**CHAPTER 1**

**INTRODUCTION**

**1.0 Introduction**

This chapter sets the tone for the basis of this study as it gives a sound background of development challenges of Zimbabwe and how these have impacted on Lupane district in particular. The background traces the development efforts that the Government of Zimbabwe made since 1980 in trying to improve the livelihoods of the citizens and how these efforts failed to achieve the desired results. The chapter gives a demographic profile of Lupane district as well as the development challenges faced by the communities in the district. The problem statement which motivated this study is outlined leading to the research objectives and research questions which the study sought to answer as well as the justification of the study. The delimitations of the research are included in this chapter where the study is limited to Lupane district which provided an appropriate area to carry out the study. The chapter concludes by outlining some limitations that were likely to militate against the study including the counter measures.

**1.1 Background**

Since independence in 1980, the Zimbabwe government has over the years come up with various models of development to uplift the standards of living for various communities, however, these have not realised the needed impact. Matunhu and Mago (2013) noted that programmes such as the Growth With Equity (GWE) in 1981, the three-year Transitions National Development Plan in 1982, the Prime Minister’s Directive of 1984, which aimed at stimulating development at grassroots levels and the First Five-Year national Development Plan in 1986 were implemented as part of improving lives of the communities in the country. The policies failed to eradicate rural poverty and underdevelopment in the country and this led to yet another development initiative, the Economic Structural Adjustment Program (ESAP) of the 1990s. Mago (2010) explains that the ESAP was a package of policy prescriptions administered by the IMF and World Bank and imposed on the debt ridden countries which was based on trade liberalization, price decontrols, currency devaluation, public deficit reduction, subsidy reduction or elimination and privatization. The programme was a disaster and it resulted in serious economic problems for the country. Matunhu and Mago (2013) posit that in a bid to mitigate the effects of the ESAP, in 1997, the Zimbabwe Programme of Economic and Social Transformation (ZIMPREST) was adopted as the successor to the ESAP. This was seen as a ‘homegrown’ programme for poverty reduction in the country. The programme was short-lived because of funding constraints, and it did not reduce the poverty levels in the rural areas.

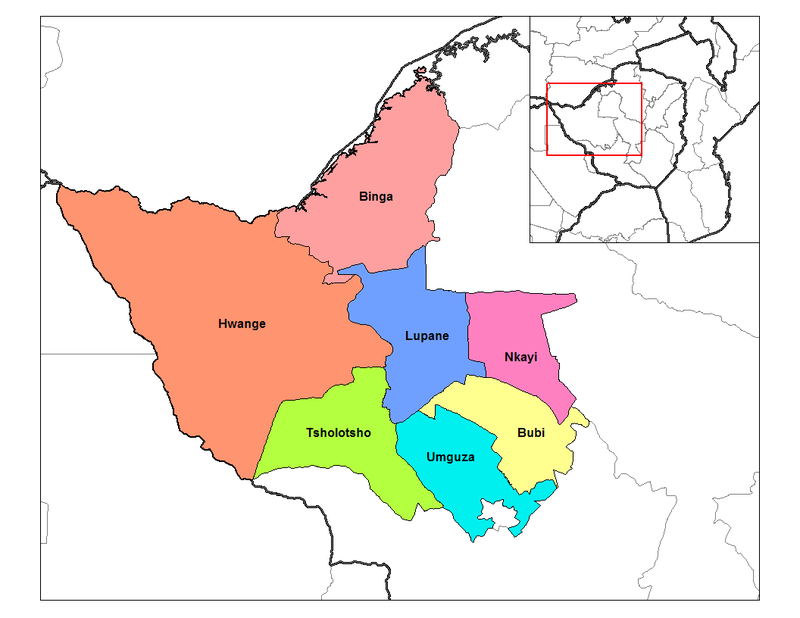
These were good strategic plans or blue prints which were intended at ensuring development on both the local level as well as at the national level, however, the implementation of these strategies did not achieve the desired results. To this day, the search for development continues with various initiatives being invented to try and stimulate local economic development within the various communities and Lupane district being one such community. Murombo (2010) notes that Zimbabwe is rich in minerals such as gold, platinum, diamonds and other natural resources that include game, tourist attraction centers and land. Martin & Taylor (2012) also submits that these resources have a potential to contribute in a big way to poverty eradication and uplift the social and economic wellbeing of communities particularly in developing countries like Zimbabwe and in Lupane district in particular. Bryan & Hofmann (2007) agree with the assertion as they advance that natural resources can be used for developing industry, employment creation, capacity building, poverty eradication and community empowerment which subsequently leads to improvement of people’s livelihoods. They further address the issues of harnessing mineral resources for economic development and community empowerment which is central in improving the quality of life for all citizens.

Sadly, in Zimbabwe, and in Lupane district in particular, the communities are wallowing in poverty despite being endowed with various natural resources which have a potential of unlocking the development puzzle for the benefit of these communities. Mazula (2000) advances that, to maintain political stability in a country and achieve sustainable development, there is need for positive and rational economic intervention that creates a semblance of equity and reduces poverty by augmenting incomes of economically marginalized groups.

In a bid to address the problems of poverty and underdevelopment in Zimbabwe, the government came up with the empowerment policy where it enacted the Indigenization and Economic Empowerment (IEE) Act (Chapter 14:33) of 2007. This act requires that all foreign owned companies were to cede 51% of their equity to locals and remain with 49%. This policy was seen as the best way to ensure that the majority of Zimbabweans are included and participate in the mainstream economy. The government sought to achieve the empowerment effort through enabling the communities to acquire equity in the businesses operating within their communities through CSTOS. These CSOTS were established through Section 14(b) of Statutory Instrument 21 of 2010. Mabhena & Moyo (2014) argued that, in Zimbabwe, CSOTS have been used as agents for broad based social and economic empowerment for communities. The implementation structures of these CSOTS were clearly outlined in the Statutory Instrument where almost each district was expected to have a CSOTS.

Lupane District is in Matabeleland North Province which is bordered to the east by Nkai, North by Gokwe and Binga, west by Hwange and Tsholotsho, south by Bubi and Umguza districts as shown on the map below. The district is divided into 28 wards and has an estimated population of about 100 000. The district boasts of large Coal Bed Methane (CBM) which is estimated to be around 40 trillion cubic feet, timber and wild life just but to mention a few resources. This figure below shows the geographic location of Lupane district:

**Fig 1: Geographic Location of Lupane District.**



The enactment IEE Act and subsequent establishment of the CSOTS was done during the period of political bickering and polarization in Zimbabwe. These noble programmes were therefore subsequently viewed as means of winning votes by ZANU PF. These CSOTS have been established in various districts, Lupane district inclusive. The Lupane CSOT was launched in 2011 and the aim was to ensure that communities derive benefits from the proceeds of the resources being exploited in the district so that it can ensure sustainable development and LED. A pledge of $1million was made by China Africa Sunlight Company which is the foreign-owned company operating in the district, however, the company is yet to honour its pledge.

In Lupane district the communities are faced with a host of problems that range from poverty, lack of development, inadequate economic and social infrastructure just but to mention a few. Poverty levels in Lupane district remain high despite the fact that the district is endowed with natural resources like timber, wild life coal and gas deposits which can be exploited for the benefit of the district. There is an imbalance between the wealth that leaves the community and the wealth that accrues to the community which consequently could be a source of conflict. The district is also prone to draughts there by compounding the already existent problems. The other major problem has been the opaqueness of the implementation of the CSOTS where in some cases information about activities of the CSOT has not been made public to the generality of Lupane community. There are also sentiments from critiques of the programme that it is not benefiting the targeted communities since its launch and they view it as meant to benefit a few elites in the Government or those politically connected to influential politicians.

**1.2 Statement of the Problem**

On the launch of the Lupane CSOT in 2011, there were hopes that this was going to bring the much needed LED in the district which would subsequently lead to poverty eradication hence sustainable development but this has not been the case. Nothing has been realised from the scheme three years down the line. This therefore has led to the problem of uncertainty as to whether the CSOT is a viable option for LED in Lupane district.

1.**3 Research Objectives**

The study seeks:

* To establish if communities have adequate information about these CSOTS and ascertain if the generality of people in these communities are benefiting from these CSOTS.
* To establish whether the CSOTS are relevant to the development challenges being faced by communities in Lupane District.
* To assess if the CSOTS are being funded as pledged and managed in an ideal way.
* To assess whether the CSOTS are a viable option for sustainable human development in rural communities leading to LED.
* To suggest ways in which CSOTS could be best used for the interest of the public.

**1.4 Research Questions**

The research sought to answer the following questions:

* How relevant are the CSOTS in addressing the development challenges being faced by communities in Lupane District?
* Are these CSOTS being adequately funded?
* How are these CSOTS being managed?
* Do the various communities in Zimbabwe have adequate information about CSOTS?
* Is the generality of the population benefiting from the CSOTS?
* Are these CSOTS a viable option for LED?
* Can the CSOTS lead to sustainable development?
* How can the CSOTS be effectively and efficiently utilized?

**1.5 Justification/Significance of the Study**

Justification of the study is the rationale or significance for undertaking the study (Schwandt 2007). So much effort has been made by various policy makers and scholars to articulate the issue of CSOTS in various forums and institutions. This study, however, remains significant as it is hoped, will contribute significantly to the body of knowledge with regards to the concept of CSOTS not only their applicability in Zimbabwe but also the world over as a widely used concept and model for development. The fact that the study will broadly look at the concept and try to look at its applicability and relevance in the current circumstances in Zimbabwe will therefore serve to demystify some of the misconceptions that have manifested amongst the various stakeholders and it is hoped that the concept will get a better appreciation from these stakeholders.

Furthermore, the principles of LED will also be looked at in broader terms hence the link and contribution of the CSOTS towards LED will be exposed. It is therefore hoped that this exposure will indeed go a long way in assisting in the policy formulation towards the realization of sustainable development. This will also enlighten the various LED actors with some information with regards to implementation of some programmes towards achievement of LED. It is hoped that this study will create zeal on the part of various stakeholders involved in LED to redouble their efforts towards the success of the development programmes in their communities.

The study will further strengthen the understanding of the policy position of the empowerment thrust in Zimbabwe and help to project the concept of CSOTS as a pro-poor approach meant to benefit the people contrary to being a political gimmick. A new paradigm on the development efforts needs to be adopted where communities need to be on the forefront of development endeavors in their areas than being passive recipients of aid from Non-Governmental Organisations as they have been reduced to. This study will be significant as it will come up with action prescriptions that could be adopted by the communities in order to ensure sustainable development in their areas.

**1.6 Delimitation of the Study**

The concept of the CSOTS which are part of the Indegenisation and Economic Empowerment drive is a national programme which is spread to all districts of Zimbabwe. The study however will be limited to Lupane District in the Matabeleland province of Zimbabwe which provided an ideal area of study as it possesses both mineral resources and other natural resources such as land, forests and game. These resources have been exploited in varying degrees by conglomerates for a long time although the concept of CSOTS came into being recently. Communities have participated in a number of community development programmes in partnership with several development partners. This study however will be limited to the CSOTS as a viable means for sustainable economic development which can eradicate poverty and lead to improved live style of the community.

**1.7 Limitations**

The study is being carried out on the backdrop of a number of factors which may militate against the researcher obtaining adequate and balanced information.

**1.7.1 Political polarization**

Political polarization in Zimbabwe has seen people having ideological differences where they are divided on lines of being revolutionary and neocolonial perspectives. Those from a revolutionary persuasion are in total support of radical policy shift that are grounded on the need to indigenize, empower and develop while those viewed as neocolonial have a conservative approach and talk of a gradual approach to Indigenization and prefer foreign direct investment and structural links with multilateral financial institutions. These divisions therefore are most likely to be a limiting factor in obtaining independent information with regards to performance of the CSOT in Lupane where in all cases those in support and those opposed will be doing so on polarity bases.

**1.7.2 Solution**

The research will therefore endeavor to set guidelines and clearly outline the essence of the research in a bid to channel respondents to be as open and objective as possible.

**1.7.3 Political sensitivity**

The issue of political sensitivity may affect the study in that some of the informants may not respond freely fearing to be perceived as being unsupportive of the government initiatives and victimization. Some people that could have benefited from the ZANU PF government speared headed programmes are most likely not to respond objectively to questions that may seem to call for responses that seem to show the weaknesses of the government funding schemes. This is more so in view of the recently held elections. Those who are no not ZANU PF are most likely to be more critical of the programme or shy away from giving information in fear.

**1.7.4 Solution**

Confidentiality of information will be guaranteed where this information will be used solely for research purposes. Anonymity of the respondents will also be ensure so that they will contribute freely without fear.

**1.7.5 Time and Resources**

The writer is a full time employee of the Zimbabwe National Army (ZNA) therefore time and resources could be a limiting factor in obtaining adequate information from the various people on the ground. The fact that the researcher has to strike a balance between his duties and the studies means he may not be able to cover the district adequately.

**1.7.6 Solution**

I may therefore consider the use of emails as a viable option of reaching as many respondents and save time. I will also schedule my visit during council meetings when all ward councilors are available.

**1.8 Chapter Summary**

This chapter has set the tone for this study where it covered the background of development challenges in Zimbabwe and the various efforts that have been made in addressing these challenges to no avail. The background ensured that the real problem which motivated this study is contextualized through the statement of the problem which led to the set out of the research objectives. Research questions which are designed to get more information were also outlined. The chapter also lays out the significance of this study, its delimitations as well as limitations that could militate against the study and concluded with measures to counter these limitations.

**CHAPTER II**

# LITERATURE REVIEW

## 2.0 Introduction

This chapter highlights the specific arguments, opinions and ideas that various authors and scholars have come up with pertaining to the model of CSOTS and their importance to LED. It starts by looking at the origins of the development challenges being faced by rural communities in Zimbabwe with emphasis in the district of Lupane and the origins of the CSOTS model as well as the regulatory framework and management. These varied arguments and ideas contained in this section are fused in such a manner that juxtaposes different viewpoints with those who view the CSOTS as ideal with those who are critical of them. Finally, the chapter looks specifically at the arguments for the refinement of the CSOTS and also proffers guidelines to help policy makers implement these rationally and open mindedly. By and large, this chapter seeks to explain what has been deliberated in the field around the CSOTS model and also the weaknesses, gaps and/or areas that need further study in order to improve the implementation.

**2.1** **Development Challenges in Zimbabwe**

According to Mazula (2010), following Zimbabwe’s independent in 1980, the new government introduced socialist state capitalism, where the major thrust was in rural development, education, health and family. She further submit that despite the government thrust on development, there remained the problem of white commercial farmers who continued controlling about half of the total agricultural land which was virtually all of the best farming land. The same inequalities and disparities of wealth deepened to the benefit of the white community, which continued to play a major role in the private sector where they controlled the means of production. Riddell (1980), reported that there was an acute landlessness in the rural areas and that up to 40% of the young men aged between 16 and 30 years were without land at a time when up to 60 % of the European land was being under-utilized. With such figures of deprivation, poverty levels were bound to rise despite the government’s efforts of development.

The 1980s were a decade of poor economic performance, with manufacturing growth averaging a mere 2.8% per year and Mazula (2010) advance that even the service sector started to decline in transportation, air and freight and telecommunications, all of which were critical to a land-locked economy. She further notes that poor macro performance was largely caused by continuation of the inward looking policies and a highly regulated environment. In the early 1980s, Zimbabwe’s GDP growth was roughly the same as the world average; however, export growth fell and was negative from 1980 to 1992. She sums it up by submitting that by the end of 1992, manufacturing was 25% of GDP which was a 5% decline from 1990. Resultantly, Zimbabwe dropped from being a lower middle income country in the early 1980s to an International Development Association (IDA) eligible country by 1992. IDA is a World Bank loan scheme meant to eradicate poverty in poorest countries at concessionary rates hence this meant that Zimbabwe was one of the poorest countries that were then being bankrolled by this scheme.

Matunhu (2012) explains that in 1990, the Indigenous Business Development Centre (IBDC) was formed to promote black entrepreneurship by allocating state assets to black Zimbabweans on preferential terms; however, rural poverty reduction was not a priority area of the IBDC. Mazula (2010) also notes that with the economy in crisis, in 1990 the government adopted an ESAP sponsored and largely driven by the Bretton Woods Institutions. This entailed Trade liberalization and a host of other components of the reforms; however the burst of import activity and demand for financial capital by the private sector was not accompanied by reduction of government expenditure. Mazula (2010) notes that the high imports, price rises that followed price deregulation and tariff surcharges resulted in massive devaluation in 1991, resultantly; the official exchange rate fell by more than 40%.

Mazula (2010) further submits that between 1993 and 1997 high inflation, high government expenditure; decay in social and physical infrastructure became visible and political agitation began through the trade unions as labor became dissatisfied with extremely low wages. This is the period of stay-aways and food riots that gripped the country and this saw Zimbabwe Congress of Trade Unions (ZCTU) sponsoring the formation of a political party; the Movement of Democratic Change (MDC). According to Matzyszak (2011), a nationalist lobbying group for emerging black business interests, the Affirmative Action Group (AAG) was formed in 1994 with the aim of pressing harder for the transformation of the economy where it felt the IBDC and other groups promoting indigenization had failed. He submits that unfortunately, the AAG also failed to prioritize rural poverty reduction in the country. As a result, rural communities remained in poverty and under-developed, (Andreasson, 2010). The underdevelopment in rural areas has remained so despite the fact that these areas are endowed with natural resources most of which are being exploited by conglomerates for selfish gains without benefiting the communities.

The country has since then moved to and fro in a bid to come up with a suitable programme to promote development particularly in rural areas. This therefore led to the crafting of the Land Reform Programme and the recent enactment of the Indigenization and Economic Empowerment programme. Matunhu (2012) contends that while the policy represents a very real opportunity for meaningful and lasting development for rural communities, it does not take on board their immediate developmental challenges. It is therefore important for the government to understand the nature of development challenges of communities in order to have a lasting sustainable development programme.

**2.2** **The Concept of Local Economic Development**

Local Economic Development as defined by the World Bank (2010) is an approach towards achieving competitiveness, job creation and poverty alleviation in a given area. It is that development that places emphasis on a local area and is spearheaded by the local communities in partnership with development partners such as non-governmental organisations and private sector. Swinburn (2006) defines LED as strategically planned, locally driven partnership approach to enabling employment growth, poverty reduction and quality life gains through improved local economic governance.

The purpose of LED as advanced by Swinburn (2006) is to build up the economic capacity of a give area in order to improve its economic prospects and the quality of life for the citizens. It is an inclusive and participatory process by which the public, business and non-governmental sector partners work collectively to create better conditions for economic growth and employment generation. The concept of LED has become popular in most if not all developing countries and it is a phrase used in place of community development. Clark (1997) advances that LED came into the spotlight due to the inability of central government to respond in a way that directed growth to declining cities and regions. LED therefore was promoted as a possible solution to local problems where local authorities come up with their own strategies meant to solve area specific problems.

2.3 **Strategies of LED**

There are several LED strategies that when adopted by local authorities can work out ways of attracting investment to grow the local economy. These strategies include infrastructure development, business development, work force development, community cash flow development and regional collaboration (Wisconsin Economic Development Institute 2003).

2.3.1 **Infrastructure Development**

Infrastructure refers to physical infrastructure which is critical for development to take place. Local authorities should adopt strategies to enhance new and old infrastructure to support desired LED. According to Blair (1996), for LED to succeed, there is a requirement for certain infrastructural services and other socio economic capital to be in place. Local authorities play the developer role to provide basic infrastructure to stimulate development. The provision of infrastructure is very crucial in attracting investors. If infrastructure is available, it entails lower investment costs and more profits on the part of the investor.

To achieve this power, local authorities can engage in Public-Private-Partnerships (PPPs). These PPPs will bring locally available resources together with external resources so that they can be utilized for specific interventions in selected sectors and sub-sectors of the local economies as prioritized by local stakeholders. According to Parnelle and Pieterse (1999) the greatest asset of the poor is their capacity for labour, and infrastructure development provides employment for most people thereby reducing the incidences of poverty. Such infrastructure as public utilities, transport infrastructure, communications infrastructure, and social infrastructure should be developed in order to enhance inclusive and participatory LED.

2.3.2 **Business Development**

Business development is the cornerstone of a community’s economic development program and is where the most resources should be directed. According to the Wisconsin Economic Development Institute (2003), business development is a mix of three primary activities that are business retention and expansion, business attraction and new business or entrepreneurship development. All are important to a community’s healthy business climate and diversified business base. The business retention and expansion are programmes that are designed to support existing businesses and prevent them from leaving the community. Businesses are the foundation of local employment opportunities and stabilize local economic base as noted by Willis (2005). Local authorities can adopt the retention strategies by responding to the needs of the businesses and remove obstacles that hinder growth of these businesses.

2.3.3 **Work Force Development**

According to Bingham and Mier (1993), education strengthens the human capital and hence long-term productivity and the incomes of the people. Workforce development is a critical component in any LED effort. According to Forman & Mooney (1999), workforce development includes education reform, skill development for displaced workers, on-the-job training, and welfare-to-work programs to help people become economically self-sufficient by removing barriers, building skills, and meeting the individual’s basic needs.

According to the Wisconsin Economic Development Institute (2003), if a skilled labor supply, educational institutions or programs to train the workforce are missing from a local community’s asset base, growth will be stifled and options to attract desired businesses will be limited. Communities need a good workforce development program in place to stay competitive, keep existing businesses strong, to keep young people in the community and to raise residents’ standard of living through higher-skilled jobs. Willis (2005), argues that employers need access to good workforce development and training programs to become more competitive, increase productivity, retain workers, and to improve their attractiveness to prospective employees. Companies also need a trained workforce to be able to expand or relocate. Local authorities need to have a pool of skilled manpower in order to be able to attract business. Failure to have skilled manpower may result in the exclusion of locals from employment opportunities and end up importing labour.

2.3.4 **Community Cash Flow Development**

In today’s global economy, the economic health of a community can become unstable if there is an imbalance between the amount of local income and wealth that leaves a community. Money invested in a local community generates more economic activity creating a multiplier effect which enhances local business industry.

Pulver (1986) notes that a comprehensive LED planning requires communities to look beyond a “quick-fix” type of economic development strategy, and adopt a long-term investment strategy based on diversification of the economic base. Conducting an impact analysis of various types of businesses and industries can help guide the community towards strategies that are suitable, feasible, and economically healthy for that community. The model of CSOTS is one such endeavor towards achievement of a healthy community cash flow.

2.3.5 **Regional collaboration**

Wisconsin Economic Development Institute (2003) defines collaboration as a high degree of commitment to working with others. It goes far beyond cooperation, which features mutual respect and a laissez faire approach to development. Collaboration even goes beyond coordination, which features partnering that creates specific gains for each partner. Collaboration features a long-term investment of human and economic resources in building a total result that is greater than the sum of its parts.

Regional collaboration entails that communities working together across political boundaries, a situation which is essential for successful economic development in today’s business world. Since people, dollars, goods and services are all very mobile, the challenge to local authorities is to form effective regional coalitions that develop, support and promote common economic objectives. Local authorities can adopt this strategy such as the twinning arrangements of certain municipalities. This has a potential of enhancing LED hence making development inclusive and participatory.

2.4 **LED application**

The applicability of LED varies from one area to another. The success of LED hinges on a number of imperatives that are drivers for development. The most important issue is to carry out a thorough assessment of the local economy whereby there should be adequate understanding of the structure of the economy with the aim of creating economic profile. An analysis of the Strengths, Weaknesses, Opportunities and Threats (SWOT) of the area chosen should be carried out in greater detail. Allied to this is the need to have an adequate assessment of local resources which are the main drivers of development in any given area. These resources include social, financial, human and physical resources. There has been an argument however that LED has become more rhetoric than a reality since this concept has become a buzz word in many developing countries without significant action on the ground.

2.4.1 **South African Case**

Trah (2004) advances that particularly in South Africa, the country is struggling with the concept of LED as it appears that there is no consensus on what LED is and what it is not. He further submits that the lack of conceptual clarity leaves the various LED actors confused and unable to develop and implement an effective and an efficient LED strategy. Trah (2004) summarizes it by submitting that the discussions around LED are often charecterised by real or perceived conflict between a focus on poverty alleviation and a focus on the competitive advantage of the local economy as a whole.

Along with the conceptual confusion, Trah (2004) submits that goes with lack of understanding or agreement on which the LED actors are as well as their specific roles. He posits that the constitutions mandates the Local authorities with the responsibility for LED hence there is no clarity between strategic and implementation roles, resulting in these local authorities being solely responsible thereby alienating or ignoring other important partners such as business and civil society organizations. This obviously is against the letter and spirit of LED approach which stresses inclusivity where all actors are supposed to be working in partnership to ensure LED. It is further argued that local authorities alone cannot adequately drive LED since they are not best equipped and do not have capacity for such efforts.

2.4.2 **The case of** **Singapore**

Singapore is one country that has recorded economic growth at national level which can be traceable to local level economic development. According to the World Bank (2011), LED is spearheaded by the Singaporean Economic Development Board (EDB) which was set up in 1961 to facilitate a self sustaining enterprise system. EDB is a lead agency that plans and executes strategies to sustain Singapore as a global hub for business and investment. The agency’s approach to business and LED is to work with business to upgrade value creating operations across manufacturing and other internationally traded services.

2.4.3 **The case of Yemen**

The LED application was assessed in the cities of Mukalla and Hodeidah which according to the World Bank (2011) was supported by the Cities Alliance Grant and the Port Cities Development Project. It was realised that the LED strategies provided an excellent models of how to apply and integrate City Development Strategies methodologies into long term local economic development efforts. These strategies were developed around an in-depth assessment of each city’s economy and endowments, participatory consultation with private sector and other development partners, development of a comprehensive master plan and preparation of a multi-year capital investment plan. It is advanced that these strategies are clearly articulated and well researched and were adequately financed by the Cities alliance and World Bank.

2.5 **Management of Natural resources for LED**

Mabhena & Moyo (2014) assert that Africa is characterised by high levels of poverty and underdevelopment in spite of the abundant natural resources. These natural resources are however exploited for the benefit of rich countries through the multinational companies. Martin & Taylor (2012) however assert that these natural resources have a huge potential of significantly contributing to poverty eradication, social and economic development. Bryan & Hofmann (2007) agree with this assertion as they advance that wealthy realised from the exploitation of natural resources must be used for broad development purposes and improve the lives of citizens. They further assert that if properly managed, proceeds from the exploitation of natural resources could help alleviate poverty and ensure development in many developing countries which are currently on the bottom of the development index internationally. According to Bryan & Hofmann (2007), such countries like Australia, Canada and Norway are typical examples of countries that have used such proceeds from natural resources for national development and these countries are guided by principles of accountability and transparency.

2.5.1 **Community Empowerment Schemes and LED**

So many countries have embarked on community empowerment programmes in order to uplift and empower communities to take charge of their affairs as a way of addressing imbalances created by colonial ills. Pedro (2005) advances that in Africa, the mining thrust should zeroed on empowering rural communities located in the mining regions so as to achieve sustainable development. In Tanzania, the diamond mining giant De Beers, have partnered with the government, NGOs, development partners and communities to establish the Mwadini Community Diamond Partnership as explained by Wise & Shtylla (2007). They further explain that the purpose of the initiative is to come up with a viable and potentially transferable development model for uplifting the lives of rural communities located around the mining areas at the same time exploring alternative livelihoods project.

In South Africa, the affirmative action through the Black Economic Empowerment (BEE) has seen a number of community empowerment schemes taking effect. The Anglo-American Case Study (2011) advances that the Anglo-American mining giant implemented an empowerment programme in 2010 where a dedicated unit called Anglo Zimele was established with the aim of addressing the challenges of business development as well as community empowerment. Wise and Shtylla (2007) further submit that the Anglo-American Zimele programme aimed to achieve large scale impact by investing in and supporting black-owned and managed businesses. Allied to this is the Impala Bafokeng Trust (IBT) which was a land mark BEE transaction in 2007 between the Royal Bafokeng Nation (RBN) and the Impala Platinum Holdings Limited (Implats) which focuses on education, health, enterprise development, capacity building as well as sport and recreation, (IBT Annual Report 2011). From the foregoing, it is quite apparent that mining can play a crucial role in community development and contribute to LED.

In the case of Zimbabwe, CSOTS have been seen as one way of promoting LED since the local communities will be directly benefiting from the proceeds of the resources found or being exploited by businesses in their locality, (Mabhena & Moyo 2014). Maodza (2012) explains that the CSOTS were launched by the Zimbabwean government in order to empower the Zimbabweans and to address imbalances that were created by colonial ills.

2.5.2 **Framework of Empowerment in Zimbabwe**

In Zimbabwe, empowerment is enshrined in the Indigenization and Economic Empowerment Act (General Regulation, 2010). According to Matyzak (2012), advances that the legal framework stipulates that all non-indigenous companies are required to achieve the Indigenization quota by disposing part of their shares to the locals. Murombo (2010) explains that the Indigenization and Economic Empowerment Act (IEE Act) (General Regulation, 2010) provides that:

It is the objective of the Government [of Zimbabwe] ---- to secure that-

(a) at least fifty-one percent of the share of every mining company which on or after the fixed date, is engaged in the extraction or exploitation of any one or more strategic energy minerals, shall be owned by the State, of which shares-

i. twenty-five per centum shall constitute the non-contributory interest of the State; and

ii. twenty-six per centum shall constitute the contributory interest of the State

(b) at least fifty-one per centum of the shares of every mining company which on or after the fixed date, is engaged in the extraction or exploitation of any precious metals or precious stones, shall be owned by the State and indigenous Zimbabweans, of which shares-

i. twenty five per centum shall constitute the non-contributory interest of the State; and

ii. twenty six per centum shall be owned by the State or indigenous Zimbabweans;

(c) at least fifty-one per centum of the shares of every mining company which on or after the fixed date, is engaged in the extraction or exploitation of any mineral other than a strategic energy mineral, precious metals or precious stones, shall be owned by indigenous Zimbabweans.

As noted by Murombo (2010), the non-indigenous companies are required to comply with the laws failure of which may result in the withdrawal of the operating licence. The problem however is where the minister cancels a licence which he did not issue in the first place hence there seems to be some disharmony of the various pieces of legislation.

2.5.3 **Community Share Ownership Trusts/Schemes in Zimbabwe**

The Indigenization and Economic Empowerment Programme seeks to broaden the economic base by involving the majority indigenous Zimbabweans in the mainstream economy. In seeking to achieve this Government has, amongst other strategies, prescribed for direct equity participation by the communities within which businesses are exploiting natural resources on commercial basis, through CSOTS. Section 14(b) of Statutory Instrument 21 of 2010 provides for the establishment of CSOTS which shall hold shares in qualifying businesses on behalf of their respective communities. Mabhena & Moyo (2014) contends that CSOTS in Zimbabwe have been used as development vehicles for broad based community empowerment and socio economic development which are a panacea for promotion of LED. Maodza (2012) views CSOTS as a national initiative championing development and empowering rural communities by affording them a 10 percent stake in all businesses involved in the exploitation of natural resources in their areas. He goes further to state that these schemes are designed to put a stop on the selfish exploitation of the country’s natural resources for the benefit of multi-national corporations and other foreign businesses in the expense of indigenous Zimbabweans.

2.5.4 **Implementation Structures of the CSOTS**

There are various structures that are involved in the implementation of the CSOTS programmes following the launching of over fifty CSOTS around Zimbabwe. There are structures right from the national level cascading down up to the district level and these clearly captured in Section 14(b) of Statutory Instrument 21 of 2010.

2.5.4.1 **National Level**

According to Section 14(b) of Statutory Instrument 21 of 2010, at the apex lies the Cabinet Committee on Indegenisation and Empowerment followed by the Steering Committee of Ministers which is charged with the responsibility to:

* Provide policy guidance on the implementation of the related indigenization and economic empowerment programme and CSOTS.
* Supervise implementation of CSOTS.
* Review progress, problems and challenges vis-à-vis sub-national interventions on CSOTS and general empowerment programmes.
* Report to Cabinet on all matters germane to CSOTS and the empowerment programme in general.

The next committee is the National Working Party of Officials which is chaired by the permanent secretary of the Ministry of Youth Development, Indigenization and Empowerment (MYDIE) and its key responsibility is to proffer technical support to the Steering Committee of Ministers.

2.5.4.2 **Provincial Level**

In the provinces there is a Provincial Committee and the Provincial Governor/Resident Minister chairs this Committee with membership drawn from the Ministries represented at National Steering Committee level together with the provincial Chairperson of the Provincial Assembly of Chiefs. The Provincial Head of the MYDIE provides secretarial and coordination services. The Provincial Committee is mandated to:

* Spearhead identification of qualifying businesses.
* Foster linkages and synergies of the scheme with District and Provincial Annual Development Plans.
* Ensure technical expertise is tapped to assist CSOTS.
* Manage inter-district transcending matters including equitable distribution of resources.
* Refer unresolved matters to the National Committee of Officials.
* Nominate and recommend trustees to the Minister for appointment.
* Identify and make an inventory of the affected communities.
* Coordinate the official launch of the CSOTS.
* Facilitate effective implementation of approved programmes/projects.
* Monitoring and evaluation of the performance of all trusts within the provinces.

2.5.4.3 **District Level**

According to SI 21 of 2010 of the IEE Act (General) Regulations, the definition of a community shall be residents of a Rural District Council established in terms of the Rural District Councils Act [Chapter 29:13]. Accordingly, this implies that there shall be one Community Share Ownership Trust per District. Membership of the Trust shall range from 7 to 15 and shall include the following;

* Chief – (Chairperson), rotational where there are more than one chief in the District.
* Other Chiefs in District.
* District Head of the Ministry of Youth Development, Indigenization and Empowerment.
* District Administrator.
* Council Chairperson – (Vice Chairperson).
* CEO of RDC Ex- Officio (Secretary).
* Representative(s) of qualifying business(s) drawn from senior management level of the business.
* Representative of women.
* Representative of the youth.
* Representative of the disabled.
* A Lawyer.
* An Accountant.
* Any other person co-opted by the trust for their expertise and/or special skills from time to time.

In line with Section 14(b) of Statutory Instrument 21 of 2010, the Minister of Youth Development Indigenization and Empowerment acting in consultation with the Provincial Committee appoints the Trust members who hold office for a period of 3 years which can be extended to another 3 years if necessary with the exception of traditional Chiefs who shall serve for as long as they remain in post as Chiefs. The Trust shall:

* Prioritize projects and allocate funds for implementation of the project.
* Call-up funds from the Trust Account for use in project implementation.
* Review progress, problems and challenges.
* Superintend over official opening of projects/programmes.
* Cause carrying out of internal and external audit on a regular basis.
* Cause formation of Tender Committee.
* Prepare annual and other reports as deemed necessary.
* Protect all financial and other assets of the Trust.

2.5.4.4 **Operational Modalities**

It is amply captured that where a company’s operations transcend district boundaries, shares shall be held by a Special Purpose Vehicle (SPV). The SPV shall ensure equal distribution of dividends amongst the affected Trusts. On financial matters, the Trust shall open a separate Trust Account whose signatories shall include: the Chairperson (Chief), the Secretary (RDC CEO), District Administrator and any other authorized Trustee.

2.5.4.5 **Project Identification and Implementation**

The Trust shall identify projects/programs for implementation and these should be in harmony with the requirements of the local planning authority. As articulated in Section 14(b) of Statutory Instrument 21 of 2010, decisions by the Trust shall be made only at duly convened meetings in terms of the relevant provisions of the Trust Deed. Programme/Project Implementation. The Trust may engage relevant Government departments, local authorities and/or the private sector for implementation of specific projects. Community Share Ownership Trusts shall submit progress and financial reports quarterly to the Provincial Committee and for on ward submission to the National Steering Committee. Accountability and Responsibility The trust shall publish annual audited financial reports.

The concept of CSOT affords an opportunity for the locals to benefit from the proceeds of the business operations in their areas while the resources are still there, (Maodza, 2012). Much as the concept is clearly articulated, the gap is on the clear modalities that ensure transparency and accountability of the trust funds to avoid abuse by the established bodies and effective participation of communities.

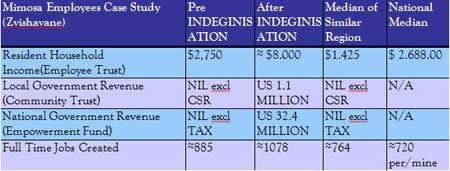
2.6 **Implications of the Indigenization and Economic Empowerment Policy**

Since the inception of the Indegenisation policy, there have been divergent views where the MDC has voiced the policy as untimely reckless, damaging and counterproductive to the economic development of the country. On the other hand, ZANU PF argues that there is need to have an inward looking Zimbabwe that is not preoccupied by outsiders, one which has proud and endogenous within its economic policies. Ngubeni (2013) in his analysis of the indigenization policy, formulates a policy score card that not only considers economic growth but integrates socio-economic implications through a set of measurements that directly encompass and address key issues such as poverty alleviation, community engagement, employee welfare, demographic challenges, government spending and foreign investor relations within the contemporary face of indigenization.

2.6.1 **Consumption**

According to Ngubeni (2013), consumption indicates expenditure by the personal sector. He further submits that Zimbabwe’s circular flow of income, like many African countries, is severely disabled by the repatriation of funds by investors where profits are spent outside the country. Ngubeni (2013) argues that the coming in of the indigenization policy has stemmed the repatriation gap and the money supply vacuum where the 51/49 percent share ownership means that the benefits can now be consumed within the country thereby boosting demand in the process. He uses an example of Mimosa mines in Zvishavane to illustrate the point in a graphical manner as shown below:

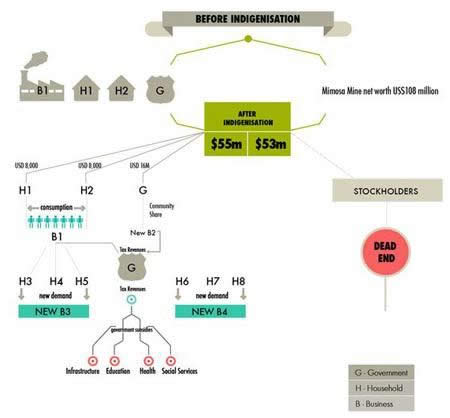
Fig 2: **Consumption Changes**



Consumption changes (Sources: Herald Sep 2013)

Ngubeni (2013) submits that the direct income household boost for benefiting employees is overwhelmingly self evident taking the above into consideration. However in most cases, the frequently asked question is how the generality of the population which is not employed by a multinational firm will benefit from this. Ngubeni (2013) however argues that the money from the process eventually “leaks out” of the region and “ripples” through to all parts of the economy where the total economic impact which is the combination of the direct and indirect economic impact, will ultimately benefit entire populace.

Ngubeni (2013) sums up the implication of the policy on consumption by illustrating the snowball effect as well as the aggregate gain motion using the same Mimosa example.

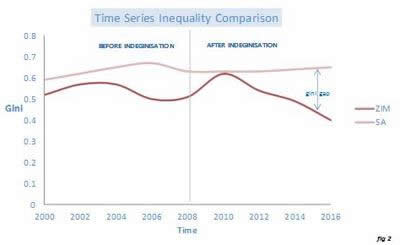
**Fig 3: Snowball effect and aggregate gain motion** 

Snowball effect and aggregate gain motion (Source: Herald 6 Sep 2013)

2.6.2 **Inequality implications**

The Indegenisation policy aims to correct the imbalances that were created through the colonial injustices in Zimbabwe. Ngubeni (2013) juxtaposes the inequality implications in Zimbabwe and South Africa using a gini coefficient comparative analysis on a regional scale.

**Fig 4: Time Series Inequality Comparison**



The above graph illustrates a time series comparison using year 2000 as a base year. It shows South Africa forecast values based on weighted average which weighting applies to Zimbabwe although certain income mobility policy considerations are factored into the current equilibrium in estimating future values. As demonstrated above, Ngubeni (2013) argues that it is highly likely that by end of 2015 Zimbabwe may record the lowest ever gini coefficient since Rhodesian (colonial) times. He further submits that should the policy meet its goals, the country should progressively lead the SADC region in limiting the inequalities of income as a direct result of the redistributive policy.

2.6.3 **Implications on Investment**

The indigenization policy has been labeled all sorts of names with regards to its implications on Foreign Direct Investment (FDI) with MDC arguing that it is scaring investors while ZANU PF was arguing that no country has ever developed through FDI. Gono (2013) argues that noble as the indigenization policy is, his well-considered advice is that there be a fine balance between the objectives of indigenization and the need to attract foreign investment. This caution was vindicated as according to Ngubeni (2013) submits that FDI monitors recorded a 57% decrease in new inflows since the inception of the policy. He further submits that the bulk of Zimbabwe’s national priority projects which were set out to be achieved between year 2010-2015 were yet to take off.

Ngubeni (2013) however posits that the investment debate is infinite since the economic base is still at the formative stages and this coupled with challenges of defining processes and finding balance in the policy is bound to face teething problems. He sums it up by noting that the rate of overall FDI will continue to slow until the three strategic sectors namely agriculture, industry and foreign trade fully consolidate and merge into a cohesive unison which is when Zimbabwe can start to innovatively explore tentative redistributive measures.

2.6.4 **Implications on Government**

The indigenization policy has serious implications on the government performance. If the policy is inclusively applied, it has the potential to support the government and lead to a progressive expenditure policy. Makunike (2011) seeks to find out whether Zimbabwe would learn from and avoid the lessons of many other countries in its latest approach to indigenization and if it would be one of those countries that strike a good balance between a significant local shareholding and the flexibility to attract needed foreign partners. He further posits if it goes in the direction of having control of economic sectors it would end up being empty with non-productive shells.

2.6.5 **Implications on Imports/Exports**

The most prevalent problem in the Zimbabwean economy has been the almost permanent negative Balance of Payments (BOP). Ngubeni (2013) advances that an indirect hit in terms of productivity efficiency gains and ultimately more exports has been facilitated by indigenization which in theory should help BOP. Gono (2013) sums it up as he notes that close to 90% of all lines of credit for tobacco auction-floor purchases, cotton and other external funding requirements come through these foreign owned banks hence trying to change their ownership in a unstructured and reckless manner can only be counter-productive at a time when indigenous owned banks, save for a few, are struggling to meet basic minimum standards of capitalization, international networks, brand recognition internationally and capacity to mobilize meaningful international lines of credit for the country’s needs.

2.7 **Challenges facing CSOTS**

Given the implications of the Indigenization policy in various spheres, the CSOTS have in the same vein, since their establishment in 2010, faced various challenges which mainly border on lack of clarity of the legal framework, lack of fulfillment of pledges made by companies, lack of accountability, obscurity of the programme, lack of adequate community participation as well as overlap of mandates. Mawowa (2013) lists a number of unanswered questions with regards to CSOTS. He questions whether communities feel better oﬀ with CSOTS? Whether there is a sense of empowerment and ownership of the process? He also questions how Zimbabwe’s community trusts compare with similar initiatives elsewhere? He further asks of the role of the state and its institutions in all this? Is the current initiative sustainable? Moreover, it appears that debate on Zimbabwe’s indigenization of the extractive industry has so far not attempted to understand this process in light of ecological issues and other potential challenges that often come with resource extraction. Precisely, where does the current indigenization of mines place corporate social responsibility, gender equality, youth empowerment and other traditional concerns?

2.7.1 **Lack of Clarity of Legal Framework**

Gono (2013) notes that there are various pieces of legislation that affect the indigenization programme that include the Banking Act, Chapter 24:20; Reserve Bank Act, Chapter 22:15; Exchange Control Act, Chapter 22:05; Public Finance Management Act, Chapter 22:19; Procurement Act, Chapter 22:14; Arbitration Act, Chapter 7:15; Bilateral Investment Promotion and Protection Agreements; Competition Act, Chapter 14:28 and Corporate Governance Framework for Parastatals of which National Indigenization and Economic Empowerment Board is part of. The operationalisation of CSOTS therefore is largely dependent on these pieces of laws that seem not to be in harmony. Allied to these are also such laws as the Mines and Minerals Act, Environmental Management Act, IEE Act, Companies Act and Rural District Councils Act just but to mention a few. This lack of harmony in these various regulations hinder progress as there tend to be unnecessary delays or competing interests. Mawowa (2013) advances that it goes without saying that in the majority of cases, policy pronouncements on indigenization and empowerment have been acrimonious where the Minister would issue statements on the policy only to be rebuﬀed by cabinet and especially the MDC side of government during the period of the inclusive government.

Murombo (2010) notes that the statute governing the mining sector in Zimbabwe is the Mines and Minerals Act enacted in 1961 during the colonial reign of the British and this law had nothing to do with sustainable mining as its principal focus was the maximum extraction of mineral resources. He however submits that the enactment of framework environmental legislation in Zimbabwe brought a measure of expectation that natural resources management in Zimbabwe was going to be sustainable and that the benefits would be equitably shared. He notes that the Environmental Management Act (Chapter 20:27) (the EMA) is to an extent progressive, and if properly implemented, monitored and enforced the environmentally harmful impacts of mining could be mitigated. The IEE Act aims at empowering the communities hence it appears to be at variance with the Mines and Minerals Act which has an extractive approach.

2.7.2 **Fulfillment of Pledges made to CSOTS**

Most CSOTS have remained on paper without any tangible results on the ground owing to lack of funding. Chiketo (2014) noted that Marange community has been critical of diamond mining companies after they defaulted on their pledges to the Zimunya-Marange CSOT which they had hoped would improve their rural infrastructure and service delivery. According to Mambo (2014), he submits that President Mugabe travelled across the country from 2011, launching community share ownership trusts to spearhead development and empower rural communities by asking companies to cede 10% stake in all businesses that exploit natural resources to the local communities and cheques totaling US$2 billion were handed over during the launch of 59 share ownership schemes in the 10 provinces. However, according to the ZANU PF 2013 manifesto, a total of US$23,5 million had been paid out to the trusts by six companies by July 2013. This is quite an insignificant figure and this is most likely to affect the operationalisation of CSOTS in Zimbabwe.

2.7.3 **Lack of Accountability**

There have been allegations of embezzlement of trust funds by some trusts members in some CSOTS and some have failed to account for these funds. Chiketo (2014) submitted that some Traditional chiefs in Mutare recently got a battering from villagers who accused them of benefitting from diamond explorations while they continue to wallow in poverty and see their rights trampled upon. Some trustees were quick to pay each other sitting allowances before the CSOT had started operating which is a clear case of self serving attitude. The Herald (2014) reported that in some cases, chiefs and powerful local politicians were accused of abusing the trust funds.

2.7.4 **Lack of effective Community Participation**

For LED to be successful, there is need for effective participation of all actors such as Local Authorities, Businesses community, Development partners, government and above all and most importantly the generality of the community. Mate (2002) asserts that participation by communities in the management and use of their natural resources at the local level could speed up the process of community empowerment and lead to increased pressure on central government for better management of mineral wealth and for greater transparency and accountability in its management. In most CSOTS, communities are spectators while most of the direction comes from central government through their appointed Trustees yet the reverse should be true. There is little understanding by the communities as to the situation with regards to these CSOTS and this has led to lack of buy-in and support by the communities.

According to the Crisis in Zimbabwe Coalition report (2013), it expresses fear on the involvement of traditional leaders in Community Share Ownership Schemes where chiefs chair CSOTS committees in their localities on a rotational basis and submit that this may not strengthen the programme's transparency given that most traditional leaders in Zimbabwe have been accused of partisanship in favour of ZANU-PF, raising questions on whether it is possible for chiefs to be non-partisan in implementing the schemes. It goes further and advance that it is evident that the concept of community share ownership trusts is not as noble as expected as locals are being denied opportunities to enjoy the proceeds of the mining operations in their areas.

2.8 **Summary**

Most of the literature that deal with the concepts of empowerment schemes as a way of promoting LED point out to the fact that these concepts are unique to each situation and they do not follow a one-size-fits all arrangement. There is a general point of convergence of opinion with regards to involving communities in championing development in their localities by benefiting from the proceeds from the natural resources being exploited in their areas of influence. What was the missing link however was a clear articulation of the implementation matrix of the CSOTS. Allied to this is the clear legal framework which ensures accountability and transparency of the programme. The integration of the development plans for the Local authority and the community is another area that needs harmonization. Lack of proper management skills is one glaring area as well as the obscurity of the programme where the generality of the community is not aware of the goings on hence the lack of support of the programme. Effective participation of the community in CSOTS is quite lacking and the programme is viewed as partisan efforts meant to give mileage to one party hence other members of the community are aloof. Mambo (2013) cites the Director of Research and Advocacy in the Solidarity Peace Trust, Brian Raftopoulos who says that although the indigenization initiative remains noble, ZANU PF has used the controversial programme to gain popularity.

**Chapter III**

**RESEARCH METHODOLOGY**

**3.0 Introduction**

This chapter covers the methodologies used by the researcher in the data gathering process. Methodology refers to the tools and techniques used in collecting data in the research process. Leedy (1997) defined methodology as an operational framework which outlines how information is to be gathered for an assessment in order to derive meaning of the information so that it can be clearly understood. As defined by Thorn & Sunders (2005), methodology is the systematic, theoretical analysis of the methods applied to a field of study, or the theoretical analysis of the body of methods and principles associated with a branch of knowledge. It typically encompasses concepts such as paradigm, theoretical model, phases and quantitative or qualitative techniques.

The research has a component of primary research involving interviews and questionnaires targeted at specific informants. This chapter will as well draw attention to the secondary research technique used to complement primary research that involved a review of pertinent materials for the subject. The enquiry from the field seeks to gather data from Town Board and Local government officials; lobby groups and generality of the community on the performance of the CSOTS. It addresses the aspect of research design, justification of the design, research instruments, population, sampling, data collection and sampling procedures, data analysis plan, strengths and weaknesses of the data collection methods.

**3.1 Research design**

Kumar **(**1999) defines research design as “a detailed blue print to guide a research study towards its objectives while Nachmias and Nachmias (1989:99), refers to a research design as “a programme that guides the investigation in the process of collecting, analyzing and interpreting data”. According to Leedy (1997) research design is defined as a strategy, plan or structure of conducting a research project.

A research design can simply be seen as a well planned set of conditions for collection and analysing data in a manner that combines relevance with procedure. The research design outlines the plan which identifies the population, data gathering method(s), the instruments to be used, the way of administering the instruments and how the information will be organized and analyzed. This process of designing a study involves many interrelated decisions, the most significant being the choice of the approach as it determines how information will be obtained. Consequently, the quality of the findings will largely depend on methods employed.

**3.2 Research Approach**

This research is a descriptive research which drew extensively from both the quantitative and qualitative research methods. According to Kumar (2005), a descriptive research is that research whichattempts to describe systematically a situation, problem, phenomenon, service or programme, or provides information about, say, living condition of a community, or describes attitudes towards an issue. This type of research indeed resonated well with the thrust of this research of trying to assess the CSOTS as a viable option for LED in Lupane district.

**3.2.1 Qualitative Design**

Creswell (2007) submits that a method of qualitative research leads to understanding of a concept or a phenomenon from the perspective of those who would have lived it. The qualitative approachto research is that approach which is concerned with a subjective assessment of attitudes, opinions and behaviour. In this kind of research, everything is dependent upon the researcher’s insights and impressions. Such an approach to research generates results either in non-quantitative form or in the form which are not subjected to rigorous quantitative analysis. Its various genres are naturalistic, interpretive and increasingly critical and they draw on an array of methods of inquiry (Marshall& Rossman, 2006:2). Qualitative research is an approach, which recognizes that meaning emerges through interaction and is not standardized from person to person unlike in quantitative research and thus allowing the researcher to study issues in detail, without predetermined and categorized analysis (Merriam, 1998:8). In this method of research, understanding can be buttressed through the techniques of focus group interviews, projective techniques and depth interviews, policy documents, newspapers and opinion pieces by various scholars just but to mention a few from a host of sources.

The research used a case study method to evaluate CSOTS as a viable option for LED using Lupane District as a case. According to Creswell (2007), a case study research is a qualitative method where the investigator looks at a bounded system, which is a “Case” or various systems over a period of time through detailed, in depth collection of data involving multiple sources of information such as observations, interviews, audiovisuals and reports. In the same vein, Robson (1993) defines a case study as a plan for doing research involving studying a particular contemporary incident with its real life context using an array of sources of evidence. Yin (1984) concurs when he sees a case study as an empirical inquiry that investigate a contemporary phenomenon within the actual life context when there is no clearly defined line between the phenomenon and real life context and in which an array of sources of evidence are used.

**3.2.2 Quantitative Design**

The quantitative research approach involves the generation of data in quantitative form which can be subjected to rigorous quantitative analysis in a formal and rigid fashion as noted by Creswell (2007). The data can be presented in numbers which makes it easy to generalize the research findings. This approach can be sub-classified into three classes which are; inferential, experimental and simulation approaches. For the purpose of this study, the inferential approach to research appears ideal. This approach aims to form a data base from which to infer characteristics or relationships of population. Creswell (2007) further submits that this approach usually uses survey research where a sample of population is studied, whether through being questioned or observed to determine its characteristics, hence it is then inferred that the population has the same characteristics.

**3.3 Justification of the design**

The use of both the qualitative and quantitative research approaches ensured that there was reliability of data since the weaknesses of each approach was offset by the strength of the other. The use of these two approaches in a complimentary way is called triangulation the basis upon which reliability of the report can be achieved as postulated by Denzin & Lincolin (2003). Martyn (2008), asserts that this method is favored by social scientists because it is best for obtaining general views and that other researchers in their previous studies used this similar design to collect information in development related situations.

**3.4 Population**

Population is defined by Leedy (1980: 90) as a group of interest to the researcher from which results are to be obtained. Further, Lind & Mason (1993) defined a population as a collection of all possible individuals, objects and measurement of interest to the researcher. In agreement, Chimedza et al (2006), postulates that a population is the total set of objects in a statistical survey or study. From the foregoing, population can simply be seen as a group of individuals, persons, objects, or items with common characteristics from which samples are taken for measurement. For this study, the population are all communities of Lupane district which has 28 wards and has a population of around 100 000 inhabitants. In the study, elected officials, council officials, community leaders, the generality of the community, business community and civil society were part of the study population.

**3.4.1 Target population**

Target population, according to Lind & Mason (1993), refers to the entire group of individuals or objects to which researchers are interested in and who they will use to generalize their conclusions. The target population of the research included Council employees, local government officials, Community Leaders, the generality of the community and business.

**3.4.2 Sampling**

Dillman (2002), explains that sampling is the process of selecting units from a population of interest so that by studying the sample, fair generalizations on the results obtained can be attributed to the population from which they are chosen. Sampling can be viewed as the selection of a subset of the population intended to provide some knowledge about the population. Therefore, the sample is the subset of the population, which should be representative of the population from which it was drawn and it must have a good size so as to warrant statistical analysis.

**3.4.3 Sample Frame**

Stake (1995) defines a sample frame as the list or lists from which individuals or organisations are selected. Schwandt (2007) further states that a sample size is the number of participants that will participate in the research process. He goes further to state that such a sample should have homogeneous characteristics with the population under study. Stake (1995) argued that a more representative sample size should not be less that 30% of the population under study. It is also known as the legitimate source of material or information required for a study being the population. In this study therefore, 50% of the wards in the district were covered. The research was conducted from the groups and individuals in Table 1 and results obtained were used to derive conclusions that apply to the entire population. The three main advantages of sampling are the low costs as only a sample of the population is obtained and concluded instead of the entire population, it saves time, and since the data set is smaller it is possible to ensure homogeneity and to improve the accuracy and quality of data.

The table below depicts the sampling frame which is the complete list of all the cases in the population from which the sample was drawn. The sample was composed of community members from the district wards, council employees, councillors, community leaders and major businesses operating in Lupane district.

Table;1 Sample

|  |  |  |  |
| --- | --- | --- | --- |
| **Category of Informants** | **Population** | **Sample Population** | **Sampling Technique** |
| Community members From 28 wards | 100 000(Aprox) | 140( 5 people/ward) | Simple Random Sampling |
| Lupane Council employees (RDC and TB) | 30(Aprox) | 10 | Judgmental/Purposive sampling |
| Councillors | 28 | 15 | Convenience Sampling |
| Community Leaders | 28 | 15 | Judgmental/Purposive Sampling |
| Business (major) | 5 | 4 | Convenience sampling |
| **TOTAL** |  | **184** |  |

**3.4.4 Sampling technique**

Dillman (2002) defines the sampling technique as the method(s) used in drawing samples from a population usually in such a manner that will facilitate determination of some hypothesis concerning the population. The research used a combination of probability and non probability sampling techniques in obtaining data from the sample frame. These included simple random sampling, convenience sampling and purposive sampling.

**3.4.4.1 Simple Random Sampling**

To obtain data from the larger part of the participants which are the community members from the 28 wards of the district, a simple random sampling technique was used to ensure a more representative sample. According to Stake (1995), this type of sampling technique is also known as chance sampling or probability sampling which means that each and every item in the population has an equal opportunity of inclusion in the sample and each one of the possible samples, in case of finite universe, has the same probability of being selected. A lottery system was used to pick the participants from the various wards on a voluntary basis where community members picked papers from a hat. This method was ideal as it ensured that participants volunteered information freely on the questionnaires and were chosen without any bias.

**3.4.4.2 Convenience Sampling**

The study also utilized convenience sampling which is a non-probability sampling technique for the councillors and businesses due to their busy schedules and ease of access. Stake (1995) explains that this method entails the selection of elements of the population because of their ease of access. This method was ideal in circumstances where councillors could easily be accessed during full council meetings. In the case of businesses, those major businesses involved in the exploitation of resources within the district were be sampled. Appointments with these key informants were made and this was made easy by the fact that these officials frequent Harare for meetings and the research took advantage of these trips.

**3.4.4.3 Judgmental/Purposive Sampling**

Judgmental/purposive sampling is when the researcher uses his/her judgment to choose the sample based on who they think would be good prospect for accurate information. Neuman (2000: 12) asserts that this form of sample is often used when working with very small samples such as in case study research and when you wish to select the cases that are particularly informative. Neuman (2000) further explains that when the desired population is rare or very difficult to locate and recruit for a study, purposive sampling may be the only option. The purposive sampling technique was used to obtain data from Local government employees, and community leaders. This method was necessary because the researcher needed to get as much valuable data as possible particularly from people that were seen to be ideal because of their sound understanding of the subject hence this method was ideal for the samples.

**3.5 Sources of Data**

Data was obtained from both primary and secondary data sources. Primary data is raw and unprocessed data that is collected from the research participants. It includes research participant’s views on the subject under study which is collected through the administration of questionnaires and unstructured interviews.

**3.6 Primary Data**

Primary data is data which was collected by the researcher directly from own observations and experiences. The data was obtained through responses from questionnaires and interviews from the intended respondents. According to Graziano & Raulin (2007), primary data is raw and unprocessed data that is collected from the research participants on a subject under study. Primary data in the study is critical as it increases the reliability of findings since it is directly obtained from the primary source which is the participant.

**3.6.1 Research Instruments**

Frankle (1993) posits that a research instrument is a device for systematically collecting data. Research tools are inevitably essential in research for the study to come up with revelations it seeks to bring to light. These instruments are used to obtain standardized information from all the subjects. Data was collected from the various stakeholders within the Lupane District that included, the local authority, businesses, community leaders, workers and the generality of the population through the following data gathering instruments:

**3.6.2 Questionnaire**

In this study, the researcher used the survey questionnaire with both structured and unstructured questions. Schwandt (2007) defined a survey questionnaire as an effective data collection tool used in the study of a social phenomenon in which participants may give their opinions in both structured and unstructured manner on the subject under study. The researcher was motivated to use the questionnaire because it was easy to administer and that it was used to collect information from a large sample simultaneously and therefore saved time in data collection process. The respondents were able to give information freely from their experiences and observations.

**3.6.2.1Advantages**

* They are cost effective.
* Easy to collect information from respondents.
* They allow for direct quotes to be used.
* There is confidentiality hence respondents will feel at ease.

**3.6.2.2 Disadvantages**

* Some respondents may not seriously commit themselves as they may feel its time consuming.
* Some may be biased for fear of victimization.

**3.6.2.3 Counter measures for weaknesses of Questionnaires**

In a bid to ensure reliability of information the following counter measures were taken:

* The researcher did pilot testing of the questionnaires in order to see if they would solicit the desired information.
* The researcher guaranteed confidentiality of information and maintained respondent anonymity.
* Kept questions simple and minimum.
* Avoided leading and ambiguous questions.
* Provided short instructions for filling the questionnaire.
* Simplified questionnaires in local language.

**3.6.3 Interviews**

The researcher had a series of questions which were used to gather information on an interview basis from the selected sample that were not able to complete the questionnaire on their own. The researcher used the qualitative interview in the collection of data. Schwandt (2007) defined a qualitative interview as a special type of engagement that allows the researcher a large amount of flexibility in how the interview is carried out. According to Borg & Gal (1971), an interview is a critical research tool that acts as means of verifying facts and views obtained from the subject. Yin (1994: 87) further outlines the advantages of key informant interviews over other forms of data collection as being easy and less expensive since they involve only one respondent and one interviewer and that they are flexible, as questions and topics can be added or omitted during the interview. The decision to use interviews was influenced by the fact that there were some respondents who were not be able to complete questionnaires on their own due to semi literacy and illiterate. It thus allowed the researcher to rephrase questions and probe more questions as a quest for clarity on the responses that were given superficially. However Silverman (1993: 107) notes that the main disadvantage of key informant interviews is that ‘...people can tell you what they think you want to hear’, and because they may not be candid, the researcher needs to critically evaluate the key informant data based on knowledge from the field of study.

**3.6.2.1 Advantages**

* There was room to clarify more from key informants.
* There was instant feedback and room to digress further.
* Where the respondents faced difficulties in responding to questions, the interviewer was able to explain.

**3.2.2.2 Disadvantages**

* These were time consuming therefore there is need to carefully schedule them.
* Respondents showed biases by saying things which they thought the researcher wanted to hear.

**3.7 Secondary Data**

Secondary data entails information gathered by another person different from the researcher conducting this current study. Graziano & Raulin (2007) posit that such data can be internal or external to the organization and these included corporate strategic plans, government gazettes, memos, ministry magazines, business reviews, board minutes, policies, the Act, publications among a host of other materials. Secondary analysis was used to examine analytical practices that used pre-existing data to investigate new research questions.

**3.8 Data Analysis Plan**

Data analysis according to Sivia & Skilling (2006) is the process of analyzing of all the information and evaluating the relevant information that can be helpful in better decision making. Since this research used both the qualitative and quantitative methods, the research findings were presented in various formats utilising illustrative aids such as tables, charts and graphs. The study used thematic analysis which according to Taylor, Powell & Renner (2003) is a basic approach used for analysing and interpreting qualitative and quantitative data. The themes used in this research were derived from research objectives. According to Kumar (1996), thematic analysis is historically a conventional practice in research which involves searching through data to identify any recurrent patterns. He further explains that a theme is a cluster of linked categories conveying similar meanings and usually emerges through the inductive analytic process which characterizes the qualitative and quantitative paradigm. The exploratory power of this popular technique can be enhanced by the analyst lacking previous knowledge of the research topic as they are not guided by any preconceptions. Braun & Clarke (2006) suggested six main stages when conducting thematic analysis which are; become familiar with data, generate initial codes, search for themes, review themes, define and narrate themes and finally produce the report.

**3.9 Ethical Considerations**

According to Denzin & Lincoln (2003), research ethics refers to a code of practice that governs the manner in which the research process should be conducted. Jensen, Klaus & Jankowski (1991) argued that research ethics is the extent to which a researcher complies with the standards that are permissible at law and accepted by the society when studying a phenomenon. The following was taken note of as research ethics:

* Participants were not forced to participate in the research process.
* The information obtained in the research was for academic use.
* Confidentiality of the information obtained or accessed would be maintained.
* The research guaranteed the principle of anonymity to the participant throughout the study.
* All work used in the report was acknowledge in terms of its source of data.

**3.10 Summary**

This chapter covered in detail the various methods that were used in this study to collect data, which include both primary and secondary sources. In the same note, the chapter outlined the research design, the (target) population, data collection methods, the instruments used and how these were organized and administered. The justification of these methods was sufficiently covered including their advantages and disadvantages. In the next chapter, a presentation of data and analysis of the findings which were obtained through this research methodology is given.

**CHAPTER IV**

**DATA PRESENTATION AND ANALYSIS**

4.0 **Introduction**

This chapter gives a presentation, interpretation and analysis of the data collected and findings arrived at on the research problem. The presentation and discussion of findings shall be done through various thematic presentations broken down from the different questionnaires, supported by graphic illustrations where necessary. The discussion is centered on the following broad research objectives which are:

* To establish if communities have adequate information about these CSOTS.
* To establish whether the CSOTS are relevant to the development challenges being faced by communities in Lupane District.
* To assess if the CSOTS are being funded as pledged and managed in an ideal way.
* To assess whether the CSOTS are a viable option for LED leading to sustainable human development in rural communities.
* To suggest ways in which CSOTS could be best used for the interest of the public.

These general broad objectives have sub-themes which, where necessary, are buttressed by views expressed by interviewed key informants.

**4.1 Table 1Questionnaire Response Rate**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Respondents** | **Administered questionnaires** | **Those who responded** | **Those who did not respond** | **% response rate** |
| Community from wards | 140 | 130 | 10 | 92 |
| L G employees | 10 | 8 | 2 | 80 |
| Councillors | 15 | 13 | 2 | 87 |
| Community Leaders | 15 | 10 | 5 | 67 |
| **Total** | **180** | **161** | **19** | **89** |

**Fig5: Questionnaire response rate**

**Source: Collected data 2014**

The above table reveals that a total of 180 questionnaires were administered to the various categories of respondents and 161 were responded to and returned which represent 89% response rate. Interviews with key informants were also carried out with a view to collect more data to reinforce the understanding.

**Analysis**

Sanders (2003:178) assert that a 60% response rate is generally considered representative of the population, with a lower response rate considered to be biased and not fully representative of the total population. Basing on the strength of Sanders (2003)’s submission above, the researcher considered the response rate a fair representation of the population and used it as the basis for data analysis.

**4.2 Information about the Lupane CSOT**

The researcher started off by asking the various respondents on how much information they had about the Lupane CSOT which was launched by the President in 2011. A good number of respondents professed ignorance of the existence of the CSOTS in Lupane district while others were aware. The following diagram illustrates the level of understanding of the respondents about the CSOT;

**Table 3: Level of Awareness**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Respondents** | **Aware** | **%** | **Not Aware** | **%** |
| Community | 11 | 9 | 119 | 91 |
| Councilors | 6 | 46 | 7 | 54 |
| Community Ldrs | 6 | 60 | 4 | 40 |
| LG Employees | 8 | 100 | 0 | 0 |
| **Total** | **31** | **19** | **130** | **81** |

The diagram below shows the level of awareness of the various categories of respondents.

**Fig 6: level of awareness of the various categories of respondents**

It appears that most ordinary people do not have information about the Lupane CSOTS a situation which can be attributable to lack of effective communication within all stakeholders. The information obtained seemed to confirm the problems raised earlier that the issue of CSOTS is shrouded in secrecy and the generality of the community which are supposed to be the beneficiaries of the scheme are not clear about it. Only 11% showed some understanding about this scheme while 89% of community members from across the wards were not aware. On the part of the elected representatives from ward levels, 46% were clear about the scheme while 54% professed ignorance. This could be attributable to the calibre of these councillors. The council Chairperson is the vice Chair of the trust which naturally means that he gives a feedback to the councillors during full council meetings.

The level of awareness from the Traditional Leaders was different as most of those questioned showed some understanding about the Lupane CSOTS and for the council employees all of them were aware. This could be interpreted to suggest that only those working for council and the Traditional leaders who are seen to be privileged and politically connected are the only ones with information about the CSOTS.

**Fig 7: Summary of Level of awareness about Lupane CSOT**

**Source: Collected data 2014**

Cumulatively, 81% of the target population showed ignorance about the Lupane CSOTS while 19% had some information. This confirms the allegations that the CSOTS are shrouded in secrecy and there is opaqueness in their operations. However from an interview with the District Administrator, it came out that the lack of awareness on the part of the population had been a deliberate move by the leadership in the district. He explained that the information had been given on a need to know basis because of fear of prematurely rousing the hopes of the communities before there was tangible evidence of the operationalisation of the CSOTS. He further explained that information would be disseminated at the appropriate time when the scheme takes off.

**4.3 Effects of lack of Information**

The lack of information about the Lupane CSOTS has some negative effects on development. This situation of lack of information is further compounded by the fact that not only the generality of the community is unaware, but even elected representatives like councilors from the various wards do not have adequate information about these yet they are supposed to be spearheading development in their wards. If this display of ignorance is anything to go by, then the issue of LED can remain a pipe dream in Lupane District. Lack of information may create a general lack of appreciation of the issues of development, promotes lack of accountability, lack of stakeholder participation and lack of buy-in on development projects.

**4.3.1 Lack of Appreciation of Development**

When there is lack of adequate flow of information about a certain phenomenon, the result is the emergence of rumour and speculation. The Lupane CSOTS may suffer the consequences of stigmatization where it may be viewed as a scheme for the privileged and politically connected instead of a pro-poor program because of lack of publicity. Communities may fail to appreciate development if they are not adequately informed hence there is need for effective communication within all stakeholders involved in the Lupane CSOTS.

**4.3.2 Lack of Accountability**

There is need for accountability on the part of those trustees managing the CSOTS on behalf of the community. If some stakeholders do not have adequate information about the CSOTS, then holding the trustees accountable will be difficult. The net effect of lack of information is that it promotes lack of accountability which is a panacea for good governance.

**4.3.3 Lack of Participation**

When communities are not aware of projects or are not informed about projects, they cannot be expected to participate on those projects. This failure of effective participation of all stakeholders in programmes that affect their lives is counterproductive on development. Communities tend to shun projects that came up without their consultations and participation. This is against the constitution of Zimbabwe which emphasises on the need for communities to participate effectively on development issues that affect their lives.

**4.4 The Relevance of CSOTS in the Development of Lupane District.**

The researcher sought to find out whether the CSOTS are seen as relevant in addressing the development challenges faced by the Lupane district community. The respondents expressed varying opinions on the issue with some in agreement, others disagreeing while some were not sure. The table below shows summary of responses to the relevance of the CSOTS in addressing development challenge of the district.

**Table 4: Summary of responses to the relevance of the CSOTS**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Respondents** | **Total** | **Agree** | **%** | **Disagree** | **%** | **Not Sure** | **%** |
| Community Members | 130 | 78 | 60 | 30 | 23 | 22 | 17 |
| Council Employees | 8 | 6 | 75 | 2 | 25 | 0 | 0 |
| Councillors | 13 | 10 | 77 | 2 | 15 | 1 | 8 |
| Community Leaders | 10 | 6 | 60 | 1 | 10 | 3 | 30 |
| **Total** | **161** | **100** | **62** | **35** | **22** | **26** | **16** |

**Response on relevance of CSOTS**

In the above table, 60% from the generality of the community agreed with the concept of CSOTS as a relevant scheme which can address the development challenges faced by the district while 23% disagreed and 17% were not really sure. For council employees, 75% were in agreement while 25% disagreed and on councillors, 77% were in agreement with 15% in disagreement while 8% were not sure. Finally the community leaders had 60% agreeing, 10% in disagreement while 30% were not sure.

This information is graphically illustrated below:

**Fig 8: Respondents’ Response on relevance of CSOTS**

The highest numbers of those agreeing that the CSOTS are relevant in addressing the development challenges in Lupane district in the respondents’ categories are the councillors followed by council employees while the community members and community leaders were a tie. The highest disagreements were noted on council employees while the highest percentage of those not sure was from the community leaders’ side. This data confirms that the development plans of the CSOTS are pro-poor and resonate well with the district’s development thrust although these plans are just on paper and have not been rolled out. On the contrary, some respondents did not agree that the CSOTS were relevant to the development challenges of Lupane district probably because they have not seen any benefits brought by the CSOTS ever since they were launched. This could also be a sign that these respondents did not have an idea about these CSOTS. The lack of information dissemination about the Lupane CSOTS could be the reason that some respondents were not sure with the relevance of CSOTS. Cumulatively, the information can be summarised in the below figure.

**Fig 9: Summary of responses to relevance of CSOTS**

**Fig8: Summary of responses(Source: Collected Data)**

Most of the respondents are in agreement that the concept of CSOTS is relevant and best suited to address the development challenges faced by the district as it is seen as a pro-poor policy. Although the generality of the population of the district has not derived any benefit from the scheme so far, they are however optimistic that the scheme is most likely to transform their lives.

**4.4.1 Infrastructure Development**

In an interview carried out with the DA showed that the district development plans and the thrust of the CSOTS are in tandem with regards to solving one of the district’s development challenges which is infrastructure development. This therefore clearly validates the notion that the CSOTS is relevant in addressing the development challenges faced by Lupane district. The DA pointed that the plan was to equitably distribute the funds coming from the CSOTS to all 28 wards for use in various infrastructure development projects.

**4.4.2 Employment Creation**

Interviews carried out with businesses indicated that some of these major companies were already involved in skills development drive in preparation for their full operations that are waiting licensing. This indeed is one major milestone as it will solve the problem of lack of employment in the district where the bulk of employees will come from the members of the district hence creating sustainable livelihoods and eradicate poverty. In the same vein, the DA advanced that if the funds are distributed to the wards, the local people will provide labour and earn a living because they will be employed.

**4.4.3 Poverty Eradication**

The respondents from the various categories were all in agreement that the CSOTS was indeed a pro-poor policy as it was meant to benefit the community directly. Communities perceived that CSOTS should create conditions which allow local indigenous communities to benefit from business activities in their areas. Pro-poor and democratic policies should ensure communities benefit from the exploitation of resources from their area. This indeed confirms the notion that CSOTS are relevant to the development needs of Lupane district community.

**4.5 Funding and Management of CSOTS.**

Respondents were asked about funding mechanism of the Lupane CSOTS as well as the management structure of the Trust. Generally, most responses pointed to the fact that funding was not enough to cover the development needs of the district while most respondents were not aware of the management structure of the CSOTS.

**4.5.1 Funding**

On being asked if the CSOTS had been funded and whether funding was enough, the respondents confirmed that actually there had not been any funding so far since the inception of the CSOTS. The following table shows how the respondents reacted to the issue of funding of the CSOTS;

**Table 5: Response to funding**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Respondents** | **Total** | **Enough** | **%** | **Not Enough** | **%** | **Not Sure** | **%** |
| Community Members | 130 | 6 | **5** | 100 | **77** | 24 | **18** |
| Council Employees | 8 | 0 | **0** | 7 | **88** | 1 | **12** |
| Councillors | 13 | 0 | **0** | 9 | **69** | 4 | **31** |
| Community Leaders | 10 | 1 | **10** | 8 | **80** | 1 | **10** |
| Total | 161 | 7 | **4** | 124 | **77** | 30 | **19** |

From the community members, 5% thought the funding was enough and 77% responded by saying that funding was not enough while 18% were not sure with issues of funding. On council employees, 88% agreed that funding was not enough while 12% of them were not sure. Turning to councillors, 69% of those questioned were of the view that funding was not enough while 31% were not sure. Ten percent of the traditional leaders thought funding was ok while 80% said it was not enough and 10% were not sure. The below figure sums up the overall response to the issue of funding buy the respondents:

**Fig 10: .Overall response to funding of CSOTS**

Overall, only 77% of the total respondents felt that funding was enough, 4% were of the feeling that funding of CSOTS was enough while 19% were not sure. From the interviews carried out, it came out that the hindrance to the full operationalisation of the CSOTS was lack of funding. The DA explained that $1million had been pledged for the CSOTS however that pledge had not been honored yet owing to the fact that companies had not been granted operating licenses. He further submitted that the Board of Trustees could not even sit and deliberate on the business of the CSOTS due to lack of funding. He lamented to absence of a legal enforcement mechanism that could compel the companies to honour their pledges within a specified time. From the foregoing, it therefore means that the Lupane CSOTS is just on paper and nothing tangible on the ground has been realised. There was optimism however that once there is funding; the CSOTS would be able to rollout its development programs that are change the lives of the Lupane community.

**4.5.2 Management of the CSOTS**

There were varying responses to the question of whether the management structure of the CSOTS was ideal for effective and efficient management of the scheme on behalf of the community. Below is a table which shows the response to the suitability of the management structure of the CSOTS:

**Table 6: Respondents’ views on CSOTS Management Structure**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Respondents** | **Total** | **Ideal** | **%** | **Not Ideal** | **%** | **Not Sure** | **%** |
| Community Members | 130 | 30 | **23** | 10 | **8** | 90 | **69** |
| Council Employees | 8 | 6 | **75** | 2 | **25** | 0 | **0** |
| Councillors | 13 | 10 | **77** | 1 | **8** | 2 | **15** |
| Community Leaders | 10 | 9 | **90** | 0 | **0** | 1 | **10** |
| Total | 161 | 55 | **34** | 13 | **8** | 93 | **58** |

The response from the community members showed that most members were not aware of the management structure of the CSOTS hence 69% said they were not sure if the structure was ideal or not, 8% felt it was not ideal while 23% thought it was ideal. On the part of council employees, 75% felt the structure was ideal, while 25% were opposed to it. Some 77% of the councillors saw the structure as ideal with 8% were opposed to it and 15% were not sure if it was ideal or not. Ninety percent of the community leaders felt the management structure was ideal while 10% were not sure. The cumulative responses are summarised below:

**Fig11: Overall response on Suitability of the CSOTS Management Structure**

Overall, 64% of the respondents were in agreement on the suitability of the management structure of the CSOTS while 25% disagreed and 11% were not sure. Having explained the management structure of the CSOTS, most respondents felt that it resonated well with their aspirations as communities particularly on representation of the various disadvantaged groups like women, youths and the disabled. Those who disagreed could have been motivated by the fact that they were not involved in the election of the Trustees hence they would not validate something they were not party to. Lack of information about the CSOTS was the reason why some respondents were not sure as to whether the CSOTS was suitable or not.

The lack of understanding of the management of the CSOTS structure by the generality of the community is an indicator that there is no effective participation of all stakeholders on programs that affect their lives. It also shows and confirms that there is very little feedback on the generality of the population by the elected representatives. There is need for the leadership of the district to create awareness on the part of the community members so that they develop confidence in the management of the CSOTS which is a statutory provision. LED entails effective participation of all stakeholders or actors in order for it to be a success.

**4.6 Viability of CSOTS in Ensuring Sustainable Local Economic Development**

The researcher sought to find out from respondents if they felt the CSOTS scheme was a viable option for sustainable economic development for Lupane district. The table below shows the responses of respondents:

**Table7: Respondents’ views on Viability of CSOTS in sustainable LED**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Respondents** | **Total** | **Viable** | **%** | **Not Viable** | **%** | **Not Sure** | **%** |
| Community Members | 130 | 100 | **77** | 10 | **8** | 20 | **15** |
| Council Employees | 8 | 6 | **75** | 0 | **0** | 2 | **25** |
| Councillors | 13 | 10 | **77** | 1 | **8** | 2 | **15** |
| Community Leaders | 10 | 6 | **60** | 3 | **30** | 1 | **10** |
| Total | 161 | 122 | **75** | 14 | **9** | 25 | **16** |

Some 77% of the community members and councillors viewed the CSOTS as a viable means towards the achievement sustainable local economic development, 8% disagreed while 15% were not sure. Seventy-five percent of the council employees were in agreement while 25% were not sure. On community leaders, 60% were agreed while 30% disagreed and 10% were not sure. The below figure shows the overall summary of responses to the viability of CSOTS in ensuring sustainable LED:

**Fig 12: Respondents’ views on Viability of CSOTS in sustainable LED**

Generally most of the respondents agreed that the concept of CSOTS is a viable system which can improve rural livelihoods and stimulate entrepreneurship particularly through infrastructure development especially houses, schools, hospitals, clinics, roads and provision of electricity and water. From these results, it is clear that communities viewed the development of infrastructure and provision of public utilities such as electricity and water, establishing small and medium enterprises (SMEs) as well as implementing broad-based empowerment policies as strategies of improving rural livelihoods and stimulating entrepreneurship in communities. It is therefore critical that the development plans of the CSOTS should aim to respond to expectations of the communities. Much as the CSOTS could be seen as a viable option for economic boom in the Lupane district, this however remains theoretical as nothing has been realised on the ground to validate this. The CSOTS has not been funded and its programs have not taken off the ground although it has good plans on paper.

**4.7 Suggested ways in which CSOTS could be used effectively and efficiently**

The various respondents which included the generality of the population, traditional leaders, elected officials, appointed officials and business community shared various ideas about their expectations of the Lupane CSOTS. The generality of the community members expressed ignorance about the scheme and lamented lack of community participation in development programs that affect their lives. The respondents then came up with various suggestions that included funding, accountability, adequate information, coordinated development plans and depoliticisation of activities of the CSOTS.

**4.7.1 Effective Community Participation**

Communities bear the brunt of underdevelopment and it is critical that they are involved on issues of development in their area as these affect their lives. Since the CSOTS as a countrywide government initiative spearheading development as well as empowering rural communities by giving them 10 percent stake in all businesses that exploit natural resources in their areas, these rural communities should participate effectively so that the much needed development is achieved. Their failure to participate in the schemes could result in the selfish exploitation of the community’s resources for the benefit of multi-national corporations and other foreign businesses without benefit to indigenous communities. This therefore could result in the perpetuation of underdevelopment which the CSOTS are designed to address.

**4.7.2 Provision of Adequate Funding**

The DA and councillors lamented the issue of lack of funding which has resulted in the failure to roll out the development plans of the CSOTS of Lupane. They argued that without funding, there is no development to talk about. The respondents noted that there are no legal provisions that compel these companies to release funds within stipulated times hence they just pledge and forget about releasing funds. They proffered that for the scheme to be effective and efficient; there was need for adequate and timeous funding as well as a legal enforcement mechanism to ensure that companies comply with their pledges.

**4.7.3 Accountability**

Through the interviews with key informants, it came out that the issue of the CSOTS is clouded in secrecy hence there is need for openness on the activities of the scheme. When there is openness, then accountability will be guaranteed and the management of the CSOTS will be effective and efficient.

**4.7.4 Adequate Information**

The respondents argued that if there was adequate information about the CSOTS, communities will play their part as one of the actors in Local Economic Development than a situation where communities are kept in the dark. On the same note, availability of information would enhance effective participation by the rural communities. It is thus imperative to ensure that there are adequate outreach efforts in order to keep the various communities informed.

**4.7.5 Coordinated Development Plans**

The development plans of the CSOTS should be in line with the development thrust of the community than a situation where there are competing interests in development. There is therefore need to adequately consult all stake holders during the development of plans in order to avoid competing interests. Communities are supposed to be allowed to come up with their proposals for development and these proposals then integrated into the plans of the CSOTS.

**4.7.6 Depoliticisation of Activities of the CSOTS**

CSOTS are national programmes meant for the benefit of all community members regardless of their political persuasions. Most members argued that the program seemed to be politically inclined since only those seen to be politically connected are the ones privileged with information. The CSOTS will be best utilized effectively and efficiently if the activities of the scheme are depoliticized.

**4.7.7 Removal of business Impediments**

From the interviews conducted with businesses, there were legal impediments that were hindering of delaying the commencement of the operations of companies exploiting resources in Lupane district. Companies were finding it difficult to obtain operating licenses due to what they called cumbersome compliance procedure from EMA. These companies had hoped to quickly commence operations but have not done so and in some cases investors had to pull out hence the CSOTS has remained a pipe dream. It is therefore imperative to create conducive business operating environment in order to facilitate operations of companies which can then lead to funding of CSOTS and subsequently leading to LED.

**4.8 Chapter summary**

The chapter brought out detailed findings from responses which were solicited through the various data collection instruments. An objective analysis of the findings was made in relation to the views of other scholars presented in the second chapter. The researcher also included his own views on the findings arrived at. The findings clearly point out that given the adequate funding and appropriate management, CSOTS can be a viable option for LED in the Lupane district.

The next chapter will summarise the research, the problem, related literature, methodology, findings and conclude with a comprehensive set of recommendations, preceding the conclusion.

# CHAPTER V

# SUMMARY, CONCLUSION AND RECOMMANDATIONS

## 5.0 Introduction

This chapter summarizes the study and highlights the major findings made during the research after an objective comparative analysis of the available data. The researcher also draws conclusions on the major findings and proposes recommendations for improvements.

## 5.1 Summary

The study opened up in chapter 1 by tracing the vicious cycle of development that stretches from independence in 1980 where the country has over the years come up with various models of development yet development has remained elusive in Zimbabwe particularly in rural communities. The lack of development in Zimbabwe formed the basis of the problem that motivated this study where it was noted that despite being endowed with vast natural resources, Zimbabwean communities particularly in rural areas remain impoverished since these communities are not benefiting from these resources. With the coming in of the Indigenization and Economic Empowerment which established CSOTS, the study therefore sought to establish objectively the contributions of CSOTS in development. The researcher was particularly guided in this research by a set of broad objectives and research questions which sought to investigate the viability of CSOTS in ensuring LED using the case of Lupane district.

The research was further guided by the review of previous work by other writers which was looked at in chapter 2. Literature dealing with the concept of LED and its strategies for implementation was covered in detail. Previous studies indicated that strategies such as the CSOTS were not only peculiar to the Zimbabwe but had been implemented in different countries although they were referred to by various names. The cases in point are South Africa, Yemen and Singapore just but to mention a few. Many writers are agreed that the results of implementation of CSOTS varied from one country to the other. These writers looked at the legal framework of the CSOTS and its suitability in ensuring FDI which is a panacea for development. They caution that the implementation of the CSOTS in Zimbabwe were hurried and tended to be used for political mileage which may undermine its integrity and suitability. The implementation of CSOTS need to be carefully handled since there are potential chances of societal divisions should the program be implemented through nepotism and partisanship. This chapter exposed the missing link in the implementation of the CSOTS which was a clear implementation matrix in form of legal framework as well as potential areas that could be explored further through research.

Chapter three dealt sufficiently with the research methodology which study followed to collect data. The combination of the various sampling techniques were clearly outlined in this chapter where the convenience, judgmental/purposive and simple random sampling techniques were used to collect data reflective of the views of a research population of about 100 000, which centered on a case study of Lupane district. The chapter also covered the research instruments such as questionnaires which included open and close ended questions as well as key informant interviews that were the main data gathering instruments used. These two instruments were complemented by data from secondary sources. The chapter concluded by explaining the data analysis plan as well as ethical considerations which guided the gathering of data.

In chapter four, detailed findings from responses that were solicited using the various data collection instruments were presented. Analysis of the findings was made relating it with the various views of other scholars that were raised during the literature review in chapter two. The data was analyzed following the thematic presentation guided by the broad objectives that had been set out in chapter one. Where possible the presentation of data was illustrated through graphical presentation.

**5.2 Conclusion**

From the study, the researcher managed to establish the following:

**5.2.1** The research revealed that most people from the Lupane community do not have any information about the existence of the CSOTS. The lack of information was mostly evident on the part of the generality of community members and councillors. Some community leaders were a bit enlightened while council employees were fully aware. This finding seemed to confirm the notion that the issue of CSOTS is known only by the privileged and politically connected. This lack of information has a potential of promoting lack of accountability, lack of appreciation of development programs and lack of stakeholder participation. The considered view of this research therefore is that there should be a deliberate outreach effort to inform and create awareness on the generality of the Lupane district about the CSOTS and how it will benefit them.

**5.2.2** The research also established that the CSOTS was relevant to the development needs of the Lupane district. The interviews carried out brought out that the thrust of CSOTS development plans is infrastructure development, skills development and business development just but to mention a few which are a panacea for LED. The CSOTS development plans are in line with the district development plans and there a synergy. There is however a need to ensure effective and broader stakeholder participation in order to ensure that LED is realised.

**5.2.3** The research as well established that the Lupane CSOTS has not been funded 3 years after its launch despite a pledge of $1million. This means the scheme has not taken off the ground which has resulted in the Board of Trustee members failing to sit and deliberate on the business of the CSOTS due to lack of funds for allowances. There is no mechanism to ensure compliance on the part of the companies that make pledges hence companies can just make pledges and fail to honour the pledges because they know that there are no consequences of doing so. There is therefore need to for legal provisions that compel these companies to honour their pledges within a certain timeframe. From interviews carried out with business, it came out that their failure to honour their pledges arose from the fact that they had not started operating owing to legal impediments in obtaining an operating licence. The operating licence application procedures were said to be cumbersome and take too long to complete hence there is need to revise the procedures so as to quicken the process and create enabling business environment in order to attract FDI.

**5.2.4** The research also established that the management structure of the CSOTS was suitable for the effective and efficient management of the scheme. Most respondents particularly Council employees felt that the trustees were best placed to represent the interests of the communities. Community members were not sure of the suitability of management structure of the scheme a situation which clearly points out to lack of adequate stakeholder consultation. There is need therefore to adequately consult all stakeholders with regards to matters of the CSOTS.

**5.2.4** The research concluded that the CSOTS is a viable option for local economic development as it is a pro-poor program which aims to benefit the communities and uplifts their standard of living. However, much as the CSOTS could appear as a viable option for economic boom in the Lupane district, this assertion remains theoretical as nothing has been realised on the ground to validate this. The CSOTS has not been funded and its programs have not taken off the ground although it has good plans on paper. The researcher therefore is of strong view that with adequate funding, effective participation by communities and consultation, the Lupane CSOTS will certainly change the lives of the communities for the better where there will be sustainable development leading to LED.

**5.3 Recommendations**

Due to the research findings given above, the researcher formulated a number of recommendations which if implemented could result in the successful implementation of the CSOTS of Lupane district and lead to LED.

**5.3.1** A recommendation is made to DA to improve information dissemination about the CSOTS within all the communities of Lupane district than to keep people in the dark about development issues that affect their lives. This will ensure that the communities are aware and will participate effectively in development programmes in their areas.

**5.3.2** It is also recommended that communities should be adequately consulted about their development priorities before the implementation of CSOTS development plans so that the projects to be implemented suit the contemporary needs of the communities which are the beneficiaries.

**5.3.3** It is also recommended that the CSOTS development projects be integrated with the existing development structures of the RDC instead of creating a parallel development structure for the management of CSOTS because the development is meant for the same community.

**5.3.4** It is as well recommended that the funds be released to the CSOTS accounts so that the scheme can be rolled out. The scheme was launched some 3 years back but has not done anything because of funding.

**5.3.5** The research makes a recommendation that there should be legal framework to ensure compliance by the businesses exploiting natural resources in the district to the pledges made so that these companies will comply within a given time frame than to leave to these companies to decide when to pay.

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**Appendix 1- Questionnaire I Council Employees**

My name is Million Ndlovu (R12857T), a Bachelor of Science Honours in Local Governance Studies with the Midlands State University. I am doing a dissertation as part of my studies on **Community Share Ownership Trusts/Schemes as a Viable option for Local Economic Development in Zimbabwe: A Case Study of Lupane District Community Share Ownership Trust.** I basically want to find out if the CSOTS can be used to address the development challenges which the community of Lupane is facing. I therefore seek your assistance with information, as much as you can possibly provide, to help me do my research. Your participation is entirely voluntary and all the information you will provide is for academic purposes only. Therefore, you are assured that you will not be identified or identifiable in any way and the information you will provide shall be treated with the strictest confidentiality. Do not write your name on this questionnaire just tick your choice or fill in the blank spaces where appropriate.

# SECTION A

**N=10**

This section focuses on demographic information which is personal information.

1. Age 20 – 30

31 – 40

41 – 50

51 years plus

1. Gender Male

Female

1. Academic Qualification ‘O’ Level

Diploma

Degree

Advanced Degree

1. Marital Status Married

Not Married

1. Employment status Rural District Council

Local Board

6. Category Top Management

Middle Management

Lower Management

Shopfloor emplyee

# SECTION B -CLOSED ENDED / LINKERT QUESTIONS

A. **This part seeks to establish how much the community members are informed about the CSOT and whether the generality of the people in the Lupane community are benefiting from the scheme.**

1. Do you have any information about the Lupane Community Ownership Trust/Scheme?

Yes

No

1. Do you know the companies involved in the exploitation of resources in Lupane which are participating in the Community Share Trust/Scheme?

Yes

No

1. Has community from district benefited from the Lupane Community Share Ownership Trust/Scheme?

Yes

No

Not Sure

1. How do you see the Lupane Community Share Ownership Trust/ Scheme as a development model?

Useful

Not useful

Not sure

B. **This part seeks to collect data about funding and management of the Community Share Ownership Trust/ Scheme.**

1. Has the funds pledged by the investors been injected into the Lupane Community Share Ownership Trust/Scheme accounts?

Yes

No

Do not know

2.Do you think the funds pledged by the investors are enough to cover development projects in the district?

Yes

No

Not Sure

3. Do you know the management structure of the Trust?

Yes

No

4. How do you rate the management structure of the Community Share Ownership Trust?

Excellent

Very Good

Good

Bad

Very bad

5. How do you rate the level of cooperation between your Council and the CSOT?

Excellent

Very Good

Good

Bad

Very bad

C. **This part seeks to solicit data on the suitability of the CSOTS in addressing the challenges being faced by the Lupane community.**

1. The Lupane CSOTS development plans are meant to address the development challenges faced by Lupane district?

Agree

Disagree

2. Do you think the development plans of the CSOTS are pro-poor?

Agree

Disagree

No Sure

3. Is the CSOTS involved in any projects that generate funds in your district?

Yes

No

4. Has the coming in of the CSOTS helped in addressing poverty in your district?

Agree

Disagree

Not sure

D. **The part seeks to gather data on whether the CSOTS are a viable option for LED leading to sustainable human development in rural communities.**

1. Do you think the CSOT can lead to improved infrastructure development in Lupane?

Yes

No

1. Do you agree that the CSOT can lead to increased Local Economic Development?

Agree

Disagree

1. Are you aware of the Lupane CSOTS’ Development plans?

Aware

Not aware

1. Do you think the development plans of the CSOTS are pro-poor?

Yes

No

Not sure

1. Has the coming in of the CSOTS helped in employment creation within the communities?

Yes

No

Not sure

1. Do you think the CSOTS will lead to sustainable development within Lupane district?

Yes

No

Not Sure

**SECTION C- OPEN ENDED QUESTIONS**

1. Would you highlight what you think are the major development challenges faced by the Lupane community.

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2. Do you think the CSOTS are a suitable development tool to solve the challenges faced by the Lupane community?

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3. What would you say about the level of cooperation between all stakeholders involved in the Lupane CSOTS?

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4. What would you say about the suitability of the management structure of the Lupane CSOTS in managing the scheme on behalf of the Lupane community?

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5. Would you share your opinion on how the CSOTS can be efficiently and effectively utilised.

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**Thank you.**

**Appendix 2 Questionnaire II Community Members**

My name is Million Ndlovu (R12857T), a Bachelor of Science Honours in Local Governance Studies with the Midlands State University. I am doing a dissertation as part of my studies on **Community Share Ownership Trusts/Schemes as a Viable option for Local Economic Development in Zimbabwe: A Case Study of Lupane District Community Share Ownership Trust.** I basically want to find out if the CSOTS can be used to address the development challenges which the community of Lupane is facing. I therefore seek your assistance with information, as much as you can possibly provide, to help me do my research. Your participation is entirely voluntary and all the information you will provide is for academic purposes only. Therefore, you are assured that you will not be identified or identifiable in any way and the information you will provide shall be treated with the strictest confidentiality. Do not write your name on this questionnaire just tick your choice or fill in the blank spaces where appropriate.

# SECTION A

**N=140**

This section focuses on demographic information which is personal information.

1. Age 20 – 30

31 – 40

41 – 50

51 years plus

1. Gender Male

Female

1. Academic Qualification Standard 6

Z.J.C

‘O’ Level

Others

1. Marital Status Married

Not Married

1. Employment status Formally employed

Informal

Unemployed

# SECTION B -CLOSED ENDED / LINKERT QUESTIONS

A. **This part seeks to establish how much the community members are informed about the CSOT and whether the generality of the people in the Lupane community are benefiting from the scheme.**

1. Do you have any information about the Lupane Community Ownership Trust/Scheme?

Yes

No

1. Do you know the companies involved in the exploitation of resources in Lupane which are participating in the Community Share Trust/Scheme?

Yes

No

1. Has your community benefited from the Lupane Community Share Ownership Trust/Scheme?

Yes

No

Not Sure

1. How do you see the Lupane Community Share Ownership Trust/ Scheme as a development model?

Useful

Not useful

Not sure

B. **This part seeks to collect data about funding and management of the Community Share Ownership Trust/ Scheme.**

1. Has the funds pledged by the investors been injected into the Lupane Community Share Ownership Trust/Scheme accounts?

Yes

No

Do not know

2.Do you think the funds pledged by the investors are enough to cover development projects in the district?

Yes

No

Not Sure

3. Do you know the management structure of the Trust?

Yes

No

4. How do you rate the management structure of the Community Share Ownership Trust?

Excellent

Very Good

Good

Bad

Very bad

5. How do you rate the level of cooperation between your Community and the CSOT?

Excellent

Very Good

Good

Bad

Very bad

C. **This part seeks to solicit data on the suitability of the CSOTS in addressing the challenges being faced by the Lupane community.**

1. The Lupane CSOTS development plans are meant to address the development challenges faced by Lupane district?

Agree

Disagree

2. Do you think the development plans of the CSOTS are pro-poor?

Agree

Disagree

No Sure

3. Is the CSOTS involved in any projects that generate funds in your ward?

Yes

No

4. Has the coming in of the CSOTS helped in addressing poverty in your area?

Agree

Disagree

Not sure

D. **The part seeks to gather data on whether the CSOTS are a viable option for LED leading to sustainable human development in rural communities.**

1. Do you think the CSOT can lead to improved infrastructure development in Lupane?

Yes

No

1. Do you agree that the CSOT can lead to increased Local Economic Development?

Agree

Disagree

1. Are you aware of the Local Development plans?

Aware

Not aware

1. Do you think the development plans of the CSOTS are pro-poor?

Yes

No

Not sure

1. Has the coming in of the CSOTS helped in employment creation within the communities?

Yes

No

Not sure

1. Do you think the CSOTS will lead to sustainable development within Lupane district?

Yes

No

Not Sure

**SECTION C- OPEN ENDED QUESTIONS**

1. Would you highlight in your own understanding what you think are the major challenges faced by the Lupane community.

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2. Do you think the CSOTS are a suitable development tool to solve the challenges faced by the Lupane community?

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3. What would you say about the level of cooperation between all stakeholders involved in the Lupane CSOTS?

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4. What would you say about the suitability of the management structure of the Lupane CSOTS in managing the scheme on behalf of the Lupane community?

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5. Would you share your opinion on how the CSOTS can be efficiently and effectively utilised.

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**Thank you.**

**Appendix 3 Questionnaire III Community Leaders**

My name is Million Ndlovu (R12857T), a Bachelor of Science Honours in Local Governance Studies with the Midlands State University. I am doing a dissertation as part of my studies on **Community Share Ownership Trusts/Schemes as a Viable option for Local Economic Development in Zimbabwe: A Case Study of Lupane District Community Share Ownership Trust.** I basically want to find out if the CSOTS can be used to address the development challenges which the community of Lupane is facing. I therefore seek your assistance with information, as much as you can possibly provide, to help me do my research. Your participation is entirely voluntary and all the information you will provide is for academic purposes only. Therefore, you are assured that you will not be identified or identifiable in any way and the information you will provide shall be treated with the strictest confidentiality. Do not write your name on this questionnaire just tick your choice or fill in the blank spaces where appropriate.

# SECTION A-DEMOGRAPHIC DATA

**N=15**

This section focuses on demographic information which is personal information.

1. Age 20 – 30

31 – 40

41 – 50

51 years plus

1. Gender Male

Female

1. Academic Qualification Standard 6

Z.J.C

‘O’ Level

Others

1. Marital Status Married

Not Married

1. Employment status Formally employed

Informal

Unemployed

# SECTION B -CLOSED ENDED / LINKERT QUESTIONS

A. **This part seeks to establish how much the community members are informed about the CSOT and whether the generality of the people in the Lupane community are benefiting from the scheme.**

1. Do you have any information about the Lupane Community Ownership Trust/Scheme?

Yes

No

1. Do you know the companies involved in the exploitation of resources in Lupane district which are participating in the Community Share Trust/Scheme?

Yes

No

1. Has the community in your area benefited from the Lupane Community Share Ownership Trust/Scheme?

Yes

No

Not Sure

1. How do you see the usefulness of the Lupane Community Share Ownership Trust/ Scheme as a development model?

Useful

Not useful

Not sure

B. **This part seeks to collect data about funding and management of the Community Share Ownership Trust/ Scheme.**

1. Has the funds pledged by the investors been injected into the Lupane Community Share Ownership Trust/Scheme accounts?

Yes

No

Do not know

2.Do you think the funds pledged by the investors are enough to cover development projects in the district?

Yes

No

Not Sure

3. Do you know the management structure of the Trust?

Yes

No

4. How do you rate the management structure of the Community Share Ownership Trust?

Excellent

Very Good

Good

Bad

Very bad

5. How do you rate the level of cooperation between your Community and the CSOT?

Excellent

Very Good

Good

Bad

Very bad

C. **This part seeks to solicit data on the suitability of the CSOTS in addressing the challenges being faced by the Lupane community.**

1. The Lupane CSOTS development plans are meant to address the development challenges faced by Lupane district and your area in particular?

Agree

Disagree

2. Do you think the development plans of the CSOTS are pro-poor?

Agree

Disagree

No Sure

3. Is the CSOTS involved in any projects that generate funds in your area of jurisdiction?

Yes

No

4. Has the coming in of the CSOTS helped in addressing poverty in your area?

Agree

Disagree

Not sure

D. **The part seeks to gather data on whether the CSOTS are a viable option for LED leading to sustainable human development in rural communities.**

1. Do you think the CSOT can lead to improved infrastructure development in your area of influence?

Yes

No

1. Do you agree that the CSOT can lead to increased Local Economic Development?

Agree

Disagree

1. Are you aware of the Lupane CSOTS’ Development plans?

Aware

Not aware

1. Do you think the development plans of the CSOTS are pro-poor?

Yes

No

Not sure

1. Has the coming in of the CSOTS helped in employment creation and poverty eradication within your communities in your area?

Yes

No

Not sure

1. Do you think the CSOTS will lead to sustainable development within Lupane district and your area in particular?

Yes

No

Not Sure

**SECTION C- OPEN ENDED QUESTIONS**

1. Would you highlight in your own understanding what you think are the major challenges faced by the Lupane community.

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2. Do you think the CSOTS are a suitable development tool to solve the challenges faced by the Lupane community?

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3. What would you say about the level of cooperation between all stakeholders involved in the Lupane CSOTS?

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4. What would you say about the suitability of the management structure of the Lupane CSOTS in managing the scheme on behalf of the Lupane community?

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5. Would you share your opinion on how the CSOTS can be efficiently and effectively utilised.

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**Thank you.**

**Appendix 4 Questionnaire IV Councillors**

My name is Million Ndlovu (R12857T), a Bachelor of Science Honours in Local Governance Studies with the Midlands State University. I am doing a dissertation as part of my studies on **Community Share Ownership Trusts/Schemes as a Viable option for Local Economic Development in Zimbabwe: A Case Study of Lupane District Community Share Ownership Trust.** I basically want to find out if the CSOTS can be used to address the development challenges which the community of Lupane is facing. I therefore seek your assistance with information, as much as you can possibly provide, to help me do my research. Your participation is entirely voluntary and all the information you will provide is for academic purposes only. Therefore, you are assured that you will not be identified or identifiable in any way and the information you will provide shall be treated with the strictest confidentiality. Do not write your name on this questionnaire just tick your choice or fill in the blank spaces where appropriate.

# SECTION A: DEMOGRAPHIC DATA ( Tick in the appropriate box)

**N=15**

This section focuses on demographic information which is personal information.

1. Age 20 – 30

31 – 40

41 – 50

51 years plus

1. Gender Male

Female

1. Academic Qualification Standard 6

Z.J.C

‘O’ Level

**Others**

1. Marital Status Married

Divorced

Single

Widowed

1. Employment status Formally employed

Informal

Unemployed

# SECTION B: CLOSED ENDED / LINKERT QUESTIONS

A. **This part seeks to establish how much the community members are informed about the CSOT and whether the generality of the people in the Lupane community are benefiting from the scheme.**

1. Do you have any information about the Lupane Community Ownership Trust/Scheme?

Yes

No

1. Do you know the companies involved in the exploitation of resources in Lupane which are participating in the Community Share Trust/Scheme?

Yes

No

1. Has your ward benefited from the Lupane Community Share Ownership Trust/Scheme?

Yes

No

Not Sure

1. How do you see the Lupane Community Share Ownership Trust/ Scheme as a development model?

Useful

Not useful

Not sure

B. **This part seeks to collect data about funding and management of the Community Share Ownership Trust/ Scheme.**

1. Have the funds pledged by the investors been injected into the Lupane Community Share Ownership Trust/Scheme accounts?

Yes

No

Do not know

2.Do you think the funds pledged by the investors are enough to cover development projects in the district?

Yes

No

Not Sure

3. Do you know the management structure of the Trust?

Yes

No

4. How would you rate the management structure of the Community Share Ownership Trust?

Excellent

Very Good

Good

Bad

Very bad

5. How would you rate the level of cooperation between your Community and the CSOT?

Excellent

Very Good

Good

Bad

Very bad

C. **This part seeks to solicit data on the suitability of the CSOTS in addressing the challenges being faced by the Lupane community.**

1. The Lupane CSOTS development plans are complimentary to the district plans meant to address the development challenges faced by Lupane district?

Agree

Disagree

2. Do you think the development plans of the CSOTS are pro-poor?

Agree

Disagree

No Sure

3. Is the CSOTS involved in any projects that generate funds in your ward?

Yes

No

4. Has the coming in of the CSOTS helped in addressing poverty in your area?

Agree

Disagree

Not sure

D. **The section seeks to gather data on whether the CSOTS are a viable option for Local Economic Development leading to sustainable human development in rural communities.**

1. Do you think the CSOT can lead to improved infrastructure development in your ward?

Yes

No

1. Do you agree that the CSOT can lead to increased Local Economic Development?

Strongly agree

Agree

Disagree

Strongly disagree

1. Are you aware of CSOTS’s Local Development plans?

Aware

Not aware

1. Do you think the development plans of the CSOTS are pro-poor?

Yes

No

Not sure

1. Has the coming in of the CSOTS helped in employment creation within the communities?

Yes

No

Not sure

1. Do you think the CSOTS will lead to sustainable development within in your ward and Lupane district?

Yes

No

Not Sure

**SECTION C: OPEN-ENDED QUESTIONS**

1. Would you highlight what you think are the major development challenges faced by the Lupane community in general and your ward in particular.

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2. Do you think the CSOTS could be a suitable development tool to solve the challenges faced by the Lupane community and your ward in particular?

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3. What would you say about the level of cooperation between all stakeholders involved in the Lupane CSOTS?

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4. What would you say about the suitability of the management structure of the Lupane CSOTS in managing the scheme on behalf of the Lupane community?

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5. Would you share your opinion on how the CSOTS can be efficiently and effectively utilised for the benefit of the Lupane community.

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**Thank you.**

**Appendix 5 Interview Guide for Key Informants**

1. What resources are being exploited in the district whose benefits should accrue to the Lupane community members?

2. Which are the major investors involved in the exploitation of these resources within the district which are involved in the Lupane CSOTS?

3. How much funding was pledged for the Lupane CSOTS and have these pledges been honored?

4. Is the funding pledged enough to adequately cover the development plans of the district?

5. Are the Lupane CSOTS development plans integrated with the district development plans?

6. Would you explain how this concept of CSOTS as a model of development can lead to Local Economic Development in Lupane district and sustainable human development?

7. .Why has the Lupane CSOTS pledge been not honored?

8. How could the Lupane CSOTS be efficiently and effectively managed to ensure that it yield its intended results?