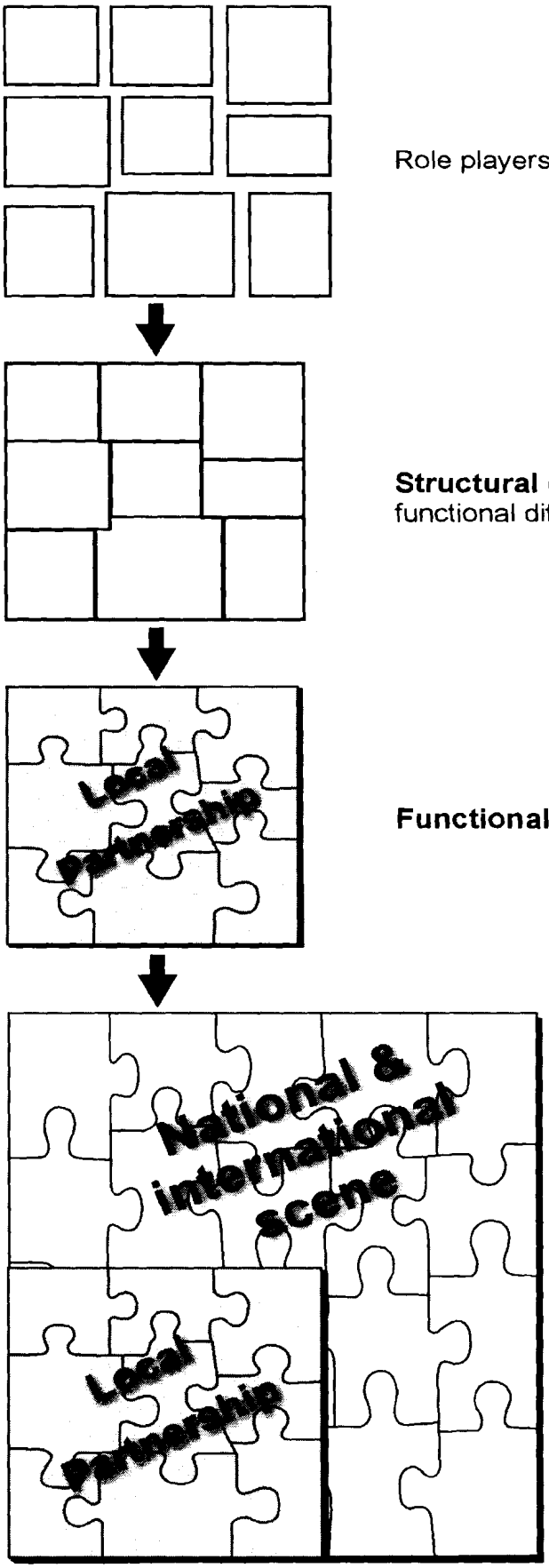
[227] Capacity building and expectation adjustments etc. may need to be made first.

role players get involved they will choose how they want to group the community. Should they feel that the local government already represents the community it would be acceptable, just as long as the representatives are seen as legitimate.

5. The recommended model is not just based on shared needs but takes into consideration that these needs will have to be prioritised.

The recommended model could be the last step in a process. The role players have already moved from operating as separate entities into a more structural differentiated partnership. The next step would be to become a functionally differentiated entity and then to become functionally differentiated as an entity within a broader picture (see illustration below). This last step represents the recommended model as the national and international scenes are taken into consideration. Thus in essence although the recommended model was drafted for the local Rustenburg platinum region, the national and international levels were also considered (see discussion on p. 73 of chapter three). Hence, for example, the IDP, which is a national statutory requirement, was considered.

ILLUSTRATION 24: PROCESS TOWARDS COMPLETE FUNCTIONAL DIFFERENTIATION.



Role players before attempt to **partnership** formation.

Structural differentiation at times stage towards functional differentiation.

Functional differentiation of partnership.

Partnership also integrated in **national and international** scene.

Goal 3: To briefly explore the course of the partnership, once the process had commenced in the Rustenburg region. This last goal was added as some form of critical research (see discussion on p. 11).

Goal three was addressed at great length in chapter five (see discussion on p. 178-182) and by all accounts the Rustenburg platinum region partnership was not progressing very well.

Simply by looking if the principles formulated in goal one and two were adhered to, one can in some ways already predict how successful the course of the Rustenburg partnership would be (goal three). In fact if one looks at the reasons given in the follow-up conversations as to why the partnership was not progressing along steadily (see discussion on p. 180-182), each of them can be traced back to one of the principles that had not been followed[228].

The first reason was that the working committees were not complying with their assigned responsibilities. This links to **principle seven** that states that *role players should be motivated to fulfil their roles* and **principle ten** that states that *there should be monitoring mechanisms and accountability to roles.* Another problem was that the representatives at the meetings kept on changing. This links to **principle nine** that states that *role players should not vary from day to day.* Yet another problem was that the role players could not manage time-wise as they were on too many committees. This links to **principle eight** that states that *role players need to be assessed according to their abilities, i.e. do not assign a role player more than he/she can manage.* The last problem noted was that the municipality did not have control over non-conformance and this links to **principle twenty-three** that states that *there need to be ways to sanction compliance, i.e. some form of social control.*

Considering the limited scope of the follow-up study, one can assume that only some of the reasons for the partnership not faring so well came to the fore. Thus, if more in-depth information had been gathered, there might even have been more reasons mentioned that could be linked to one of the thirty-four principles.

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[228] The role players had not been given the list of principles in their feedback session. These principles had only been formulated during the writing-up of this thesis. As part of critical action research these principles can be given to the interested role players for them to apply.

Although it may already be a starting point to limit the working committees as will be done in Rustenburg in order to get the partnership formation back on track, the researcher is of the opinion that this will only address part of the problem, i.e. the fact that some role players were on too many of the committees. Thus only one principle will be addressed and none of the others considered. The fact that there are fewer committees will not necessarily get role players to be accountable for their responsibilities, etc. As many of the principles as possible should be adhered to and from the brief follow-up conversations the following should be addressed urgently.

There were some other principles that were ignored and contributed to the partnership not faring very well. One problem boils down to nothing more than "talk is cheap, but money buys the whisky" or "put your money where your mouth is", i.e. **principle thirty-four**. When the role players' attitudes towards a partnership were measured, most of them were enthusiastic and willing to go. In reality though things do not seem to work out very well. Thus, in order to get past the "talk is cheap" idea, role players will have to invest something more than "talk" into the partnership. Thus, there will have to be a mutually accepted way to get role players to contribute money or whatever it may be to the partnership and in such quantities that it will pain them not to make the partnership succeed, i.e. they need to be motivated into actual action.

The next important principle to adhere to would be to set up **rules** (**principle twenty-two**) and not just **roles**[229] and then to sanction compliance to these rules (**principle twenty-three**). Once again the actual role players will need to find a way of actualising this principle as a partnership is unique and the role players need to steer the process themselves. This does not mean that the help of a consultant or other existing forums need be ignored (see **principle eleven and twelve**).

Not only should the principles be adhered to but also the choice of model chosen is important as discussed at great length before. There were also some critical differences in the actual structure of the Rustenburg IDP representative forum as discussed on p. 179-180 in chapter five and the recommended model discussed under goal two. Here are some of the main differences:

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[229] Limited roles were assigned in the Rustenburg partnership.

1. The IDP is central in both, but in the recommended model there is a two-way interaction between the IDP and the Forum.

2. In the recommended model there is no hierarchy between role players.

3. The working committees are limited in the recommended model. It should however be noted that the municipality did realise that this level should not be big and is currently addressing it. They will, however, still need to prioritise the needs in and between these working committees as in the recommended model.

The above is just a brief critical discussion and some suggestions as to a course of action that could be taken and should not be seen as the researcher voicing her opinion that the Rustenburg partnership would definitely not succeed. As was pointed out before, a partnership is a process that evolves over time and grows by the actual role players involved overcoming stumbling blocks. The principles in chapter six were formulated with the help of sound existing theoretical and practical knowledge and could be used as a learning curve by the actual role players in the Rustenburg region partnership. The recommended model also holds some valuable insights.

7.2 Further recommendations

A critical discussion on the possible way forward has already been given. Some recommendations have already been made and some just alluded to. There are both research-related and practical recommendations to this study.

7.2.1 Theory and research-related recommendations

7.2.1.1 Further follow-up

As the focus of this study was on the first stages of partnership formation, goal three was not considered as important as the other two. This goal could, however, form the main goal in another study and the progress of the Rustenburg IDP representative forum could be assessed at a later stage again. With a further follow-up study more detailed information can be obtained and a bigger sample used. As it was not the main aim of this study, the follow-up consisted of four brief telephonic interviews and two face-to-face interviews. In fact, in some ways it might even be better if another

researcher and not the original researcher did this follow-up study. In the follow-up study done for this thesis, respondents did seem hesitant to voice negative opinions as they had just months earlier raved about the idea of a partnership and in some ways they might have felt hesitant to admit that something they were "part" of and very optimistic about was not going well.

7.2.1.2 Further theory validation

As was mentioned in chapter six, theory validation of the thirty-four principles had taken place where possible. A more quantitative study may well be done where each of the thirty-four principles **could** be tested in more detail, by doing the following:

1. Setting up a questionnaire that has both usable demographic information and more importantly that turns each of the thirty-four principles listed in chapter six into questionnaire items. Each of these thirty-four items could then be rated for example on a four point Likert scale.

2. Twenty-nine of these items could then be divided into fifteen constructs and the remaining five could be analysed separately. The reason that there would be fifteen constructs is that although the principles have been categorized into sixteen sections (see discussion on p. 207) the sixteenth section (section P) is not a category as such but a "miscellaneous" section that actually consists of five non-related principles (principle thirty to principle thirty-four) that would need to be analysed separately.

3. On any of these fifteen constructs that have more than three items, both a Factor Analysis and the Cronbach Alpha value could be determined to ensure the validity and reliability of the measuring instrument.

One *ipso facto* then takes these thirty-four principles and tests them to see if the respondents in the Rustenburg platinum region view them as important, i.e. does the theory match the practical reality in the Rustenburg platinum region? If the respondents view a principle (presented to them as item/question) as important, one can deduce that the principle does exist in their practical reality and therefore is validated. One would also be able to see which of these principles are more important than others in the Rustenburg platinum region.

Once each of these principles have been validated they do not just need to be seen as guidelines, i.e. *directing* principles, but more as *prescriptive* principles for a successful partnership in the **Rustenburg** platinum region. Of course the ones that are not validated, will stay *directing* principles.

7.2.1.3 Further testing of possible ideal model suggested

As was mentioned before the recommended model suggested in this chapter still needs to be critically evaluated by the role players and tested with further research. The role players can help refine this model and fine-tune it.

7.2.2 Practical recommendations

According to the discussion in chapter six there is always some interplay between theory and practice and thus all good recommendations should have both a theoretical and a practical side to them.

In this study there are two main practical recommendations that interlink with each other. There are the principles that can be used as a set of practical guidelines and there is a recommended model of how to structure the partnership. Although each partnership is unique (**principle eleven**) the principles can be applied to other partnerships[230] (or for that matter other groups). The model is a bit more localised, i.e. patterned for the Rustenburg partnership, however, it could be used as an example (**principle twelve**) for other partnerships in the mining industry even if just as a starting point.

[230] The ranking of these principles may differ from partnership to partnership.

7.3 Contributions of study

The study set out to answer three research questions and their related goals. Although how each of these goals were reached has been discussed in this chapter already, the following gives a summary of the theoretical and practical contributions of this study:

- On a theoretical level, there were principles formulated from both the functionalist and exchange theories that could be used as a practical guide of critical success factors (*dos and don'ts)* for a successful partnership. There were also principles formulated in the literature chapter by using actual case studies. These principles were used to validate the principles formulated in the theory chapter where they confirm or contradict the principles that were formulated from the theories.
- The formulated principles from both the theory and literature chapters were also tested against the results of the Rustenburg case study. Thus in essence the practical worth of the two theories and other similar case studies were tested for the mining industry in South Africa.
- Various models to structure a partnership were created and evaluated. An "ideal" model for the Rustenburg platinum region was also discussed.
- The distinction between structural and functional differentiation was applied to partnerships. Structural and functional differentiation as part of functionalism was also linked to restricted and generalised exchange (exchange theory) as well as to other sociological concepts.
- The models were also measured according to how functional or structural they were where possible and linked to the principles.
- On a methodological level, expanded qualitative data analyses were applied in a comprehensive manner to ensure a close relationship between empirical data and theory.
- Although the study focussed on the first stages of the partnership, there were some traces of action research (see discussion on p. 10-11) that add value to the study by tracing the initial progress after results had been implemented.

- In the ever-changing and troubled mining industry this study could provide a valuable reference for other mining companies and researchers, to explore the complex requirement of partnerships towards sustainable development.
- Partnership formation was studied from a social science perspective and not just the usual management perspective.
- This study could also lead to further research possibilities as discussed on p. 231-233.

CONCLUSION

In conclusion it should be noted that the partnership in the Rustenburg platinum region is still new and will grow with time. However this is a very important time in the evolution of a partnership. As an old German adage states "gut begonnen, ist halb gewonnen". This thesis hopes to give the partnership some valuable insights on what to do or not to do in order to increase their chances of becoming an integrated and cohesive partnership where the role players cooperate and collaborate as a functional unit. The principles and models can also be used for other partnerships in the broader South African and even international context.

APPENDIX

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APPENDIX A

QUESTIONNAIRE AND INTERVIEWER INSTRUCTIONS

(Interviewer instructions included in bold)

Interviewers, please be sure to have the following ready when you go to an interview:

- **This questionnaire/interviewer instructions and the answer sheet (one to be completed for each interview).**
- **Show cards A-H**
- **Letter of verification and thanks from university**
- **Two blank sheets with headings for Q17 & Q18 provided for respondent to draw on if he/she wants to.**
- **Tape recorder and empty tape(s) to be used**
- **Directions to get to interview**
- **Business cards of university – if you have any**

Although much of the demographic information on the answer sheet is already completed, be sure to complete the rest

Thank you for granting me an hour of your time. As I stated when I contacted you to set up this interview, I am a Masters[1] student at the University of Potchefstroom[2] doing research on the establishment of a tripartite partnership for sustainable development in the Rustenburg platinum region in conjunction with Anglo Platinum. **(If not main interviewer, state that the research will be used for the completion of a thesis of one Ms. Michelle Boehme).**

Hand over visual representation of tripartite partnership as depicted on show card A and explain that: The research will focus on exploring the expectations and opinions of stakeholders/ role players in the community, business and government about cooperation and collaboration based on shared social, economic and environmental problems. Thus we will be looking at how these role players can work together to solve some of their common social, economic and environmental needs/issues/problems and in the process develop the region. Due to cost and time constrains, we shall only be looking at the Rustenburg platinum region, however I would like to note at a later stage if any person being interviewed feels that the scope of a partnership should be broader. **Show map to give visual idea of approximately whom the role players in the Rustenburg platinum region would cover.**

I would also like to reaffirm that all interviewees remain anonymous. Having said this, would you mind if I recorded this interview? The tapes will be used solely as a memory aid for the analyses of the data some time later as I do not want to interrupt the flow of the interview by taking detailed notes. You will however note that I will be taking some. **Please note if permission was granted or not on answer sheet.**

If permission is granted, please check tape recorder to make sure everything is correct and start taping, remember to turn tape round if it stops taping during interview. Also make sure that each tape is marked, as it needs to be linked to an interview later. Should more than one tape be used, please mark the second one clearly.

If permission is denied, just make very detailed notes of what is being said.

---

[1] Later upgraded to a Ph.D.

[2] Name changed to North-West University later.

To check and verify the data, I shall also invite all the respondents to a feedback session, once all the data have been gathered and analysed.

SECTION 1 (Role players)

For the first section of our interview, we shall be focusing on the role players in the platinum region in Rustenburg.

I am now going to hand you show card, B that has a list of all the role players in the Rustenburg Platinum region in alphabetic order under the 3 categories (business, government and the community). I would just like to emphasize that this is not an all-inclusive list. This list merely contains all the main role players I have identified to be interviewed. Due to a cost and time factor, I cannot interview every platinum mine, every NGO, all community groups, etc. As an outsider, I can, however, have overlooked some role players that you feel cannot be left out if a cooperative endeavour is to be achieved at all or have included some that can be excluded. I shall now ask you some questions based on these role players (including your own group) and the additional players you mentioned. Also note that I have included some JDF members (members of a Joint Development Forum that already exists), as they should have a lot of insight and experience to draw from. **Please note that there are 2 show cards here, the one that mentions the *level of management* is to be handed to all respondents in the "Platinum mine sector" and the other one to the rest. Read out the role players from your "Interviewer sheet to be completed on role players in the Rustenburg platinum region" for each of the questions and note the answers on the same sheet, which is part of your answer sheet.**

Q1: We will look at the list of role players, and if there are any you feel should be included in a cooperative partnership based on shared social, economic and environmental problems, please let me know. **Tick mentions to be included.**

Q2: Are there any role players in the Rustenburg platinum region that should be added? **Do not just note role player, but confirm what group they fall into (e.g. platinum mine, labour etc.)**

Q3: Although I have already identified people I whish to interview under each group, where possible could you please give me the names of a contact person you think would be the most representative of each group? (Obviously if you do not know the group or people in each group that well, no suggestion is needed) With this information I would be able to compare all the answers I get, to see if my study represents the majority's opinions on who represents each group. I have also budgeted to do some interviews that I had not planned for originally, but that I knew would be identified during my interview process. I would especially appreciate the names of a contact person for all the extra additions you have mentioned and that is not on Show card B. At no stage will any person be told who suggested them as a respondent and not all suggestions will end up being followed up. **Please note that for all the respondents that fall within the Platinum mines (1.1 on show card) sector, you will distinguish and ask separate questions for senior managements vs. strategic management and you will bring that to the respondent's attention by saying "For the platinum mines I shall be interviewing both senior management and strategic or operational management, as in all the preparation work leading up to this study, I found that there can be a difference in buy in between these two levels. Thus please bear this in mind when you make suggestions and let me know in which of the two groups your suggestion falls." For the other two categories, you will not distinguish between the two levels of management and just note a representative per mine.**

If any of the respondents ask who is already on the list, just remind them that due to the anonymity of the study no names of individuals can be revealed. For

every person suggested, ask if interviewee does not have a contact number for that person that you could either get on the spot or obtain from them later.

You will also note that I have not given a name of a group under the environmental agency and NGOs. Although I have already identified groups/people I whish to interview here, I would just like additional suggestions. **Note down suggestions under 3.1.1, 3.1.2 and 3.1.3**

For the rest of this questionnaire, I would like you to think of the category and not the individuals you have just mentioned, as I need your opinion about the group and not some individuals in the group. To answer the following four questions, we will be using a scale. **Hand them show card C before you explain the scaling further.** On this scale 0 is used if you do not know, 1 is used when your opinion of a group is very low, 2 is used when your opinion is low to medium, 3 is used when your opinion is medium to high and 4 is used when your opinion is very high.0 will mostly be used if you do not know the group we are talking about well enough to judge.

I would like you to give me a scale rating for each category and every group under each category as I read them out to you. For example you will give me an average rating for business and labour, and then you will give me an average rating for the platinum mines as a sub-group, before you give me a rating for each mine mentioned and so forth. **Remember that whenever you are talking to a respondent that falls into the Platinum mine section to include the two levels of management for questions four-five.**

Q4: Could you please give me a rating of what your opinion is about the strength of each role player's commitment to sustainable development? For the purposes of this study under sustainable development I mean development that is not just focussed on meeting the needs of current generations, but takes future generations into consideration. **Note answer**

Q5: I would now like you to give me your opinion on how committed each role player would be towards cooperation based on shared social, economic and environmental issues. **Note answer**.

Q6: Could you please give me a rating for each role player based on your opinion on how much you can trust them? Please note that for the purpose of this study "trust" refers to whether the mentioned party can be relied upon to keep their word in a business sense and how honest you perceive them to be in their business dealings. **Note answer**

Q7: There can be a misbalance in power if some of the role players are more influential due to their authority or what they contribute to the cooperation process or due to the amount of people they represent. Could you give me a rating on how powerful in general you perceive each role player to be? **Note answer**

Q8: Besides the JDF (Joint Development Forum) I already mentioned are there any other big cooperative partnerships between any of the 3 categories (business, government and the community) that you are aware of? Even if just 2 of the categories are involved, I would like to know about it. **Please note all networks and who are involved.**

Q9: Have the group you are representing ever been part of a cooperative partnership in the past five years? Please note that this could have been any partnership where you were working together with any other party NOT JUST the role players in the Rustenburg platinum region, although these should also be included. Also include partnerships that were not just based on shared social, economic and environmental needs. **Please note answers on answer sheet.**

Question 10-11 only to be asked if they answered "yes" to Q9, skip to SECTION 2 (question 12) if answer was "no".

Q10: Could you please mention the role players who were included in these previous partnerships as they come to mind and as you remember them? **List mentions on answer sheet.**

Q11: I am now going to read through these mentions and would like you to indicate whether you found the experience of working with each of these role players as mostly positive or mostly negative. **Note answer on answer sheet with a "plus sign" for mostly positive and a "minus sign" for mostly negative. Please note that although the possibility of a neutral answer is not an option given to respondent, it should be noted as neutral if they mention this option of their own accord.**

SECTION 2 (Social, economic and environmental needs)

For the second section of our interview, we shall be looking at your social, economic and environmental needs/issues/problems. Examples would be waste disposal, water provision, AIDS and so forth.

Q12: At this stage, could you please list all your needs that fall under these 3 categories and not just the ones you think are shared by the role players we looked at in the Rustenburg platinum region? Do not be worried about whether the need you are listing is social, economic or environmental (some of these issues overlap and people differ in opinion). Simply just call them out as they pop into your mind. **Note answer on answer sheet.**

Q13: I am now going to read back the needs you mentioned. Could you please tell me which of these needs you feel, would be shared by at least most of the role players in the Rustenburg platinum region? **Please tick answers on answer sheet.**

Q14: This time I am only going to read all the needs you mentioned as shared back to you and ask you to rate them in order of importance. We shall only rate the top 4 shared needs that you feel is the most important and would therefore be high on your list of priorities to be dealt with. Should you have mentioned less than four needs, we shall only rate the amount mentioned and if you mentioned more, the remainder will not be rated. **Hand over show card D**. On show card D a rating of 1 is given to the need that has first place on your list of priorities, a rating of 2 is given if the need is second on your list and so forth. Could you please, with the use of the show card rank your answers? **Read back only the needs that you ticked as shared in the above question, as we will only be ranking them and not all the needs. Note answer on answer sheet.**

Q15: Now that we have discussed some shared social, economic and environmental needs, are there any role players in the Rustenburg platinum region that come to mind above and beyond the ones we have already looked at in section one? If so could you please mention them now? **Please page back to the "Interviewer sheet to be completed on role players in the Rustenburg platinum region" and using the sections left open for additions under each of the 3 main categories, add all new suggestions. Also make sure that you completed Q3 (contact person and number), and do the scaling on Q4-Q7 for all the new additions.**

SECTION 3 (Attitudes towards a joint forum)

As you were told when originally contacted, this study is focussed on looking at a partnership between government, business and the community in the Rustenburg platinum region. I would now like you to imagine this partnership as a joint forum between the three mentioned categories that will be based on shared social, economic and environmental needs and that would contribute to sustainable development in the region. At this stage I would like us to think of a forum in terms of its broadest meaning, which is a meeting of people where an opportunity for discussion and debate occurs and then take this a bit further and envisage this forum going beyond just discussing issues and sharing ideas, but actively doing something about them by working together and pooling resources. Please do not get caught

up in imagining how this forum would function or be structured at this stage, as some operational issues will be covered in the next section. To help your imagination along, a visual representation of this image is depicted on show card E. **Hand over show card E and verbalise picture briefly.**

Q16: Based on this image/concept we have tried to create in your mind, could you please tell me if your opinion about such a forum would be more on the positive or more on the negative side and then tell me more about why you chose your option? **Please note that the interviewee can have a neutral position. It is, however, not an option we will give them upfront and if they voluntarily choose it as an option note it and then prompt them further for their reasons. Please prompt in depth for all the answers given and make brief notes on the answer sheet (Remember this interview is also being recorded and that we do not want to interrupt the flow of thoughts by slowing people down when we take notes in these open-ended questions or get so caught up in taking notes that we do not listen and prompt as much as we should.) However, if this is an interview where the respondent chose not to be recorded, detailed notes must be taken for all the open-ended questions in this questionnaire.**

Q17: It is not the just the intention of this research to get input on your attitudes towards a pre–set image as shown in show card E, but to explore any visions you might have that differs from it. Having said this, would you have any further improvements to this image/vision of how cooperation (working together) between business, government and the community could be achieved in the Rustenburg platinum region? Once again, I would not like you to get caught up in how you would go ahead on a practical level to set things up at this stage, but just to give me an idea of the broad vision you would have. If you would like to draw a picture to visualise your image, please feel free to do so. **If a visual representation is drawn on the sheet provided for it, make sure to attach it to the answer sheet of that interview. Ask the respondent to verbalize their pictures, to insure no misinterpretations occur. As we do not want to put any ideas into the respondents' head, but get their own spontaneous inputs, no example will be given at first. If, however, the respondent is unclear about what it is you want them to do or clearly misunderstood you the following examples can be used to help you prompt them:**

Would you for example exclude one of the three categories (business, government and the community)? OR

You might feel that only looking at social, economic and environmental needs is not the best or only way to set up a common goal to work towards.

Please prompt in depth for all the answers given and make brief notes on the answer sheet regardless of whether a visual representation is included or not.

SECTION 4 (Practical operational issues)

In section four, I will be asking questions on some practical issues of how you would foresee a joint forum operating. Here we will look at issues of how it could be structured, how it could function, duties of the various role players and so forth. Please note that we will be looking at some broad ideas here, as it is not the aim of this study to write a set of guiding principles for a joint forum or to go back and write up a charter. In all the case studies (examples of partnerships that already exist) that were read in preparation of this study, it was clear that this takes some time as compromises are to be made. However by getting input from all the role players upfront, the process is streamlined and faster as you already have a set of expectations (obtained and gathered from a neutral party) to start working from at your first joint meeting. I know that you might have a history of working with some of the role players we looked at in section one and therefore have some experiences in hurdles that need to be

overcome if cooperation is to be obtained. Thus I would also like you to think of these hurdles as you are answering my questions and where appropriate to mention them.

Q18: I would like you to imagine that we are in the process of setting up a joint forum and then to tell me how you would foresee the structure of this forum? For example would you foresee the forum having two levels, where the top level consists of a higher level of representatives and the second level consist out of more technically orientated representatives, would there be separate working groups feeding back into one main body? In your answer you could also consider where you would foresee the forum meeting, how often it would meet, the size of representation on this forum and any other structural aspect you would like to mention. If you would like a minute or two to think about this or you would like to draw on a piece of paper to illustrate your answer, please feel free to do so. **An empty sheet is provided for this question for the respondent to draw on if he/she wishes. Please ask this question of all respondents, even if they indicated that they foresee another format of participation. Although other direct questions on the functioning of the forum will follow, please let the respondent talk and if he/she mentions something that you know follows in a later question, do not interrupt them. Simply just make brief notes under the correct question and do not verbally ask that question when you come to it. Just interrupt if the respondent is getting off track. Once again the golden rule is prompt, prompt & prompt again where needed (i.e. information given is sketchy). Make brief notes on the answer sheet regardless of whether the respondent drew a picture or not. If interview is not being recorded make detailed notes. If there is not enough space on the answer sheet, simply continue on the back of that page. Just mark the question clearly (answer sheet is only copied on front side, back of each page is blank)**

Q19: How would you see decisions being taken? **Let respondent talk. However, if they are unclear the following examples can be used. "For example would all suggestions that were tabled, be discussed with the people each person represents and then at the next forum meeting would it be accepted if two thirds of the forum is present and the majority has voted to accept or reject it." Note answer briefly on answer sheet.**

Q20: Who would be the controlling authority in the running of this forum? **Let respondent talk. However, if they are unclear the following examples can be used. "For example would there be a chairman that gets voted in by the majority for a certain time period? AND Would there be any of the 3 categories (government, business and the community) that you feel should take control in the running of the forum and if so why?" Note answer briefly on answer sheet.**

Q21: If a dispute or conflict should occur, how would it be solved? **Let respondent talk. However, if they are unclear the following examples can be used. "For example should there be a formal grievance procedure and if so what would some of the basic rules be, i.e. neutral third party arbitrator?" Should they say a neutral third party must be used for example, prompt and ask who that party should be. Note answer briefly on answer sheet.**

Q22: Are there any values (collective ideas of what is correct and what is wrong) that you feel should be there, to assist the running of the forum? **Let respondent talk. However, if they are unclear the following examples can be used. "For example the value of mutual respect for each other and each other's ideas?" Note answer briefly on answer sheet.**

Q23: Are there any other basic rules that should be there to manage the forum once it is in place, which you have not already mentioned? **Note answer briefly on answer sheet.**

We shall now be looking at the roles and responsibilities of the role players in terms of contributions to the functioning of the forum. When we look at the contributions, we shall look at more than just financial contributions.

Q24: What would you think the individual role player you represent, would be willing to contribute to the forum? **Let respondent talk, however if they are unclear the following examples can be used. "For example funding, time, expertise, information, contacts, other resources." Note answer briefly on answer sheet.**

Q25: I am now going to hand you show card F that has a list of types of contributions and a corresponding number next to each type. I shall then call out the same list of role players we looked at in section one and ask you to read out the number of the type of contribution you think each role player should contribute. Please note that you can mention more than one number as you might feel some role players should contribute various types of contributions. **Hand over show card and please page back to the "Interviewer sheet to be completed on role players in the Rustenburg platinum region" while the respondent reads through the options. You will use this sheet to note the answers for question 25-26.**

Q26: In the next question, we shall be comparing your thoughts on the strength of contribution of each role player, based on the answers you gave in the previous question (types of contribution of each). For the first time we shall be comparing within groups and not across it. By that I mean you should give a rating of how strong you feel each role player within the mining groups' contribution is compared to the other role players in the mining group and so forth. **Show card G is on the same page as show card F.** If you look at show card G you will find a scale, where 0 is do not know, 1 is More than others and two is Less than others and three is about the same. Thus for example if you feel Anglo Platinum's contribution is stronger than the other players in the mining group you will give it a rating of 1. **Read out each role player per group from the "Interviewer sheet to be completed on role players in the Rustenburg platinum region" and note the rating given to it. Once you have completed the mining group, tell the respondent that we shall now be comparing players within the unions and so forth.**

Q27: Are there any other hurdles that you are aware of from previous experiences of working together that you experienced or heard about and that you have not yet mentioned? These hurdles need not just be on an operational level for this question. **Note what respondent answers, but can also prompt about hurdles of unequal relationships here.**

Q28: **(Only to be asked if other hurdles are given in Q27)** I am now going to hand you show card H and by using the scale on the show card, I would like you to rate how difficult it would be to overcome each of the hurdles you mentioned in the previous question? In this scale 0 is used it you do not know or are unsure, 1 is used if the hurdle is very easy to overcome and so forth. **Read back hurdles mentioned in Q27. Note scale rating on answer sheet.**

SECTION 5 (Benefits/rewards from forum)

In the previous section we looked at what people should contribute towards the forum and now we shall look at what can be gained, besides the fact that the issues/needs/problems we looked at earlier can be addressed. We shall not be looking at all the individual role players for this section, but only the 3 main categories, i.e. business, vs. government vs. the community. Also note that we are not just talking about financial gains.

Q29: What would each sector, including yours gain from a forum? **Note answer on answer sheet per sector.**

Q30: **(Only to be asked if respondent noted more than one value to his own group)** What of all the benefits you mentioned for your own sector in the previous question, would be the benefit you most value/like to obtain?

CONCLUSION

In conclusion, I would just like to ask you three last questions

Q31: Do you feel that in general the climate/attitude in the Rustenburg platinum region is now more aimed towards cooperation than in the previous 10-15 years? **Note answer on answer sheet**.

Q32: How long do you think it should take to set up a forum up to the point where it can start looking at solving its first shared need/issue/problem? Please note that I said start looking at issues and not solved first issue. **Note answer on answer sheet.**

Q33: If you feel that the scope of a forum should be broader than the Rustenburg platinum region, I would now happily note who else you feel should be included.

List all other players mentioned above and beyond the role players in the Rustenburg platinum region on the answer sheet.

Q34: As I promised there will be a feedback session on the results of this research as soon as all the data have been gathered and analysed. Would you like this just to be a feedback session or would you also like to include a workshop session on the next steps to actually setting up a forum? **Please tick answer on answer sheet.**

Thank respondents for their time & promise to get back to them with the dates of the feedback session. Also tell them about the internet site and that the progress of the study will periodically be noted on this site. The site address is:

www.puk.ac.za/fakulteite/lettere/SOS/study.html

APPENDIX B

FUNCTIONALISM PRINCIPLES

Principle F1: Links to principle L12 (see appendix D). *Social systems are growing organisms that evolve with time. Thus nobody can expect a fully functional partnership from day one. Any partnership will go through stages.*
Principle F2: Links to principle L8 (see appendix D). *For a partnership to survive it needs to obtain and distribute resources.*
Principle F3: Links to principle E2 and E7 (see appendix C). *For a partnership to survive role players need to be replaced when necessary and be made aware of the values and norms that form the basis of the partnership.*
Principle F4: Links to principle E29 and L7 (see appendix C and D). *For a partnership to be successful, role players must coordinate their activities.*
Principle F5: Links to principle E6 and L4 (see appendix C and D). *For a partnership to be successful both the needs and functions of the individual role players and the whole should be understood.*
Principle F6: *A partnership based on functional differentiation has a higher level of cohesion, integration and cooperation than one based on structural differentiation. However, without some form of integration, no partnership will survive.*
Principle F7: Links to principle F3, E28, L17 and L29 (see appendix B, C and D). *For a partnership to survive there must be consistency and continuity. For these two conditions to be met, clear rights and duties should be assigned to role players. The role players should not vary from day to day either as this complicates the maintenance of the roles and duties.*
Principle F8: Links to principle F5, E6, E29 and L9 (see appendix B, C and D). *Social organizations (like a forum) are formed to meet the needs of the role players. There also needs to be a purpose or goals that the forum works towards.*
Principle F9: Links to principle E20 and L13 (see appendix C and D). *Through the use of power, the role players can be made to conform to the norms.*
Principle F10: Links to principle L36 (see appendix D). *The role players in a partnership need to feel that they are part of the group. They also need to feel that they have some control over their destiny.*
Principle F11: Links to principle L5 (see appendix D). *For a partnership to be successful, the role players should be aware of the fact that each partnership is unique and that the needs of their partnership may differ from the needs of another partnership.*
Principle F12: Links to principle L23 (see appendix D). *For a partnership to survive the role players should be aware of the fact that a partnership is not without its conflicts. It is not about the conflicts, but how they are overcome and what impact they make.*

Principle F13: Links to principles F8 and E29 (see appendix B and C). *In most partnerships there are openly stated/set goals. However, some indirect/unplanned goals can also be attained.*
Principle F14: *For a partnership to be successful it need not always be in the format of a forum, i.e. an alternate structure can perform the same function.*
Principle F15: Links to principle E28 and L17 (see appendix C and D). *For a partnership to survive a sufficient proportion of the role players should be motivated to act out the roles bestowed on them.*
Principle F16: Links to principles F15 and L17 (see appendix B and D). *For a partnership to be successful the roles/obligations placed on role players should not be unattainable.*
Principle F17: Adds to principle F1 and L12 See appendix B and D). *For a partnership to survive it needs to be malleable, i.e. adjust to change, be that change in the social or non-social environment.*
Principle F18: Links to principles F9, E20 and L16. Also adds to principles F3, E2 and E7 (see appendix B, C and D). *To ensure that role players conform to the values and norms of a partnership, there should be some social control.*

APPENDIX C

EXCHANGE PRINCIPLES

Principle E1: Links to principle L8 (see appendix D). *A partnership needs to fulfil the economic needs of the role players.*
Principle E2: Links to principle F3 (see appendix B). *For a partnership to succeed a social institution needs to be developed that will exert pattern maintenance. This social institution could be in the format of a forum.*
Principle E3: Links to principle L13 (see appendix D). *The possible exploitation of power and/or status should be looked at as it can influence a partnership.*
Principle E4: Links to principle L8 and L27 (see appendix D). *Exchange in a partnership is not always about economic needs. It could fulfil social needs, i.e. networking opportunities.*
Principle E5: Adds to principle E4 above. Also links to principle L2 and L27 (see appendix D). *Social bonds/ties/networking are often the consequence of a partnership (as per principle E4), but at times they are the cause of a partnership.*
Principle E6: Links to principles F5, F8 and L4 (see appendix B and D). *A partnership is more likely to be successful if it meets both the needs of the individual role players and that of the whole as far as possible.*
Principle E7: Adds to principle E2. Also links to principle F3 and L16 (see appendix C, B and D). *In a partnership, there should be rules/norms that regulate the exchange, especially if the social resources are scarce. These norms have institutional (as per principle E 2) definitions.*
Principle E8: Links to principle E6 that states that the interests of the individuals and the whole should be considered. Also links to principle F5 (see appendix C and B). *A partnership cannot be sustained if it is based on individual self-interest.*
Principle E9: *The costs incurred during an exchange transaction in a partnership are not always attributed to the recipient in the exchange transaction. At times the cost is attributed to some other value.*
Principle E10: Adds to principle E3 (see appendix C). In principle E3 "power exploitation" is emphasised, here it is more general. *For the sake of a stable partnership, ideally exchange should be devoid of exploitation.*
Principle E11: Adds to principle E3. Whereas principle E3 is very general, this principle is more specific. Also links to principle L13 (see appendix C and D). *For social interaction to continue in a partnership there has to be an equality of role players. Non-equals do, however, partake in an exchange situation, if status is not an important issue. Equality in a partnership also leads to greater solidarity in the partnership, i.e. a stronger partnership.*

Principle E12: Links to principle L35 (see appendix D).

For a partnership to continue, exchange transactions have to be perceived as profitable and fair by the role players.

Principle E13: Links to principle L8 and L34 (see appendix D).

If one frequently acknowledges or rewards the role players in a partnership for their contribution(s), the probability of them repeating their actions increases. Thus in effect you are contributing to pattern maintenance and cohesion within the group.

Principle E14: Links to principle L8 (see appendix D).

You can "condition" role players in a partnership to exhibit certain actions after a specific stimulus by rewarding them every time they display afore-mentioned actions. Thus once again in effect you are contributing to pattern maintenance and cohesion within the group.

Principle E15: Links to principle L8 (see appendix D).

For a partnership to continue role players should receive rewards they value, as this will increase the probability of a repeat performance. Once again conformity can be encouraged and cohesion enhanced.

Principle E16: Links to principle E15 above.

If a role player has received a reward too frequently in the recent past, the reward loses its value. Thus in effect cohesion can adversely be affected, as role players are not motivated to conform.

Principle E17a:

If the expectations of role players are not met, the probability of aggressive behaviour increases. In effect this could destabilise partnerships or lower cohesion.

Principle E17b:

If the expectations of role players are met or even exceeded, they would be more likely to perform approving behaviour, i.e. conform. In effect this increases solidarity within the group/partnership.

Principle E18: Adds to principle E4. Also links to principle E13 and L8 (see appendix C and D). Here social approval is mentioned specifically as a social need that can be fulfilled or a reward that can be given.

Role players can gain social approval from a partnership and that in turn motivates them to comply with what is expected from them, thus increasing cohesion/solidarity in the partnership.

Principle E19: Links to principle E18 above and L8 (see appendix D).

Social approval can be something role players gain within a partnership (as per principle E18), but also something they give.

Principle E20. Adds to principle E3. The fact that power has an influence on partnerships is elaborated upon. Also links to principles F9, F18 and L13 (see appendix C, B and D).

Role players are more likely to conform if they receive positive sanctions (non-coercive power) than when they are negatively sanctioned (coercive power) i.e. punished.

Principle E21: This principle has been hinted at during the discussion of some of the other exchange theorists, but will be stated pertinently here. Also links to principle L20 (see appendix D).

For a partnership to succeed there needs to be trust

Principle E22: Adds to principle E11. Also links to principle L13 (see appendix C and D). *Whereas principle E11 states that non-equals do partake in exchange situations if status is not an important issue, principle E22 states that the interaction between non-equals is less complicated if the inequality is clear.*
Principle E23: Links and adds to principles E12 and E15 (see appendix C). *What a role player receives from an exchange transaction should be perceived as profitable (principle E12) and valuable (principle E15). The value of an exchange item, however, is relative.*
Principle E24: Also discussed power in principle E3, E10 and L13 (see appendix C and D). *The more dependent a role player in a partnership is on another, the more power the other role player has over him/her. The higher the dependency in a group, the higher the cohesion.*
Principle E25: Adds to principle E7. Also links to principle E3, L13 and L16 (see appendix C and D). *Even though there are power imbalances in a group, other values/norms/rules (as per principle E7) can regulate the exchange, thus overcoming the power imbalance (see principle E3).*
PrincipleE26: Links to principle E3 and L13 (see appendix C and D). *A role players' position in the social network of a partnership, gives him/her power or for that matter divests him/her of power.*
Principle E27: Status also discussed in principle E11 and principle E22. Also links to principle L16 (see appendix C and D). *If the role players in a partnership conform to the values and norms of said partnership, they can gain status.*
Principle E28: Links to principles F7, F15, F16 and L24 (see appendix B and D). *In a partnership role players have both responsibilities/roles/obligations on the one hand and rights/privileges on the other hand.*
Principle E29: Links to principles F4, F8, F13 and L9 (see appendix B and D). *For a partnership to succeed there has to be shared/common goals.*

APPENDIX D

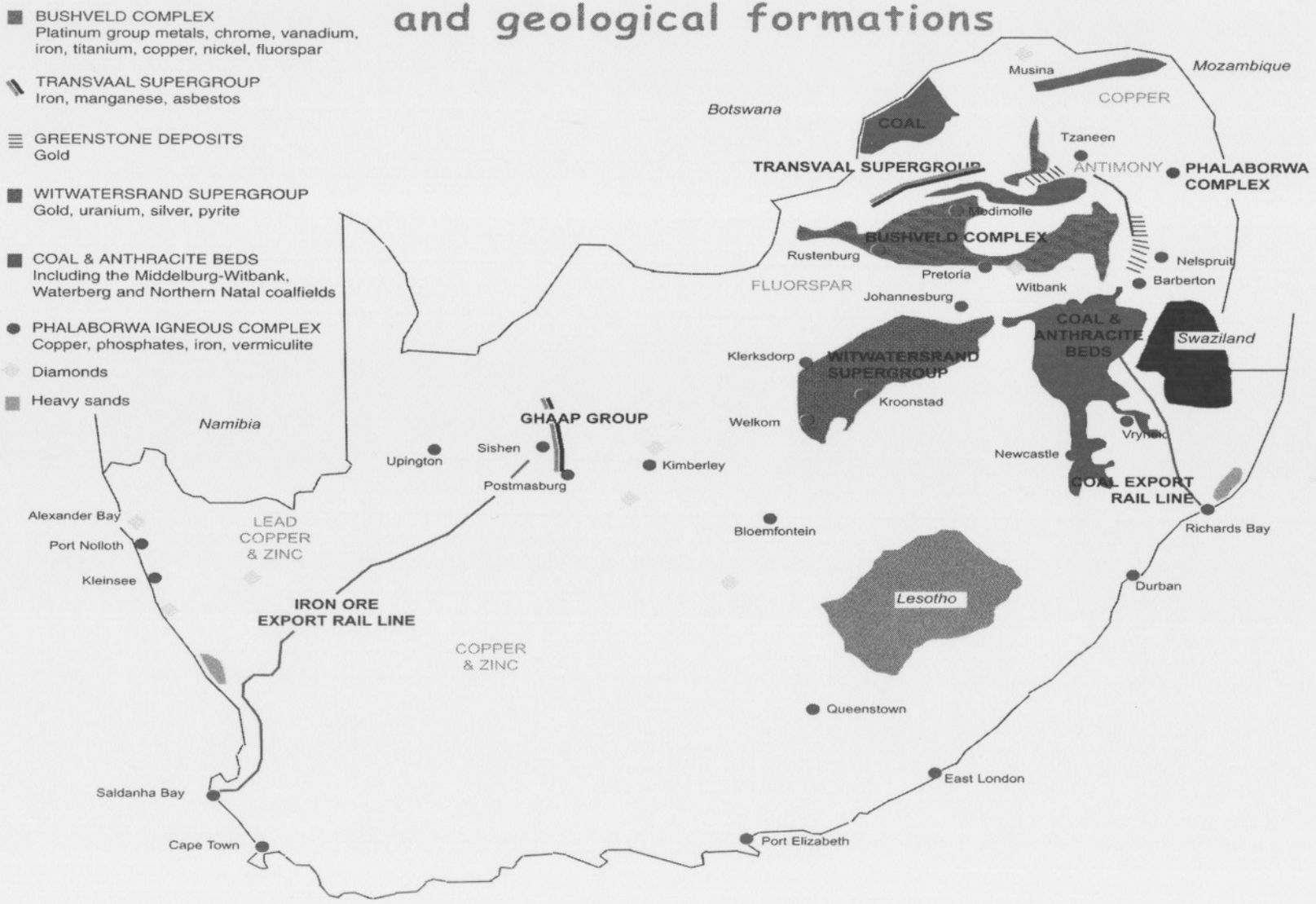
LITERATURE RESEARCH PRINCIPLES

Principle L1: *The role players are not all culturally homogeneous. There is a diversity that needs to be respected.*
Principle L2: Links to principle E5 (see appendix C). *The history, previous hurdles, existing structures, stereotypes and previous networks cannot be ignored if one would like a successful partnership.*
Principle L3: *For a partnership to be successful at the local level, the national and even international scenarios should be considered.*
Principle L4: Links to principles E6, E8, F5 and F16 (see appendix C and B). *To understand the partnership as a whole, the individual role players should be understood in terms of their individual goals, needs, capacity, etc.*
Principle L5: See principle F11 (appendix B). *For a partnership to be successful, it should be remembered that each partnership is unique.*
Principle L6: *Although each partnership is unique, one can obtain some wisdom from other partnerships that can contribute to the success of one's own.*
Principle L7: See principle F4 (appendix B). *A partnership can only be successful if the role players cooperate.*
Principle L8: Links to principles F2, E1, E4, E13, E14, E15, E18, E19 and E23 (see appendix B and C) *For a partnership to be successful role players should contribute resources to it and gain something from it i.e. be rewarded.*
Principle L9: See principles E29 and F8 (appendix C and B). *Although principle L4 focuses on the individual units, the whole should also have shared goals, needs, etc. to work towards. These can be revised over time.*
Principle L10: *For a partnership to succeed one should not just be able to identify shared needs, but also be able to prioritise them in such a way that it is acceptable to most of the role players.*
Principle L11: Links to principle L3 (see appendix D). *For a partnership to be successful, the legislative requirements that guide the formation of partnerships should be studied.*
Principle L12: See principles F1 and F17 (appendix B). *For a partnership to be successful, it needs to evolve as changes occur.*
Principle L13: See principles E3, E11, E20, E22, E24, E25, E26 and F9 (appendix C and B). *For a partnership to succeed the power relations should be looked at.*

Principle L14: *For a partnership to succeed one should not just talk. Actual action is needed.*
Principle L15: *For a partnership to succeed one should choose the right role players.*
Principle L16: See principles E7, E25, E27 and F18 (appendix C and B). *For a partnership to be successful there need to be rules/norms that guide the interaction.*
Principle L17: See principles F7, F15, F16 and E28 (appendix B and C). *There should be an assignment of roles/responsibilities in a partnership. These assigned roles must also be realistic and achievable.*
Principle L18: *A more formalised type of partnership functions well if there are principles for decision making, dispute resolution mechanisms, etc.*
Principle L19: *If roles are assigned as in principle L17, there should be a monitoring mechanism and accountability to these roles. The partnership as a process should also be measured and monitored in a transparent way.*
Principle L20: See principle E21 (appendix C). *For a partnership to succeed there needs to be trust.*
Principle L21: Links to principles L4 and L17 (see appendix D). *The building of capacity/skills of role players should be looked at. This in turn affects the assignment of roles and helps with empowerment.*
Principle L22: *Communication networks and the distribution of information are important to ensure a successful partnership.*
Principle L23: This links to principle L18. See principle F12 (appendix D and B). *There must be a realisation that all partnerships (even those that are successful) will have their share of conflict.*
Principle L24: Links to principle L17. See principle E28 (appendix D and C). *Role players have rights. This is balanced by the assignment of roles/responsibilities.*
Principle L25: Links to principles L2, L4 and L8. See principles E17a and E17b (appendix D and C). *There should be expectation management of stereotypes, as well as the capacity of role players; both in terms of their skills/role assignment and other resources they contribute.*
Principle L26: Links to principle L7 (see appendix D). *For a partnership to succeed there needs to be a conducive climate towards it.*
Principle L27: Links to principle L2. See principles E5 (appendix D and C). *The buildings of networks/interpersonal ties are important.*
Principle L28: Links to principle L4, L15, L17 and L25 (see appendix D). *For role assignment and expectation management to be successful there should be some functional assessment of role players and their abilities.*

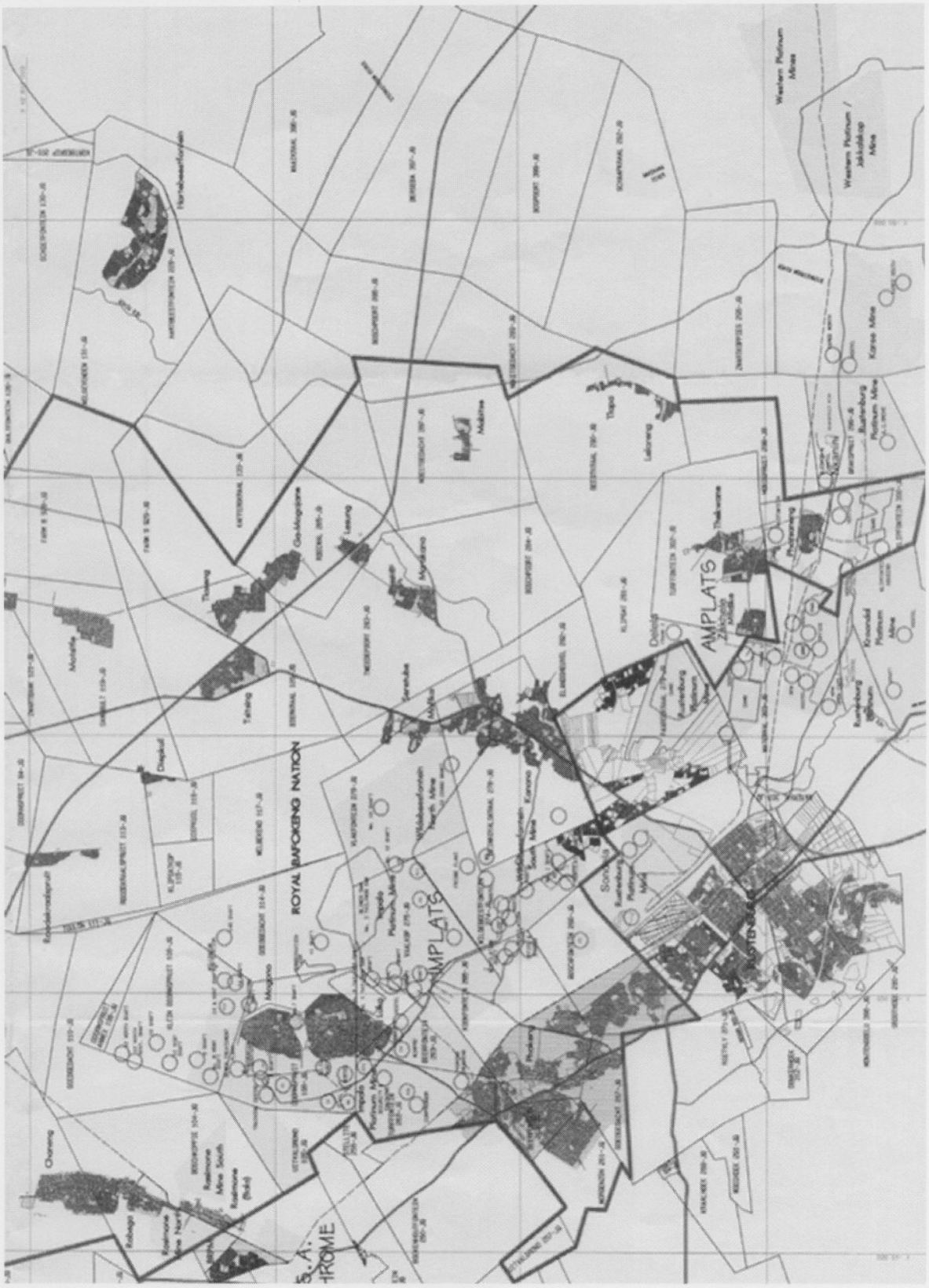
Principle L29: See principle F7 (appendix B). *The role players should not vary from day to day.*
Principle L30: Links to principle L4 (see appendix D). *It should be remembered that each of the individual role players are also a whole by themselves, made up of individual parts that can influence the partnership. Thus the partnership functions better if the "whole" of the individual parts are included and not just selected bits. At times not only are selected parts included, but they are also varied from day to day.*
Principle L31: Links to principle L30 (see appendix D). *Top management of the individual role players should be involved as they have the authority to make decisions.*
Principle L32: *Representatives must be legitimate, i.e. seen as the representative by the group they embody.*
Principle L33: Links to principle L7 and L14 (see appendix D). *For a partnership to succeed role players need to be committed to it.*
Principle L34: See principle E13 (appendix C). *Give recognition to role players, where it is due.*
Principle L35: Links to principle L8. See principle E12 (appendix D and C). *The rewards/gains should be seen as fair.*
Principle L36: Links to principle L12. See principle F10 (appendix D and B). *Role players should feel that they are part of the process.*
Principle L37: *Role players should complete the responsibilities assigned to them on time.*

Principal South African mineral deposits and geological formations



APPENDIX F

RUSTENBURG PLATINUM REGION



APPENDIX G

ANSWER SHEET

(To be completed for each interview)

Office use only

Interview code

Demographics required **(Please note that some of these details would already be completed on arrival of interview, but be sure to complete rest)**

Name and surname of respondent		
Contact number(s) of respondent		
Group of role players, respondent is part of (**Please tick**)	Business & labour	
	Government	
	Community	
Position of respondent in the group (**Title & description where title not clear enough**)		
Date of actual interview (dd/mm/yyyy)		
Time of actual interview		
One of original respondents/snowball respondent **(Please tick)**	Original	
	Snowball sample	
Interviewer, when not main interviewer		

Please tick

Permission granted to use tape recorder	
Permission denied to use tape recorder	

SECTION 1 (Role players)

Interviewer sheet to be completed on stakeholders/role players in the Rustenburg platinum region

Role Players	Q1 To include (Please mark)	Q2 To add (Also note which group they fall into)	Q15 Q3 Representative & contact number	Q4 Sustain devel comm	Q5 Comm to coop.	Q6 Trust	Q7 Power	Q25 Types of contr	Q26 Strength of contr within groups
1. Business & Labour									
1.1 Platinum mines									
1.1.1Anglo Platinum									
Senior manager									
Strategic/opera-tional manager									
1.1.2 Impapa									
Senior manager									
Strategic/opera-tional manager									
1.1.3 Lonmin									
Senior manager									
Strategic/opera-									

tional manager									
1.1.4 Samancor									
Senior manager									
Strategic/operational manager									
1.1.5 X-trata									
Senior manager									
Strategic/operational manager									
1.2 Some big service providers									
1.2.1 ESKOM									
1.2.2 Magalies Water									
1.2.3 Rand Water									
1.3 Unions/Labour									
1.3.1 MOUTHPIECE									
1.3.2 NETU									
1.3.3 NUM									
1.3.4 UASA									
1.4 Some JDF members									

Bus. & lab. to add									
2. Government (local)									
2.1 District Municipalities									
2.1.1Bojanala									
2.2 Local Municipalities									
2.2.1Rustenburg									
Government to add									

3. Community									
3.1 Environmental Agency and NGOs									
3.1.1									
3.1.2									
3.1.3									
3.2 Local Rust. Communities									
3.2.1 Delela									
3.2.2 Greater Rust. Comm Foundation									

3.2.3 Kroondal									
3.2.4 Nkaneng									
3.2.5 Sondela									
3.2.6 Zakhele									
3.3 Traditional Royal Bafokeng									
3.3.1Phothemfi									
Community to add									

Q8: Existing networks/partnerships of cooperation, besides JDF between 3 cat.

Name of cooperation network (if there is one)	Who is involved

Q9: History of ANY previous partnerships in past 5 years (Please tick)

Yes	
No	

(If "no" skip to Q12)

Additional information on previous partners

Q10 List previous partners	**Q11** Positive/negative history **(neutral to be noted, but not given as choice)**	**Coding – office use only**

SECTION 2 (Social, economic & environmental needs)

Q12 List of ANY problems/needs	**Coding – office use only**	**Q13** Shared by most **(Please tick)**	**Q14** Priorities of needs IN scope

Q15 on "Interviewer sheet" –page 2 of answer sheet (role players to add)

SECTION 3(Attitudes towards a joint forum –Not operational yet)

Q16: Attitudes towards a joint forum (please tick)

Mostly positive	
Mostly negative	
Neutral **(this choice not to be read out)**	

Motivation of above choice (take brief notes, unless interview is not being recorded)

Q17: Own vision of cooperation – improvements on Q16 (take brief notes, unless interview is not being recorded)

SECTION 4 (Practical operational issues-consider previous hurdles)

Q18: Structure of forum (take brief notes, unless interview is not being recorded)

Q19 How would decisions be taken? (take brief notes, unless interview is not being recorded)

Q20: Who should be the controlling authority, if any? (take brief notes, unless interview is not being recorded)

Q21: Dispute resolution/grievance process (take brief notes, unless interview is not being recorded)

Q22: Values to assist in running of forum (take brief notes, unless interview is not being recorded)

Q23: Other basic rules to manage forum once in place (take brief notes, unless interview is not being recorded)

ROLES AND RESPONSIBILITIES

Q24: Contribution of own group (take brief notes, unless interview is not being recorded)

Q25-26 on "Interviewer sheet" –see page 2 of answer sheet

Q27 List other hurdles (not just operational)	Q28 Scaling on overcoming hurdles(only IF hurdles are listed)

SECTION 5 (Benefits/rewards from forum)

Q29 Benefits from forum

Business & labour sector	Government sector	Community

Q30: Most valuable benefit for your sector (only to be asked if Q 29 has benefits listed for own sector)

CONCLUSION

Q31: Climate more cooperative today than in past 10-15 years (please tick answer)

Yes	
No	

Q32: Time line to set up forum (can note it in days, months or years –just indicate denomination chosen)

Q33: List of ALL other players above and beyond the role players in the Rustenburg platinum region

Q34: Next meeting (please tick)

Feedback session only	
Feedback session & workshop on next steps	

Make sure there are no blank spaces on answer sheet where none should be, before you leave

APPENDIX H

CONDENSED DEFINITION, EXAMPLE & PROMPT LIST

JDF members: members of a Joint Development Forum that already exists

***Senior/top management:** Highest position/rank, make decisions

***Strategic/operational management:** Serving ends of strategy, engaged in functions, putting decisions into operation

FROM Q4 THINK OF GROUP, NOT REPRESENTATIVE

Q4 def: Sustainable development (For the purposes of this study under sustainable development I mean development that is not just focussed on meeting the needs of current generations, but takes future generations into consideration.)

Q6 def: Trust (For the purpose of this study "trust" refers to whether the mentioned party can be relied upon to keep their word in a business sense and how honest you perceive them to be in their business dealings.)

Q7 example: There can be an imbalance in power if some of the role players are more influential due to their authority or what they contribute to the cooperation process or due to the amount of people they represent.

Forum: At this stage I would like us to think of a forum in terms of its broadest meaning, which is a meeting of people where an opportunity for discussion and debate occurs and then take this a bit further and envisage this forum going beyond just discussing issues and sharing ideas, but actively doing something about them by working together and pooling resources.

Q17 example: Would you for example exclude one of the three categories (business, government and the community)? OR

You might feel that only looking at social, economic and environmental needs is not the best or only way to set up a common goal to work towards

Q18 example: For example would you foresee the forum having two levels, where the top level consists of a higher level of representatives and the second level consists of more technically orientated representatives, would there be separate working groups feeding back into one main body?

In your answer you could also consider where you would foresee the forum meeting, how often it would meet, the size of representation on this forum and any other structural aspect you would like to mention.

Q19 example: For example would all suggestions that were tabled, be discussed with the people each person represents and then at the next forum meeting would it be accepted if two thirds of the forum is present and the majority has voted to accept or reject it?

Q20 example: For example would there be a chairman that gets voted in by the majority for a certain time period? AND

Would there be any of the 3 categories (government, business and the community) that you feel should take control in the running of the forum and if so why?

Q21 example: For example should there be a formal grievance procedure and if so what would some of the basic rules be, i.e. neutral third party arbitrator? Should they say a neutral third party must be used for example, prompt and ask who that party should be.

Q22 def and example: Values (collective ideas of what is correct and what is wrong)

For example the value of mutual respect for each other and each other's ideas?

Q24 example: Contributions For example funding, time, expertise, information, contacts, other resources.

Q27 prompt: Prompt about hurdles of unequal relationships here.

Q30 def: Value/like to obtain

APPENDIX I

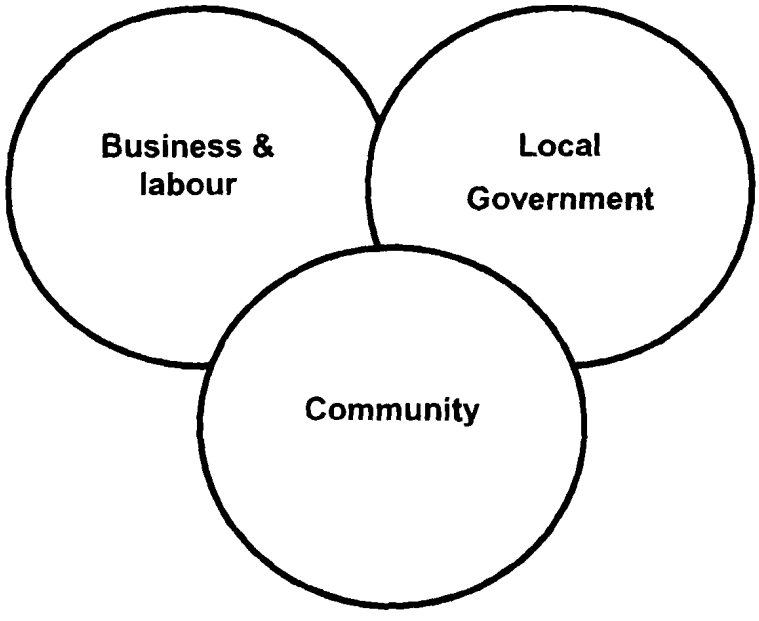
SHOW CARD A: DEPICTION OF TRIPARTITE RELATIONSHIP

Rustenburg Platinum Region

Shared social, economic and environmental needs/issues that impact most of the role players

For example AIDS, water provision, waste disposal and so forth

WORKING TOGETHER



APPENDIX J

SHOW CARD B: ROLEPLAYERS TO BE INTERVIEWED IN THE RUSTENBURG PLATINUM REGION

1. BUSINESS & LABOUR

1.1 Platinum mines

(Senior vs. strategic/operational managers to be looked at under each mine)

1.1.1 Anglo Platinum
1.1.2 Impala
1.1.3 Lonmin
1.1.4 Samancor
1.1.5 X-trata

1.2 Some big service providers

1.2.1 ESKOM
1.2.2 Magalies Water
1.2.3 Rand Water

1.3 Unions/Labour

1.3.1 MOUTHPIECE (MPWU)
1.3.2 NETU
1.3.3 NUM
1.3.4 UASA

1.4 Some JDF members

2. GOVERNMENT (local)

2.1 District Municipalities

2.1.1 Bojanala

2.2 Local Municipalities

2.2.1 Rustenburg

3. COMMUNITY

3.1 Environmental Agency and NGOs

3.1.1
3.1.2
3.1.3

3.2 Local Communities and organizations

3.2.1 Delela
3.2.2 Greater Rustenburg Community Foundation
3.2.3 Kroondal
3.2.4 Nkaneng
3.2.5 Sondela
3.2.6 Zakhele

3.3 Traditional Royal Bafokeng

3.3.1 Phothemfi

APPENDIX K

SHOW CARD B: ROLEPLAYERS TO BE INTERVIEWED IN THE RUSTENBURG PLATINUM REGION

1. BUSINESS & LABOUR

1.1 Platinum mines

1.1.1 Anglo Platinum

1.1.2 Impala

1.1.3 Lonmin

1.1.4 Samancor

1.1.5 X-trata

1.2 Some big service providers

1.2.1 ESKOM

1.2.2 Magalies Water

1.2.3 Rand Water

1.3 Unions/Labour

1.3.1 MOUTHPIECE (MPWU)

1.3.2 NETU

1.3.3 NUM

1.3.4 UASA

1.4 Some JDF members

2. GOVERNMENT (local)

2.1 District Municipalities

2.1.1 Bojanala

2.2 Local Municipalities

2.2.1 Rustenburg

3. COMMUNITY

3.1 Environmental Agency and NGOs

3.1.1

3.1.2

3.1.3

3.2 Local Communities and organizations

3.2.1 Delela

3.2.2 Greater Rustenburg Community Foundation

3.2.3 Kroondal

3.2.4 Nkaneng

3.2.5 Sondela

3.2.6 Zakhele

3.3 Traditional Royal Bafokeng

3.3.1 Phothemfi

APPENDIX L

SHOW CARD C: SCALING OF OPINIONS TO BE USED FOR THE NEXT FOUR QUESTIONS

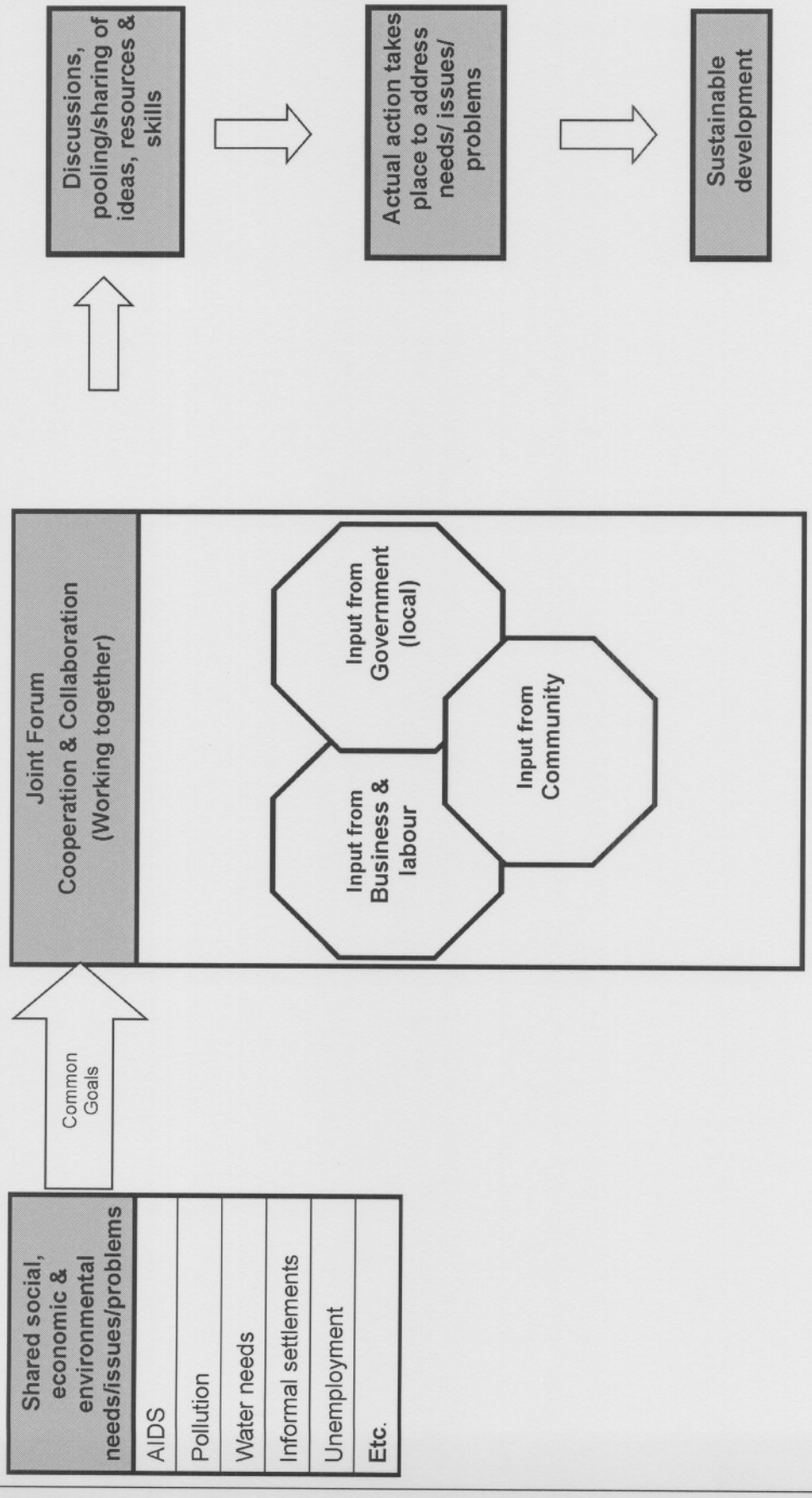
0	1	2	3	4
Do not know	**Very** low	Low-Medium	Medium -High	**Very** high

SHOW CARD D: RANKING OF IMPORTANCE OF TOP 4 NEEDS

1	2	3	4
First on list of priorities	Second on list of priorities	Third on list of priorities	Fourth on list of priorities

APPENDIX M

SHOW CARD E: VISION OF A JOINT FORUM



APPENDIX N

SHOW CARD F: TYPES OF CONTRIBUTIONS

Do not know	**0**
Funding/money	**1**
Time	**2**
Expertise/skills	**3**
Information	**4**
Contacts	**5**
Other resources, i.e. place to meet	**6**

SHOW CARD G: SCALING OF STRENGTH OF CONTRIBUTIONS

0	1	2	3
Do not know	More than others	Less than others	About the same

SHOW CARD H: SCALING ON HOW COMPLICATED HURDLES TO OVERCOME ARE

0	1	2	3	4
Do not know/unsure	**Very** easy	Easy	Difficult	**Very** difficult

APPENDIX O

INTRODUCTION PHONE CALL AND SETTING UP OF INTERVIEW

Good morning/afternoon/evening Mr./Ms./Dr._____ My name is Michelle Boehme and I am currently doing research for the Potchefstroom University[3] in conjunction with Anglo Platinum on the establishment of a partnership between business, government and the community in the Rustenburg platinum region. The research will focus on exploring the expectations and opinions of role players in these three categories about cooperation based on shared social, economic and environmental problems. After speaking to some role players, you were one of the people that they suggested I speak to in order to obtain some valuable input for my study. In turn I shall invite you to a feedback session once all the data have been gathered and analysed, where you will be able to hear the expectations and opinions of other role players in both your category and from other categories. The feedback takes place on category level as all interviews are treated as anonymous and at no stage will any of the contributing individuals be mentioned. Although this research will only focus on the first step in the formation of a partnership (identifying common ground, creating a shared vision & obtaining broad rules for such a relationship), I would hope not to be too presumptuous in my expectation of this research perhaps laying the foundation for an actual partnership that could lead to some of the shared problems being addressed.

As your input would be highly appreciated and valued and considering that an interview will take on average an hour to complete depending on how much you have to contribute, would you be willing to grant me an interview?

Regardless if the answer is "yes" or "no", ask them if they have access to the internet as there is an internet site, where they can read more about the study if they have access. If they do not have access, ask if you could fax them a copy of this site. The people that said "no" might then change their mind and the people that said "yes" will get a more detailed overview of the types of questions that will be asked. This will lead them to think about the various issues before the interview & their thoughts should be more structured.

Also judge how fluent they are in English, while you are speaking to them on the phone. If they are not very fluent ask if they would prefer you to bring a translator along. If they accept this offer, find out what their mother tongue is and then say that you would try your utmost to bring a translator along, but do not make a definite promise as a translator might not be available. Language should not be a problem as most of these people (including the community section representatives) are usually fluent in English.

Web address: www.puk.ac.za/fakulteite/lettere/SOS/study.html

Set up date and time of interview and get directions

[3] Name changed to North-West University later.

APPENDIX P

RESEARCH FOCUS AREA 7·2

Establishment of a tripartite partnership between business, government and the community in the Rustenburg Platinum Region.

Researcher:
Ms. M. Boehme

Background of study
Focus of study
Update of study
Contact details

Background of study

Rustenburg is one of the biggest growth points in South Africa when it comes to platinum mining and due to the speed of these developments there are some fears that sustainable development might not occur in an organised manner. Some of the problems currently experienced are informal settlements, migrant workers, pollution, prostitution and a lack of sufficient amenities. The most prominent categories of role players that can help solve these problems and contribute to sustainable development are business, government and the community.

The study will focus on exploring the expectations and opinions of the role players in these three categories about cooperation and collaboration based on shared social, economic and environmental problems. Thus we will be looking at how these role players can work together to solve some of their common social, economic and environmental problems/needs and in the process develop the region.

This study will be undertaken by Potchefstroom University in conjunction with Anglo Platinum.

Focus of study

The study will focus on the first step in the establishment of a tripartite partnership and be structured in an attempt to answer the following questions:

- Who are the individual role players in each category?
- What is their attitude towards a joint forum?
- What are the social, economic and environmental problems of each role player?
- What are the expectations the role players have about what the forum would mean to them/ what would they get from cooperation?
- How do the role players envisage the functioning of this forum with regard to size of representation, how it would be run, how it would be funded and so forth?
- What are the broad ideas of some of the rules, values and norms that would be needed for the forum to function, once it is in place?
- What would the role players be willing to contribute to ensure the optimum functioning of the forum?

Update of study

DATE	EVENT
September 2003	Commencement of interviewing
End of September 2003	50% of interviewing completed
End of October 2003	Interviewing completed
End of November 2003	Data Analyses done
26 May 2004	Feedback session to all respondents
	Click here to download the PowerPoint presentation of the feedback session. (4.58Mb)

Contact details

Ms. M. Boehme

Research Focus Area: Sustainable Social Development

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27 May 2004

APPENDIX Q

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Founding 1869
50 years of independence 2001

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Research participants
Rustenburg platinum research project

20 August 2003

Dear participant

TRIPARTITE PARTNERSHIP IN THE RUSTENBURG PLATINUM REGION

Ms. Michelle Boehme is a researcher in the Focus Area for Sustainable Social Development at the Potchefstroom University[4]. She is currently enrolled for a Master's degree[5] in Sociology and her thesis deals with the establishment of a tripartite partnership in the Rustenburg platinum region.

Thank you very much for your consent to participate in this study. We appreciate your willingness to share your knowledge and experiences with the researcher. Your input in this project will enable Ms. Boehme to consult with as many different role players on this matter as possible. With the completion of the research project, all participants will be invited to a feedback session.

Your cooperation is greatly appreciated!

Yours sincerely

Prof AME Naudé
Director

4 Name changed to North-West University later.
5 Upgraded to Ph.D. later.

APPENDIX R

CODEBOOK

The questions and the codes used are briefly summarized here **(the questionnaire and interviewer instructions contain the detailed questions and discussions on some of the definitions contained in some of the questions).** There are five sections included here:

1. Codes based on closed-ended questions only (mostly single mention answers, but one multiple mention question included in this section)
2. We then have some open-ended questions, where the responses were coded as closed-ended questions later.
3. The third group is open-ended questions only
4. Questions not coded and why
5. Codes not part of any specific question (i.e. category interview is part of)

1. Codes based on closed-ended questions only

Question 1: We will look at the list of role players (show card B) and if there are any you feel should be included in a cooperative partnership based on shared social, economic and environmental problems/issues, please let me know. If you do not know the role player and therefore are unsure if they should be included also indicate this.

Codes for question 1

Do not know role player & thus feel cannot comment	0
Yes (should be included)	1
No (should not be included)	2

Question 4: Could you please give me a rating of what your opinion is about the strength of each role player's commitment to sustainable development?

Question 5: I would now like you to give me your opinion on how committed each role player would be towards cooperation based on shared social, economic and environmental issues.

Question 6: Could you please give me a rating for each role player based on your opinion on how much you can trust them?

Question 7: Could you give me a rating on how powerful you perceive each role player to be?

Codes for questions 4-7

Do not know	0
Very low	1
Low-Medium	2
Medium-High	3
Very high	4

Question 9: Have the group you are representing ever been part of a cooperative partnership in the past five years?

Codes for question 9

Yes	1
No	2

Question 16a: Based on this image/concept we have tried to create in your mind, could you please tell me if your opinion about such a forum would be more on the positive or more on the negative side.

Codes for question 16a

Neutral (this choice is not to be read out)	0
Positive	1
Negative	2

Question 25 (MULTIPLE MENTION QUESTION): What type of contribution(s) as listed on Show card F, do you think each role player should contribute?

Codes for question 25

Yes	1
No	2

List of contributions	
Do not know	0
Funding/money	1
Time	2
Expertise/skills	3
Information	4
Contacts	5
Other resources, i.e. place to meet	6
Nothing	7

Question 26: How strong do you feel each role player's contribution should be compared to the other role players in the same category?

Codes for question 26

Do not know	0
More than others	1
Less than others	2
About the same	3

Question 31: Do you feel that in general the climate/attitude in the Rustenburg platinum region is now more aimed towards cooperation?

Codes for question 31

Yes	1
No	2

Question 34: Would you just like to have a feedback session on the results of this study or would you prefer to have a feedback session and then to include a workshop session on the next steps to actually set up a forum?

Codes for question 34

Feedback session only	1
Feedback session & workshop	2

2. Open-ended questions where the responses were coded as closed-ended questions later

Question 10 (OPEN-ENDED QUESTION to be turned into Yes/No options when captured): Could you please list all the previous partners you have dealt with in the past 5 years?

Codes for question 10

Yes (dealt with them)	1
No (have not dealt with them)	2

Question 11(CLOSE-ENDED QUESTION, LINKED TO OPEN-ENDED QUESTION 10): I am now going to read through the mentions in question 10 and would like you to indicate whether you found the experience of working with each of these role players as mostly positive or mostly negative.

Codes for question 10

Neutral (this choice is not to be read out)	0
Positive	1
Negative	2

Question 12(OPEN-ENDED QUESTION to be turned into Yes/No options when captured): Please list all your social, economic and environmental needs/problems/issues and not just the ones you think are shared by the role players we looked at in the Rustenburg platinum region

Codes for question 12

Yes (listed as issue)	1
No (not listed as issue)	2

Question 13 (CLOSED-ENDED QUESTION, LINKED TO OPEN-ENDED QUESTION 12):I am now going to read back the needs you mentioned and could you please tell me which of these needs you feel, would be shared by at least most of the role players in the Rustenburg platinum region.

Codes for question 13

Do not know	0
Yes (shared by most)	1
No (not shared by most)	2

Question 14(CLOSED-ENDED QUESTION, LINKED TO OPEN-ENDED QUESTION 12): This time I am only going to read the needs you listed as shared back to you and ask you to rate them in order of importance. We shall only rate the top four.

Codes for question 14

First on list of priorities	1
Second on list of priorities	2
Third on list of priorities	3
Fourth on list of priorities	4

Question 27(OPEN-ENDED QUESTION to be turned into Yes/No options when captured): Are there any other hurdles that you are aware of from previous experience of working together that you experienced or heard about and that you have not yet mentioned?

Codes for question 27

Yes (listed as hurdle)	1
No (not listed as hurdle)	2

Question 28(CLOSED-ENDED QUESTION, LINKED TO OPEN-ENDED QUESTION 27): How difficult would you rate each hurdle (mentioned in question 27) be to overcome?

Codes for question 28

Do not know/unsure	0
Very easy	1
Easy	2
Difficult	3
Very difficult	4

3. Open-ended questions only

As these questions are open-ended questions, the categories and codes to be assigned was only determined once all the data had been gathered.

There are not just links between codes within a question, but also between questions.

Question 8: Besides the JDF I already mentioned are there any other big cooperative partnerships between any of the categories?

Question 16b: Based on the image/concept created in your mind in question 16a, please motivate why you chose mostly positive/mostly negative (or neutral for that matter)

Question 17: Would you have any improvements to the vision/concept created in question 16a?

Question 18 :On a practical operational level, how would you see the forum being structured?

Question 19: How would you see decisions being taken in the forum?

Question 20: Who would be the controlling authority in the running of this forum?

Question 21: If a dispute or conflict should occur in the forum, how would it be solved/ resolved?

Question 22: Are there any values that you feel should be there, to assist in the running of the forum?

Question 23: Are there any other basic rules that should be there to manage the forum once it is in place, which you have not already mentioned?

Question 24: What would you think the individual role player you represent, would be willing to contribute to the forum?

Question 29a: What would the business & labour sector gain from a forum?

Question 29b: What would the government sector gain from a forum?

Question 29c: What would the community gain from a forum?

Question 30: What of all the benefits you mentioned for your own sector in question 29, would be the benefit you most value/like to obtain?

Question 32: How long do you think it would take to set up a forum up to the point where it can start looking at solving its first need/issue/problem?

Question 33: If you feel that the scope of the forum should be broader than the Rustenburg platinum region, I would now happily note who else you feel should be included.

General codes used

Mostly Q	Gen. Codes	Categories/Themes
All	1	Other/miscellaneous/wow less
19-21	2	Local elected/ within local representative body/forum/consultation
19-21	3	Consensus/equal authority/no controlling authority
19-21	4	Subcommittee level
19-21	5	Vote (majority, quorum, 75% majority, etc.)
19-21	6	Weighting of priority of needs/compare problems/look at budget/common issues
19-21	7	Formal rules/guidelines/prior agreed constitution/rules/principles
19-21	8	Mediator/arbitrator
18-21	9	MANCO/EXCO
19-21	10	Chairperson/convenor
19-21	11	A leader/government to select leader
19-21	12	Authority/mandate/senior/representative have power

19-21	13	Local government/ municipality/IDP
19-21	14	According to contribution/power/power=say
19-21	15	Provincial government
19-21	16	Specialist//objective evaluator
19-21	17	Facilitator/unbiased driver/2nd opinion
19-21	18	Business (service providers/other big business/black business/Rust bus partners
19-21	19	Legal trust
19-21	20	Government (central, national)/some government-municipality
8	21	Aids cooperation/Aids initiative/commercial sex workers
All	22	Respondent had nothing to say or add
8	23	Local communities
8	24	Other forums/working groups
8	25	Mainly NGOs/Greater Rustenburg community foundation
17	26	Separate some role players/problem with categories of role players
17	27	Common areas/common objectives, not as common as we think
17	28	Current picture first/need analyses upfront/strategic assessment of area
17	29	Municipal IDP/mun has vision/not take over mun job
18	30	Vision/clear ideas/suggestions/draft resolutions/action plans/strategy/ progress discussed
18	31	Working groups/sub-groups/sub-clusters
18	31.1	Sub-groups around issues/problems/areas of concern
18	31.2	Sub-groups per individual organization
18	31.3	Cluster of similar organizations into a larger categories
18	31.4	Sub-groups per geographical area
18	32	Representatives/listing of actual role players
18	34	Size of forum
18	35	Meeting times
18	37	Society included under trad/ward councillors (municipality)/society already part of other group
18	38	Own plan/say what you are doing and get buy in from others
18	39	Information sharing
22	40	Credibility/legitimacy
22	41	Inclusiveness/contribution/participation/commitment/cooperation/unity/ team-work/collective effort
22	42	Respect/caring for people/passion for people/love
22	43	Honesty/be frank/integrity/ethics/morals
22	44	Openness/transparency/accountability/communication/de-politicise agenda/a-political/ownership of responsibility

22	45	Consistency/fairness/equality in benefits/democratic/all contributions equal/recognize contribution of each party/shared credit/community as whole must benefit/all voices heard
22	46	Trust
22	47	Shared goal/shared vision/common goal/common understanding of objective/organized/rules to set up boundaries
22	48	Mutual understanding/empathy/accept diverse goals/no right or wrong/ accept status of each entity/compromise/other viewpoints/constructive discussions/look further than self-interest/good behaviour/good attitudes/all people are unique/all people have skills/accommodate all cultures/listen & learn/less territorial/peace/flexibility
22	49	Delivery/achievement (goal attainment)/excellence/progress in forum/practical implementation
23	50	Participation voluntary/free association
23	51	Power (power higher up not disregard others/don't misuse power/must have mandate)
23	33	Feedback to mandate/reports to constituency
23	52	Rule rut/wound up in rules
23	53	Orderly meetings (have agenda/keep minutes/be on time/consistency)
24	54	Expertise/skills/knowledge/education/advice/training
24	55	Financial/money/economic leverage/grant
24	56	Labour/work/manpower/energy/effort
24	57	Networking/partnerships/contacts/relationship building
24	58	Time
24	59	Infrastructure/hospital/ambulance
33	60	Government departments (health/welfare/agriculture)
33	61	Other local municipalities(Brits/Moses Kathane/Moretele)
16b	62	Inability to solve problems/problem worse/politics between
16b	63	Achievable/reality/theory/ideal world
16b	64	Group bigger than indiv/bigger picture/bigger difference
16b	65	Duplication cut out
16b	66	Stay in business/only way to go/it works
29/30	67	Stable community/secure environment/country that works
29/30	68	Econ gain (lower wastage/share costs/production increases)
29/30	69	Conflicts/disputes
29/30	70	Lobby gov/mobilize gov/more efficient gov performance
29/30	71	Burden lighter/load lighter/less pressure
29/30	72	Service delivery (delivery of water/waste disposal)
29/30	73	Jobs/employment /work
All	74	Platform/base to
All	75	Sustainable development/progress

Some coding was also done on the thirty-four condensed principles to be found in chapter six. The principle number was simply used as its code.

4. Questions not coded and why

Question 2: Are there any role players that are not on the show card and that you feel should be added?

Question 3: Although I have already identified people I whish to interview under each group, where possible could you please give me the names of a contact person you think would be the most representative of each group?

Reason question 2-3 was not coded

Question 2-3 was just used to generate new leads and a decision was made not to capture or analyse them, unless there was more than 10 people who mentioned them.

Question 15: Now that we have discussed some shared social, economic and environmental needs, are there any other role players in the Rustenburg platinum region that come to mind and that you would like to add?

Reason question 15 was not coded

Question 15, just becomes part of question 2-7 and thus is coded indirectly

5. Codes (not part of specific questions).

Codes

Role players	Codes for smaller categories	Codes for broader categories
Business & labour		7
Mines	1	
Some big service providers	2	
Unions/labour	3	
Some JDF members	4	
Government (local)		8
Community		9
Environmentals & NGOs	5	
Local Rustenburg communities/ traditional authorities	6	

APPENDIX S

This is just one page of many, used as an example.

No	Qno	Responses/Quotes	Scat	Bcat	Code	Prin
1	17	Include prov gov	1	7	15	
1	17	Include nat gov	1	7	20	
1	17	Include other national initiatives (e.g. Rustenburg Aids forum)	1	7	24	
2	17	Respondent had nothing to add	6	9	22	
3	17	Respondent had nothing to add	1	7	22	
4	17	Separate business and labour (thus 4 categories)	1	7	26	
4	17	Will have to find real common areas (e.g. mines don't all have same incidence of aids and Xstrata has no air pollution)	1	7	27	20
5	17	Respondent had nothing to add	1	7	22	
6	17	Respondent had nothing to add	3	7	22	
7	17	Add strategic assessment of area, rooted through all 3 categories of role players	1	7	28	8
7	17	Get current picture (what needs to be looked at)	1	7	28	8
7	17	Rest of given vision fine	1	7	22	
8	17	Respondent had nothing to add, but iterated the importance of a common objective	6	9	27	20
9	17	Although the respondent felt mostly negative, he did feel the forum would create an instrument to deal with some issues.	1	7	1	
10	17	Respondent had nothing to add	1	7	22	
11	17	Separate mines and suppliers (each has his own focus)	1	7	27	20
11	17	Include provincial government	1	7	15	

APPENDIX T

THE RESEARCH PROBLEM AND HOW IT UNFOLDS THROUGH THE VARIOUS CHAPTERS

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8	Column 9
Chapter 1	Chapter 1	Chapter 2	Chapter 2	Chapter 3	Chapter 4	Chapter 5	Chapter 6	Chapter 7
Research problem	*** Research goals**	**Broad categories of interview questions**	**Theories**	**Literature review**	****Actual questions asked**	**General analyses**	***** Principles analysed**	**Con-clusions**
How can a bad history of cooperation and collaboration in the Rustenburg mining industry be overcome in order to increase the odds of establishing a successful integrated, cooperative and unified partnership?	Goal 1	No direct questions asked, link to theories deduced-see chapter 6	Link *functionalism & exchange* theories in general to partnership formation.	Goals scattered throughout chapter – actual cooperation, integration and cohesion aspects pointed out in actual chapter	Link deduced	Goals scattered throughout chapter – actual cooperation, integration and cohesion aspects pointed out in actual chapter	Principles formulated from functionalism and exchange theory (goal 1) as well as from other literature research on what needs to be done to ensure a strong and stable partnership (goal 2). These principles then tested where possible on Rustenburg platinum case study.	See if goals have been addressed and discuss recommendations in this chapter.
	Goal 1 & 2	Who are the individual role players in each category that make up the sub-units of the whole/ partnership?	*Functionalism*- Identifying the sub-units of the system that need to cooperate to make up a unified whole.		1-2 8-11 33			
	Goal 1 & 2	What is their attitude towards a joint forum and do they foresee another form of cooperation? What are the hurdles that need to be overcome in order to ensure cooperation?	*Functionalism & Exchange*- for the parts to work in harmony, there have to be cooperation and for that a positive attitude is needed & previous hurdles need to be avoided.		4-5 6-7 16-17 27-28 31			
	Goal 1 & 2	What are the social, economic and environmental interests/ needs of each individual role player that will have to be met in order for the social system to survive and for sustainable development to occur?	*Functionalism & Exchange*- The needs of a social system is to be met if it is to survive. Role players may have the resources to help each other fulfil their needs, i.e. need to cooperate and collaborate.		12-14			

How can a bad history of cooperation and collaboration in the Rustenburg mining industry be overcome in order to increase the odds of establishing a successful integrated, cooperative and unified partnership?	Goal 1& 2	What are the expectations the role players have of what the partnership would mean to them?	*Exchange-* Indirect question of what will you expect to get from this union?	Goals scattered throughout chapter – actual cooperation, integration and cohesion aspects pointed out in actual chapter	29-30	Goals scattered throughout chapter – actual cooperation, integration and cohesion aspects pointed out in actual chapter	Principles formulated from functionalism and exchange theory (goal 1) as well as from other literature research on what needs to be done to ensure a strong and stable partnership (goal 2). These principles then tested where possible on Rustenburg platinum case study.	See if goals have been addressed and discuss recommendations in this chapter.
	Goal 1 & 2	How do the role players envisage the functioning of the partnership with regard to size and representation, how it would be run, how it would be funded and so forth?	*Functionalism & Exchange-* Structure of forum to function in unity & resources needed.		18-21			
	Goal 1 & 2	What are the broad ideas of some of the values and norms that would be needed for the partnership to function, once it is in place?	*Functionalism & Exchange-* Set of values & norms needed for partnership to function in unity. Will also need norms that govern the exchange process.		22-23			
	Goal 1 & 2	What would the role players see as the next step in forming a partnership and what would they be willing to contribute to ensure the optimum functioning of the partnership?	*Functionalism & Exchange* – Asking role players what they are willing to put in for optimum functioning.		24-26 32 34			
	Goal 3	How did the partnership progress during the first stage of implementation?	*Functionalism & Exchange-* Is the partnership functioning optimally at all. Look at the exchange processes in the first stage.		Follow-up study (informal conversations)			

***Goal 1**: To determine how the functionalism and exchange theories could be applied as a practical guide in partnership formation.

Goal 2: To determine what can be done to optimise the harmony and unity (integration) as well as the stability and maintenance (cohesion) of a partnership in the Rustenburg region.

Goal 3: To briefly explore the course of the partnership, once the process had commenced in the Rustenburg region.

****Questions** 3 & 15 not coded, thus not listed in table (see codebook for reason-appendix R)

*****Principles**: See chapter six for summary of principles.

APPENDIX U

COMPLETE LIST OF CATEGORIES FOR BOTH THE NEEDS/ISSUES/PROBLEMS AND HURDLES THAT NEED TO BE OVERCOME (IN ALPHABETIC ORDER)

Social, economic and environmental needs/issues/problems
Black economic empowerment
Business development/entrepreneurial training
Care for frail/hospice needs/home-base care/old age homes
Cooperation
Counselling facilities not enough
Crime/safety/security/theft
Cultural conflict
Drinking/drugs (substance abuse)
Economic development
Education/lack of qualified science & math tutors/education for disabled/young kids/school drop outs/training
Electricity
Exchange rate
Gender issues
Health problems/health problems general
HIV aids/availability of antiretroviral medication/orphans/aids orphans
Houses cracking from blasting
Influx/migration
Informal housing/housing need/upgrade squatter camps/rapid urbanisation/lack of housing
Infrastructure/roads/logistical/schools
Job security
Lack of capacity to mobilize
Lack of control (responsibilities not assigned)
Lack of medical facilities/clinics/health services/hospitals
Lack of shopping centres
Lack of skills (technical & other)
Lack of social places to relax/places of leisure/entertainment centres
Lack of sports facilities/lack of sport development
Land attainment/availability of land
Land prices/property prices

Language barrier
Non-payment for services
Pollution (air or noise or soil or water/water not clean/groundwater impact)/littering/dumping stuff
Poverty/financial problems (cash loans)
Prostitution/sex workers
Sanitation/(waste disposal/management/removal)
Service provision/bad service
Sexual abuse
Sexually transmitted diseases
Single sex hostels (families not together)/social breakdown of families/social breakdown of communities
Sustainability of region once mines close/real sustainable development/rehabilitation of mining areas/funding for sustainable development
Teenage pregnancies
Unemployment/jobs/job creation
Water/water provision/supply

Hurdles to be aware of
Agenda in meetings not followed (side tracked)
Attitudes
Big brother is watching feeling
Collective bigger than individual players
Communication
Competitive advantage/competition/confidentiality/information private/business secrets/lack of information/hide information
Contingency (different people every time/consistency)
Creation of expectations
Cultural differences/traditional differences/language differences
Ego
Equal contribution, not always equal benefits
Expertise/lack of skills (including management skills)/combination of skills on forum
Fear of loss of something (power/money)/fear of power differences
Forum long term, not short term
Funding/finance/budget
Government caught in own red tape
Hidden agenda/political agenda/agenda different

Lack of control (responsibility not assigned)/lack of sense of direction
Lack of cooperation/contributions/reluctant to work together/lack of capacity to mobilize/lack of commitment
Lack of council to take lead
Lack of understanding between categories
Logistics (venue to meet)/other logistical problems/transport to get to meetings
Mandate/individuals on forum who have power to make decisions/lack of empowerment/power of authority
Marketing of forum/who introduces concept of forum to rest
Measure results
Misunderstanding of goals/lack of understanding real issues/goals not as common as we think/confusion of indiv obj and forum obj/conflicting interests/ideas differ
Not complying with agreed decisions/compliances to promises made
Own objectives/self interest/my problems more important
Perception that mines are there to deliver/expect business to have resources to give/wealth differences/perceptions in general
Power/authority/who is in control/power relations
Real sustainability/long term development
Respect
Role clarity/responsibilities/assignment of tasks a problem/commitment to tasks assigned/understanding of roles/capacity to deliver
Size of problems-where to start & handle them
Society feels they deal with big corporate world, not indiv
Time and availability/schedules/not on time/attendance/time management/forum should take 100% of your time/secretariat that gives 100% of time to forum
Time between decision & action taken/delivery on time/deliver and not just talk/focus not on delivery, but grandstanding
Transparency
Trust
Uncertainties (what are we in for)
Who to talk to? /don't know role players (pick wrong ones)

Dr.ME Nelson, Michael Villa 4, Michaellaan 3,
Potchefstroom, 2531
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Hiermee verklaar ek dat ek die proefskrif deur Me. Michelle Boehme. getitel

"Towards a tripartite partnership for sustainable development in the Rustenburg platinum region"

taalkundig versorg het.

ME Nelson
13 Oktober 2005

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