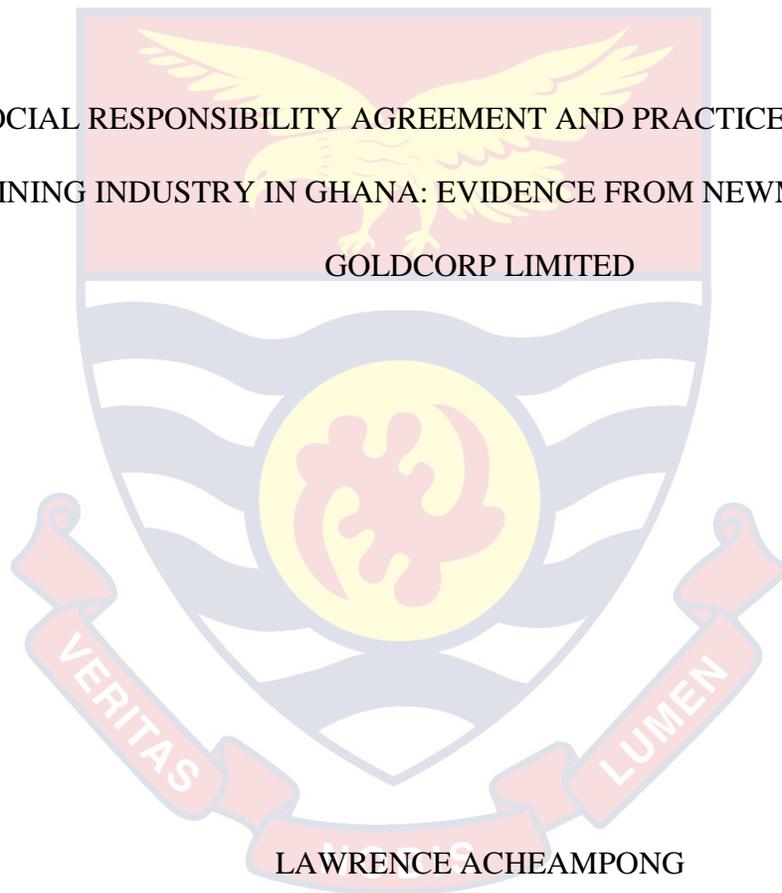


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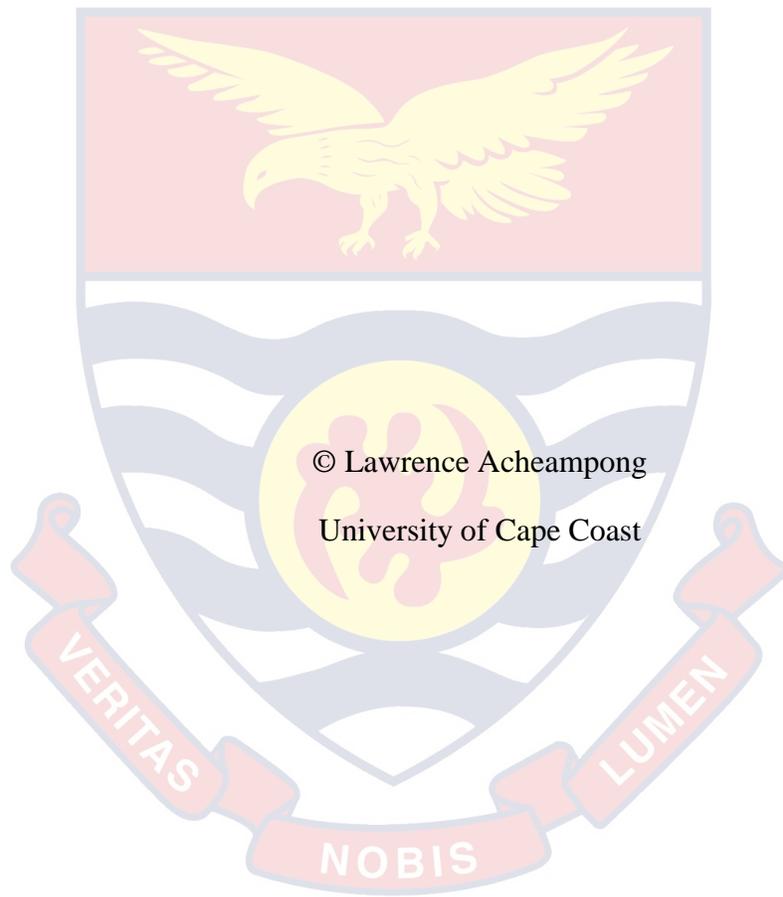
SOCIAL RESPONSIBILITY AGREEMENT AND PRACTICE IN THE GOLD
MINING INDUSTRY IN GHANA: EVIDENCE FROM NEWMONT GHANA

GOLDCORP LIMITED



LAWRENCE ACHEAMPONG

2021



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MINING INDUSTRY IN GHANA: EVIDENCE FROM NEWMONT GHANA

GOLDCORP LIMITED

BY

LAWRENCE ACHEAMPONG

This thesis submitted to the Department of Agricultural Economics and Extension of the School of Agriculture, College of Agriculture and Natural Sciences, University of Cape Coast in Partial Fulfillment of the Requirements for the Award of Doctor of Philosophy Degree in Non-Governmental Organization Studies and Community Development

FEBRUARY, 2021

DECLARATION

Candidate's Declaration

I hereby declare that this thesis is the result of my own original work and that no part of it has been presented for another degree in this university or elsewhere.

Candidate's Signature.....Date.....

Name: Lawrence Acheampong

Supervisors' Declaration

We hereby declare that the preparation and presentation of the thesis were supervised in accordance with the guidelines on supervision of thesis laid down by the University of Cape Coast.

Principal Supervisor's Signature.....Date.....

Name: Prof. Ernest Laryea Okorley

Co-Supervisor's Signature.....Date.....

Name: Prof. Festus Annor-Frempong

ABSTRACT

Signing social responsibility agreements (SRAs) has gained prominence among mining companies recently, however, the nature, practice and implications of these agreements is less understood. The study examined the social responsibility agreement and practice in gold mining industry in Ghana based on evidence from Newmont Ghana Goldcorp Limited. The study employed concurrent non-dependent mixed method research approach, multistage and purposive sampling techniques to collect data from the respondents using questionnaires, structured interview schedules, interview guides and focus group discussions guide. Descriptive and inferential statistics, as well as thematic and content analysis were used to analyze the data. The exploratory case study found that the development and practice of mining SRA is a complex process that requires a skilled moderator. It involves an interconnected process of pre-negotiation, deliberation and consultation, formalization, implementation, and review and evaluation with stakeholders, to produce three agreements - relationship, foundation and local employment agreements. The SRA process is driven by motivation of a mining company to help society, to obtain social license to work, and pressure coming from local communities, CSOs and NGOs. The implementation of mining SRA led to improvement in educational and healthcare infrastructure in the mining communities. The key implementation challenges included poor use of compensation funds, conflict of interest situations in the award of development projects and mistrust among stakeholders. The study recommended that development of mining SRAs should be backed by extensive research, expert knowledge, stakeholder collaboration, conflict management and consensus building, continually.

KEY WORDS

Corporate social responsibility

Gold mining

Legitimacy theory

Livelihood outcomes

Social responsibility agreement

Stakeholder theory

Sustainable community development



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DEDICATION

To my wife, children, my mother and my late father

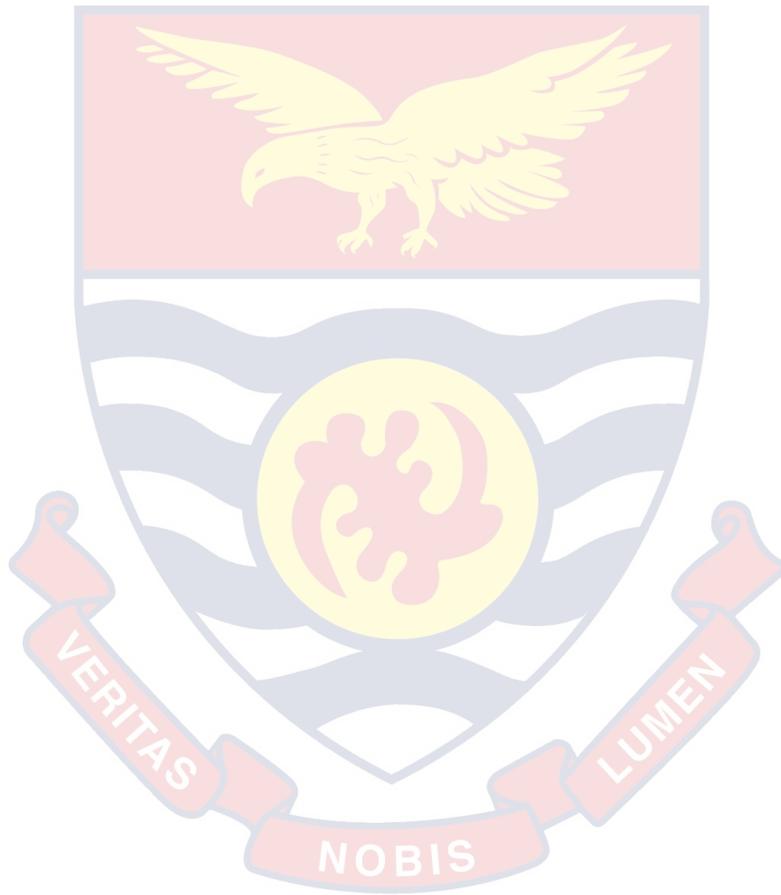


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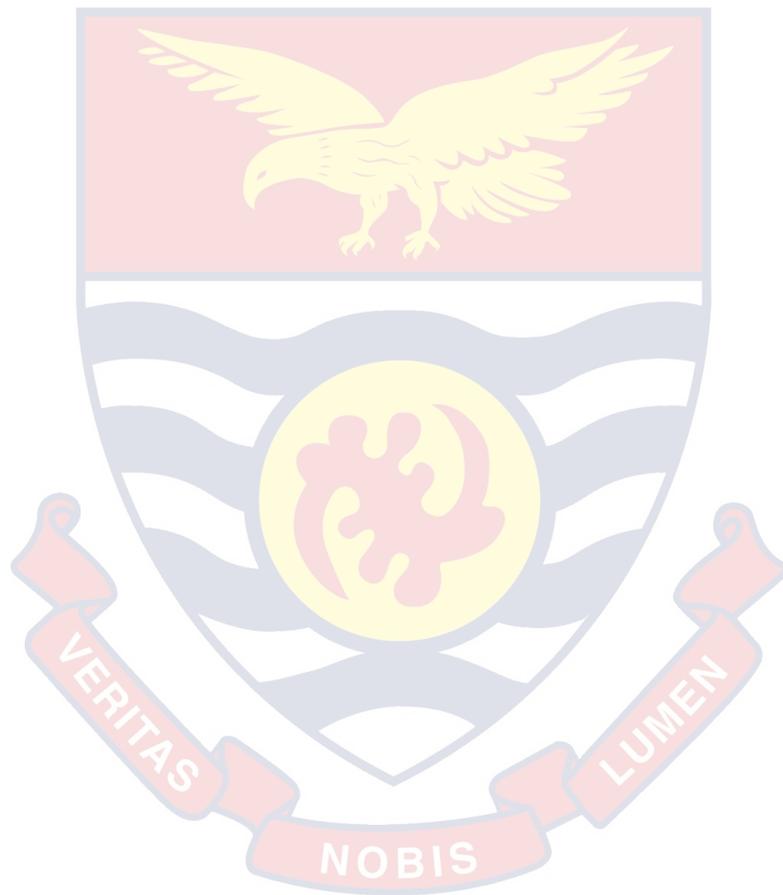
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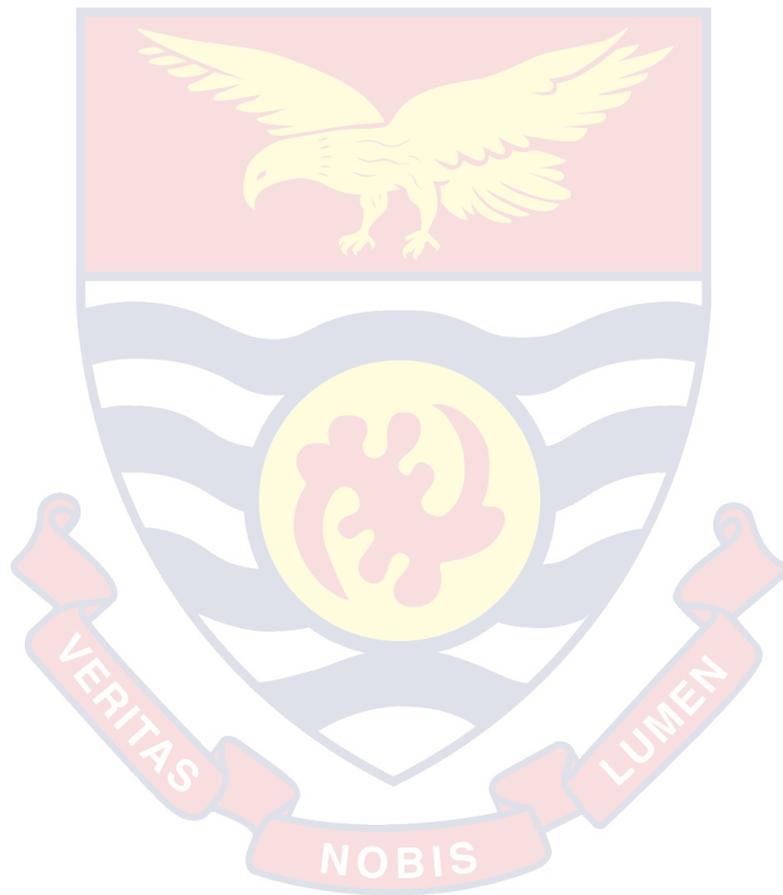
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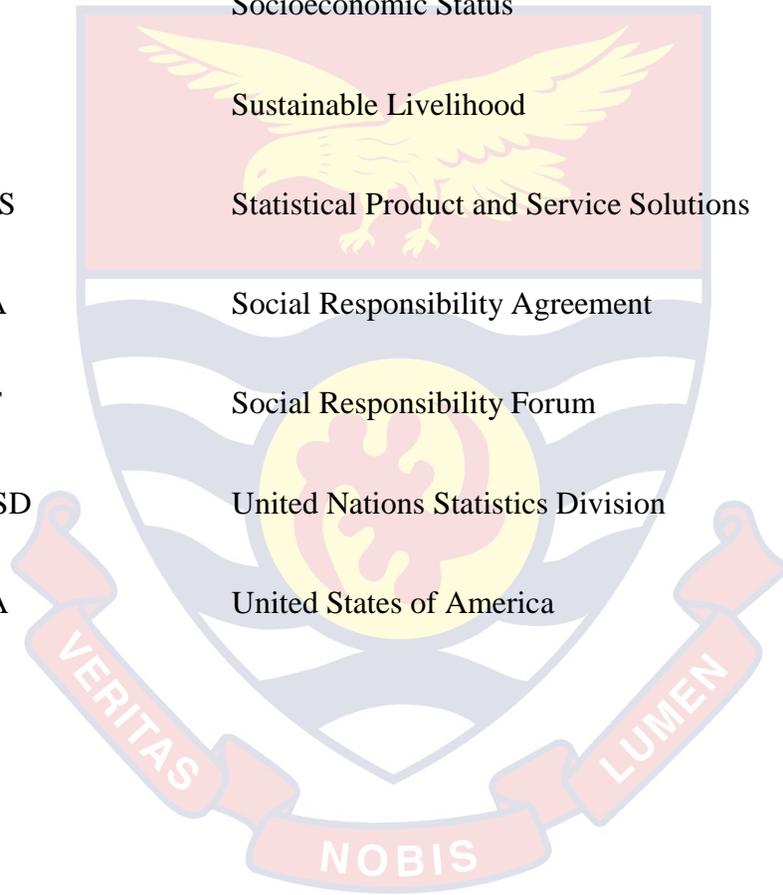
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LIST OF ABBREVIATIONS AND ACRONYMS

ALP	Accelerated Livelihood Programme
AILAP	Agricultural Improvement and Land Access Programme
AU	African Union
BNM	Birim North Municipal
CDA	Community Development Agreement
CHIPS	Community-Based Health Planning and Services
CSOs	Civil Society Organizations
CSR	Corporate Social Responsibility
GDP	Gross Domestic Product
DESA-UN	Department of Economic and Social Affairs-United Nations
DFID	Department for International Development
EU	European Union
GEITI	Ghana Extractive Industries Transparency Initiative
GSBPL	Golden Star Bogoso/Prestea Limited
ICMM	International Council on Mining and Metals
MANOVA	Multiple Analysis of Variance

MoU	Memorandum of Understanding
NGOs	Non-Governmental Organizations
SD	Standard Deviation
SDC	Sustainable Development Committee
SES	Socioeconomic Status
SL	Sustainable Livelihood
SPSS	Statistical Product and Service Solutions
SRA	Social Responsibility Agreement
SRF	Social Responsibility Forum
UNSD	United Nations Statistics Division
USA	United States of America



CHAPTER ONE

INTRODUCTION

Social responsibility agreement (SRA) also called community development agreement (CDA) has gained a lot of prominence in the mining industry recently (O’Faircheallaigh, 2013; Loutit, Mandelbaum, & Szoke-Burke, 2016; Mireku-Gyimah & Gyamfi, 2016). SRA refers to a written agreement between a mining company and local communities concerning its commitment to the developmental needs of the local community (Mireku-Gyimah & Gyamfi, 2016). It has become the popular mechanism for championing development in mining communities Loutit, (Mandelbaum, & Szoke-Burke, 2016). Despite the growing popularity of SRAs in the mining community, its nature, practice and implications for community development is less understood.

The remaining part of the introductory chapter of the study presents the background to the study, statement of the problem, general and specific objectives, research questions, hypothesis, significance of the study, delimitations, limitations, definition of terms and organization of the study.

Background to the study

The mining industry in Ghana is mainly driven by gold, contributing about 95% to the country’s mineral resources (Minerals Commission, 2010, 2015). Ghana is considered as the second largest gold producer in Africa and ninth in the world.

Other minerals of commercial importance in Ghana being exploited by large, medium and small-scale mining companies include bauxite, diamond and manganese. Some of the major players in the mining industry in Ghana include: Newmont Goldcorp Ghana Limited (Ahafo and Akyem mines); AngloGold Ashanti (Obuasi and Iduapriem mines); Gold Fields Ghana (Tarkwa and Damang mines); and Golden Star Resources (Prestea/Bogoso and Wassa mines). Other minerals such as brown clay, kaolin, silica and mica are exploited on small scales by local industries (Minerals Commission, 2015).

The mining sector plays very important role in the economic development of many countries (Musokotwane, 2016). It accounts for more than 90% of the export earnings of Algeria, Equatorial Guinea, Libya and Nigeria. In addition it contributes 80% to the export earnings of Botswana and more than 50% of the export earnings of Mali, Mauritania, Mozambique, Namibia and Zambia (Aguilar-Støen & Hirsch, 2017; Koitsiwe & Adachi, 2015; Oluwatayo & Ojo, 2016). The sector accounts for 50% of export earnings of Peru and also contributes 11% to GDP (Acheampong, 2004). In South Africa, gold contributes 27.4% of mineral revenue to the national revenue kitty and 56% of the mining labour force (Mbendi, 2004).

In Ghana, the sector plays very vital role in the economy (Yeboah, 2008). The mining and extractive sectors are considered as the number one sources of direct domestic revenue. The sector contributed GHC 696.9 million and GHC 969.6 million respectively in 2016 and 2017 to corporate income tax (Ghana Revenue Authority, 2018; Ghana Statistical Service, 2018). The data further show that over

the same period of 2016 to 2017 mineral royalty revenue grew from GH¢ 550.7 million to 702.4 million. In addition, employee income tax grew from GH¢ 399.9 million in 2016 to 487.9 million in 2017 representing a growth rate of 22%. The mining sector also contributes significantly to the country's GDP and employment. For instance, between 2013-2018, the GDP contribution of mining and other extractive sectors stood at 8.5% making it the largest productive subsector within the period (Bank of Ghana, 2018). In addition, the GDP contribution of mining and extractive sector grew from GH¢ 7247.54 million to GH¢ 7410.50 million respectively in the second and third quarters of 2019 (Trading Economics, 2020). Similarly, the sector is considered as the fourth largest economic sector since it contributed about 38% of Ghana's merchandised export between 2013-2018. The sector also provides direct and indirect jobs to so many people. The sector is estimated to offer direct and indirect employment to 10,503 and 111,000 people respectively in Ghana (Ghana Chamber of Mines, 2018). Moreover, the mining sector has contributed to the state of development of sectors like banking, financial services, transport, and logistics (Ghana Chamber of Mines 2018).

Mining also contributes to development through implementation of social responsibility agreements (SRA) programmes for host communities and the general public at large. In 2011, US\$ 43,778,668 million was spent on social responsibility projects by the mining companies in Ghana (Aryee, 2012). The amount was spent on activities ranging from alternative livelihood, education, health, and agriculture. The figures in the Table 1 show that there has been a consistent increase in the mining companies' contribution towards social responsibility. The general question

is whether this increment in SRA spending has resulted in the improvement in the livelihood of people in mining communities.

Despite the aforementioned contributions of mining and extractive industries to economic development, other researchers argue that mining and extractive industries favour developed countries at the expense of the developing countries. For instance, Power (2002) argues that most of the large-scale mining companies in developing countries are owned and operated by foreign multinationals which lead to the greater proportion of wealth derived from the mineral extraction being repatriated instead of being invested locally. The situation deprives the host countries the opportunity of knowledge and technology transfer. Moreover, the value addition facilities are mostly located in the developed countries. As the result, all the minerals mined in the developing countries are exported in their raw form which attracts less returns. Power continued that most developed countries are poor and lack institutional capacity to properly regulate the activities of large multinational companies. This situation has resulted in many of the mineral resource rich developing countries experiencing worst economic performance in the areas of economic growth and poverty reduction (Bulte, Damania, & Deacon, 2005; Power, 2002; Ross, 2018; Sachs & Warner, 2001).

Table 1: Corporate Social Responsibility Expenditure of Mining Companies in Ghana from 2003-2011

Areas of contribution	2004 (\$)	2005 (\$)	2006 (\$)	2007 (\$)	2008 (\$)	2009 (\$)	2010 (\$)	2011 (\$)
Education	486,927	603,519	1,121,061	1,010,203	1,406,203	1,406,203	1,259,262	1,767,790
Health	549,900	332,924	368,440	565,596	415,711	777,486	1,055,260	407,052
Electricity	140,939	65,913	176,086	458,797	333,611	285,319	526,218	1,917,227
Roads	75,291	692,282	399,020	609,146	2,612,992	1,375,626	1,459,049	1,368,497
Water	265,493	349,992	19,543	220,876	649,703	284,668	678,976	1,437,529
Housing	264,749	79,520	1,289,664	618,531	686,523	112,635	155,266	165,633
Agro-Industry	264,783	2,313	1,228,439	386,668	778,970	50,624	-	54,982
Agriculture	9,291	11,201	87,543	743,937	1,551,893	610,353	809,228	1,407,674
Sanitation	116,410	65,503	2,648,974	262,863	405,236	227,844	196,428	202,762
Resettlement	548,496	19,780	2,648,974	4,503,381	567,820	800,188	1,190,371	29,345,274
Alternative Livelihoods	242,215	361,685	880,441	2,897,767	992,973	798,658	2,214,584	175,935
Others	370,691	337,942	845,054	830,747	2,004,228	2,841,649	6,478,411	5,528,313
Total	3,070,436	2,922,573	11,713,239	13,108,555	12,405,863	9,424,312	17,590,471	43,778,668

Source: (Arko, 2013)

Notwithstanding, Power (2002) is of the view that developing nations can reap the full benefit of the mineral resources if the necessary policies are put in place. To this end, government and mining companies have put in some measures to ensure the sustainability of the sector. For instance, government of Ghana in 2014 developed a policy guideline to streamline the operations of mining activities. The policy is dubbed 'Minerals and Mining Policy of Ghana: ensuring mining contributes to sustainable development. The policy was developed taking into cognizance the various policies in the mining sector. The aim of the policy is to ensure sustainable development in the local mining communities.

To meet the goal of the policy, diversification of the nation's mineral production base, and promotion of backward, forward and side stream linkage to the local mineral productions are required. Again, the policy emphasizes the need for the generation of geo-scientific data to promote investment in the local communities. Moreover, there is the need to properly demarcate areas for artisanal and small-scale mining and also put up appropriate mechanism to finance their activities. The policy also highlights the need to improve the capacity of state and non-state institutions involved in mining and extractive activities and also provides a mechanism that will enhance their collaboration in the management and development of mineral resources. Optimization, transparency and equitable distribution of tax revenue were given much attention by the policy.

The policy also aimed at building human resource capacity of the locals so they can be employed along the mineral value chain. Another objective of the policy is to ensure infrastructural development in mining communities, use mining

as means of improving economic development whilst maintaining environmental integrity and promoting social harmony in the mining communities. The policy also aimed at working with regional and sub-regional bodies such as ECOWAS for harmonization of mineral policy in West Africa in particular and Africa as a whole. Moreover, the policy aimed at adopting AU and Intergovernmental Forum of Mining's principles on good governance and transparency in extractive industry (Minerals Commission, 2015).

The policy recognizes the key role of state and non-state institutions in the achievement of the objectives above. To this end, the policy recognizes the collaborative role of the following institutions: Ministry of Lands and Natural Resources, Ministry of Finance, Ministry of Local Government and Rural Development, Ministry of Environment, Science, Technology and Innovation, National Development Planning Commission, Minerals Commission, Precious Minerals Marketing Company Limited, Environmental Protection Agency, Forestry Commission, Water Resources Commission, Office of the Administrator of Stool Lands, Bank of Ghana, Ghana Revenue Authority, District Assemblies, Traditional Rulers, Mining Communities, Ghana Chamber of Mines and NGOs/Civil Society Organizations.

In a similar vein, mining companies came together in 2011 to form the International Council on Mining and Metals [ICMM] to lead in the implementation of sustainable development agenda in the mining industries (Mzembe & Meaton, 2014; Mzembe & Downs, 2014). The ICMM has come up with some principles to govern the operations of its members. The principles provide environmental, social

and governance guidelines to ensure that mining companies contribute actively in the achievement of the UN Sustainable Development Goals (ICMM, 2020). In addition, the principles seek to ensure mining communities derive maximum benefits from the mining activities. The ICMM principles also ensure adherence to ethical business practices and sound system of corporate governance in mining operations as well as incorporation of sustainable development considerations within the corporate decision-making process of mining companies. In addition, ICMM principles lay emphasis on the need to respect the culture, customs, values and fundamental human right of workers and local people.

Again, there is the need to use scientifically approved methods in mitigating risk in the industry and also use integrated approach to conserve biodiversity. Also, the ICMM principles focus on working within the continental framework on improving the environment through product recycling, re-use and responsible disposal of hazardous materials. For the sake of peaceful co-existence, the ICMM encourages mining companies to contribute resources for social, economic and institutional development of operating communities through effective and transparent engagement, communication and independently verified reporting arrangements with stakeholders (ICMM, 2020). Each year, the ICMM assesses the extent at which member companies are adhering to the principles and the results are publish on its website.

In order to operationalize the principles, Ghana Chamber of Mines, an umbrella body of large-scale mining companies in Ghana, binds its member companies to set up corporate social responsibility agreement with the communities

within which they operate (Ghana Chamber of Mines, 2009). The Chamber has come up with code of conduct which binds all member companies to make voluntary contribution towards the socioeconomic and sustainable development of host communities. The code of conduct further entreats member companies to engage catchment communities concerning the implementation of corporate social responsibility projects. Furthermore, the code encourages mining companies to adhere to all the good governance principles relating to the implementation of corporate social responsibility projects. Finally, the code expects mining companies to establish adequate and sustainable streams of funding for smooth take off of corporate social responsibility projects (Arko, 2013).

Based on the charge Ghana Chamber of Mines put on its members, Newmont Goldcorp Limited, one of the world's leading mining companies in Ghana, signed social responsibility agreement with the chiefs and people of 10 communities in the Akyem Traditional area in the Eastern Region of Ghana in 2014 to promote peaceful coexistence and champion sustainable development. The communities are Ntronang, Hweakwae, Adausena, Yaw Tano, Yayaaso, Adjenua, Afosu, New Abirem, Mamaso and Old Abirem in Birim North Municipal Assembly of the Eastern Region of Ghana. The agreement proposed nine key areas towards sustainable development in the mining communities. These are educational support in terms of scholarship and provision of educational infrastructure and apprenticeship training in the areas of dressmaking, hairdressing, welding among others.

The majority of the people in the Newmont Akyem operational communities are into agriculture and as such the agreement seeks to provide support for agricultural activities in terms of supply of agro inputs for development of high value crops such as cocoa, citrus and oil palm. Other areas of agricultural support include; animal husbandry, aquaculture and non-traditional farming. Health needs of the people was also prioritized in the agreement. Another area of concern for the agreement involves the provision of water systems, toilet facilities, sanitation facilities and incinerators. In addition, the agreement seeks to develop and promote local entrepreneurship through skills development, establishment of local industries, access to credit facilities, diversification into alternative livelihoods, grant making for wealth creation and development of markets and shopping malls. Again, natural resource conservation and protection, support for voluntary organizations, security and cultural heritage were given attention to in the agreement (Newmont Akyem Social Responsibility Agreement, 2018).

Statement of the Research Problem

Back in the mid-2000s, many mining firms were extracting mineral resources without being mindful of the environmental and social consequences (Jenkins, 2004). As a result, the media landscape was flooded with news report on negative impact of mining industries on catchment communities. The reports included unprecedented records of abandoned mines, air and water pollution, radioactive contamination, industrial accidents and threats to biodiversity among

others (Jenkins, 2004). Ultimately, the media reports called for the need for SRA by the mining companies to remedy the situation.

The concept of SRA has become a major issue in mining communities. The extractive and mining industries are under pressure to develop CSR intervention to reduce friction between communities where mining occurs and to combat media lambasting of mining on the environment and the society (Fadun, 2014; Morimoto, Ash, & Hope, 2005). In response to the growing public sentiments, mining companies are becoming more accountable in terms of their environmental, social and economic impact on the society (Jenkins, 2004; Warnaars, 2012). Accordingly, mining companies across the world are expected to operationalize their SRA agenda through sustainable waste management, corporate philanthropy, stimulating the growth of local businesses, good working practices, and upholding the rights of marginalized communities.

The argument about the contribution of SRA in the extractive industry is still inconclusive. While extractive industries argue that SRAs has led to the improvement of the livelihood and socioeconomic life of the people in their operational areas, most of the communities think otherwise (Brew, Junwu, & Addae-Boateng, 2015; Mzembe & Downs, 2014). It is still not clear what actually account for the differences in perception of mining industries SRA by management and other stakeholder groups. It is generally accepted that a company's direction towards the SRA agenda is shaped by managerial and stakeholder conceptions of its social responsibilities within a given society (Pedersen, 2010). A mismatch

between these perceptions, particularly in the extractive sector, can give rise to confrontational relationships and conflicts (Warnaars, 2012).

In order to ensure sustainable community development, the gold mining companies in Ghana sign Social Responsibility Agreements (SRA) with the communities in their operational areas. From time to time, the companies carry out studies to find out the extent to which they are keeping up to the contract in the SRA for improvement. However, these studies by the companies are commissioned for internal use only, and therefore, lessons and implications for the wider public in the gold mining industry in Ghana and beyond are limited. There is therefore, the need to examine the SRA and practice in the gold mining industry in Ghana to draw lessons for policy and practice of SRA, and theoretical implications for the CSR body of knowledge.

Newmont is one of the committed corporations in the mining industry in particular and corporate Ghana in general (Kapstein & Kim, 2011). It is the most outstanding mining company with innovative and effective structure towards corporate social responsibility, and has been adjudged the best in terms of fulfilling its corporate social responsibility on several occasions (Owusu-Ansah, Brenya, & Damtar, 2015). Notwithstanding, there have been a number of agitations by communities concerning Newmont's operations. It is therefore important to find out the sources of these perceived success and issues, to draw lessons for effective management of SRAs of mining industries in Ghana.

Objectives of the Study

The general objective of the study is to examine the Social Responsibility Agreement (SRA) and practice in the gold mining industry in Ghana based on evidence from Newmont Goldcorp Ghana Limited.

Specifically, the study seeks to:

1. describe the nature of operation of the Social Responsibility Agreement (SRA) of Newmont Goldcorp Ghana Limited in mining communities in terms of: SRA development process, drivers of the SRA, achievement of objectives of the SRA, effectiveness of the SRA governance, performance of roles of principal stakeholders of the SRA and level of effective participation and transparency management in the SRA.
2. analyze the mining communities' perception of economic, legal, philanthropic and ethical dimensions of the social responsibility agreement.
3. determine the perceived SRA outcomes among members in the mining community.
4. ascertain the determinants of satisfaction of SRA by mining communities.
5. find out the perceived challenges in the implementation of the SRA in the mining communities.

Research Questions

1. What is the nature of operation of the SRA of Newmont Ghana Goldcorp Limited in mining communities in terms of: SRA development process, drivers of the SRA, achievement of objectives of the SRA, effectiveness of

the SRA governance, performance of roles of principal stakeholders of the SRA and level of effective participation and transparency management in the SRA?

2. What is the perception of mining communities on economic, legal, philanthropic and ethical dimensions of the SRA?
3. What are the perceived outcomes of the SRA in terms of sustainable community development, socioeconomic status livelihood outcomes?
4. What are the determinants of SRA by mining communities?
5. What are the perceived challenges in the implementation of SRA in mining communities?

Hypothesis of the Study

1. H₀: There is no significant relationship between satisfaction and nature of SRA (achievement of objectives of SRA, effectiveness of SRA governance, performance of roles by stakeholders of SRA, effective participation and transparency management in SRA), perception on dimension of SRA, perception on sustainable community development, socioeconomic status and livelihood outcomes.

H₁: - There is significant relationship between satisfaction and nature of SRA (achievement of objectives of SRA, effectiveness of SRA governance, performance of roles by stakeholders of SRA, effective participation and transparency management in SRA), perception on dimension of SRA,

perception on sustainable community development, socioeconomic status and livelihood outcomes.

2. H₀: There is no significant effect of nature of SRA (achievement of objectives of SRA, effectiveness of SRA governance, performance of roles by stakeholders of SRA, effective participation and transparency management in SRA), perception on dimension of SRA, perception on sustainable community development, socioeconomic status and livelihood outcomes on level of satisfaction.

H₁: There is significant effect of nature of SRA (achievement of objectives of SRA, effectiveness of SRA governance, performance of roles by stakeholders of SRA, effective participation and transparency management in SRA), perception on dimension of SRA, perception on sustainable community development, socioeconomic status and livelihood outcomes on level of satisfaction.

Significance of the Study

Mining companies cannot successfully operate without the full cooperation of the communities within which they operate (Luning, 2012) and would require legal license from the government, as well as social license from the catchment communities. SRA is viewed as very critical to the success of any mining company (Carroll & Shabana, 2010), and seeks to bring to life the social license. SRA ensures that business recognizes the importance of the public to the achievement of goals; the need to protect the environment while mining; makes prudent use of natural

resources and maintenance of high and stable levels of economic growth and employment (Suescun, María , Nicole, & María, 2015).

This study has contributed to literature on global good practice on managing communities on SRA and existing relationships between mining company and associated communities in developing countries. The study has brought forth some of the inefficiencies in the implementation of extractive sectors social responsibility agreements and suggested a possible way to address them so that the situation does not get out of hand. Communities and civil society can use the information provided to negotiate SRAs, claim entitlements and maximize the benefits from local mining industries. Again, this study has provided a valuable tool that policymakers can use to link development of mineral resource and sustainable community development. Finally, the study has provided a new model for developing mining SRAs in developing countries. This new model will go a long way to contribute to the debate on the SRA.

Delimitations of the Study

The study focused only on Newmont Akyem operational area. Newmont operations in Ghana included Ahafo mines but was excluded from the study because there had been a collapsed mine pit which resulted in some deaths and unrest in the area. As such, the area was unsafe for the study to be conducted. The study focused on the economic, legal, ethical and philanthropic dimensions of corporate social responsibility (Carrol, 1991), without rating the dimensions in hierarchical order. Carrol's dimensions of CSR were considered because it is very

comprehensive and as such, takes social and environmental dimensions into account in its operationalization.

The concept of sustainable community development captures variables in the Social Responsibility Agreement between Newmont and the study communities. The socio-economic status is defined in this study to include access to education, transport, housing, portable water, health and job. Lastly, livelihood covered income, food security, shelter, family support, and asset acquisition.

The operational time period for the SRA in this study spanned between 2014 to 2018. This represent a full circle of the implementation of the SRA. As such its impact could be easily determined.

Limitations of the Study

The views of the respondents were greatly influenced by a clash that led to an entrenched position of members of the community and the mining company on payment of compensation. Mining-affected farmers who felt cheated by an offer of one-year compensation from Newmont Akyem instead of an alleged 15 years revolted against the Mines. The data collection was halted for 3 months until tempers cooled down. The affected communities were skeptical about the research and felt Newmont Akyem had contracted the researcher. Further, some of the respondents were not forthcoming in their responses because similar research conducted by Newmont Akyem had classified some of them as not needy farmers which they said was not true. The researcher persuaded the leaders of the various

groups to understand the study and also convinced members to participate in the study.

It took a period of four months for the researcher to secure appointment and interviewed officers from Newmont. This was made possible through the intervention of a consultant of the company who explained to the company the importance of the study and what the outcomes could be used for. The researcher intended to conduct a focus group discussion in each of the identified mining communities (multiple data sources) for triangulation of the results, but the turbulent situation in the community did not allow the researcher to cover all the eight identified communities as intended. As such focus group discussions was conducted in only four communities.

Definition of Terms

Sustainable development: This term refers to the use of mineral resources to invest in projects that will help both current and future generations to meet their needs.

Socioeconomic status: This is defined as a person's access to education, transportation, housing, portable water, health facilities and well-paid job.

Livelihood outcomes: These represent the achievement of various developmental projects in the mining community in terms of increase in income, food security, shelter, family support, and assets acquisition.

Corporate social responsibility: This is defined as the mining firm's commitment to achieve its economic, legal, ethical and philanthropic responsibilities.

Social responsibility agreement: This concept refers to the written agreement between mining company and local community concerning its commitment to the developmental needs of the local community.

Project affected persons: These are individuals who were relocated from their previous place of resident to a resettlement community and those who lost their properties in terms of land, crops, and building as the results of the mining operations.

The company: The company as used in the result and discussions section of the thesis refers to Newmont Akyem Mines.

The agreement: This refers to the Newmont Akyem Social Responsibility Agreement.

Organization of the Study

The thesis is organized into nine chapters. Chapter one presents the introduction of the study which focuses on the background to the study, statement of the problem, research objectives, research questions, significance of the study, delimitation, limitation and definition of key terms. Theoretical framework, review of concepts, empirical review of related literature and conceptual framework are presented in chapter two. The third chapter focused on research methods. The research methods section has been divided into the following parts: research approach, research design, choice of Newmont as study organization, description of the study area, population, sample size and sampling procedure, data collection instruments, pre-testing of data collection instruments, validation and reliability of

data collection instruments, data collection procedure and data processing and analysis. Chapter four presents result and discussions on the nature and operations of SRA in mining communities. The result and discussion on community's perception of mining company's SRA activities has been presented in chapter five. Chapter six focused on the contribution of SRA towards sustainable community development, socioeconomic status and livelihood outcomes. Respondents' level of satisfaction of mining SRA has been discussed in chapter seven. Challenges in implementation of social responsibility agreement is presented in chapter eight. The final chapter presents the summary, conclusions, recommendations, theoretical implications of the study and suggestions for further studies.

Chapter Summary

Keys issues in the study have been introduced in this chapter. It first advanced arguments in support of the contribution of the mining industries in the socioeconomic development of nations. It particularly emphasized the role of mining companies SRA in the development of local communities. Various international, regional and local policies and guidelines shaping the SRA agenda of mining companies were highlighted. The chapter again captured the research gap this study sought to fill as well as the significance, limitation, delimitations and definition of key terms.

CHAPTER TWO

LITERATURE REVIEW

Introduction

Literature review is an integral part of the research process which provides significant input to almost every aspect of the research. It helps the researcher to clarify researcher questions and better focus on the problem of enquiry; and also develops appropriate methodology for the research (Kumar, 2005). In addition, it abreast and updates the researcher's own knowledge base and helps to contextualize findings within the existing body of knowledge (Kumar, 2005). This chapter presents the theoretical framework of the study as well as the review of literature on key concepts and terms pertinent to the study. Empirical review, conceptual framework and summary of the pertinent issues in the study are also presented in this chapter.

Theoretical Framework of the Study

The study was guided by the stakeholder theory and legitimacy theory and of corporate social responsibility. Detailed explanation of the theories and their relevance to the study are presented below.

Stakeholder Theory

According to the stakeholder theory, there are several agents who are interested in firms' activities apart from its shareholders (Fadun, 2014). As such

managers of organizations are expected to be accountable to all interested parties or stakeholders. The stakeholders are people or group of people who have an interest in a companies' operations (Branco & Rodrigues, 2007; Michelon, Boesso, & Kumar, 2013). Thus, stakeholders are those who are harmed or benefit from a company's operations. They could also be people whose rights have been violated or about to be violated (Taneja, Taneja, & Gupta, 2011). According to Clarkson (1995), there are two main types of stakeholders: primary and secondary stakeholders. Primary stakeholder is anyone with functional interest in the smooth operation of the organization. An organization cannot function without the full support of its primary stakeholders. Secondary stakeholders on the other hand are those who are not directly involved in the operations of an organization.

Every organization has several stakeholders with diverse expectations. These stakeholders tend to compete for organizations resources both in kind and in cash (Sharma & Kiran, 2013). This, therefore, calls for organizations to come out with very effective mechanisms and procedures to effectively manage their stakeholders. In order to serve the diverse stakeholder needs, organizations are expected to adopt appropriate policies and programmes to meet the needs of its primary stakeholders (Carroll & Buchholtz, 2011). This then follow that firms are unlikely to fulfill their economic and non-economic responsibilities unless they engage in a proper stakeholder management. In order to attract and maintain the interest and support for all stakeholders, the stakeholder theory entreats firms to balance the claims of its shareholders with that of the stakeholder groups (Reynolds,

Shultz & Hekman, 2006). It challenges the assertion that shareholders interest should take precedence over that of other stakeholders (Orts & Strudler, 2002).

The theory opined that shareholders are only a fraction of the numerous claimant of the resources of the firm, Laplure, Sonpar and Litz, (2008) and as such there should be a fair balance in meeting their needs and that of the other stakeholder groups (Ruf, Muralidhar, Brown, Janney, & Paul, 2001). It is only when the needs of the stakeholders are met that an organization can attract and maintain their support (Reynolds *et al.*, 2006). Ultimately this will give the organization the needed social license to operate. Due to the firms scarce resources and heterogeneous and unlimited needs of its stakeholders, there is the need for the firm to apply certain principles to aid it in its resource allocation.

According to (Laplure *et al.*, 2008), stakeholder theory could be used as a managerial tool to isolate the most important stakeholder groups for greater attention. Mitchell, Agle, and Wood (1997) therefore, identify urgency, legitimacy and power as the most important attributes of stakeholders that need to be considered by an organization when allocating resources to the various stakeholder groups. Power has to do with the stakeholders ability to influence the outcome of a given phenomenon (Mitchell *et al.*, 1997). Legitimacy deals with the perception and believe that stakeholders claims are proper, desirable, or appropriate (Thorne, Debbie, Collins & Ferrell, 2008). Lastly, urgency has to do with time sensitivity and appropriateness of the stakeholders request (Laplure *et al.*, 2008). In addition, Sachs, Maurer, Rühli, and Hoffmann (2006) have also categorized stakeholders into four groups as benefit providers, benefit receivers, risk providers and risk

bearers. As such, stakeholders could be placed at different levels of salience based on the number of categories they fall within. Based on the above categorizations, Cooper and Owen (2007) have identified the following stakeholder groups: shareholders, employers, customers, the local community and the environment. It is worth noting that one individual may have different task in the organization (Neville & Menguc, 2006). According to Werther Jr & Chandler (2011), organizations should be cognizant with three main stakeholder groups namely; societal, organizational and economic stakeholders. The organizational stakeholders are the people within the organization who have direct interest in the company. The main players in this category are the employers and the shareholders in the organization. Their main interest is the maximization of the firm's profit.

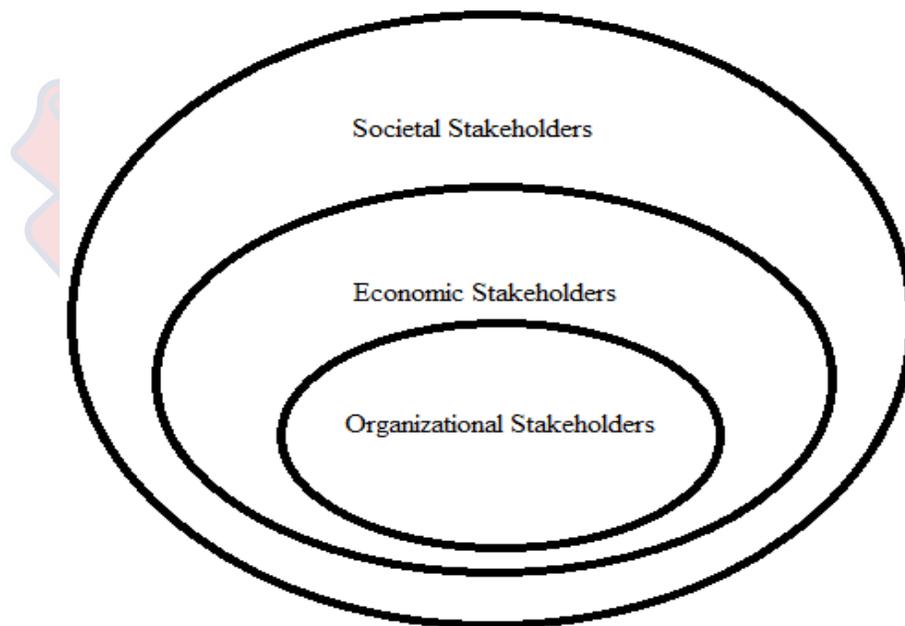


Figure 1: Stakeholder Classification

Source : (Werther Jr & Chandler, 2011).

The economic stakeholders include bankers, creditors, customers, and suppliers. They serve as the main interface between the firm and the external environment. Finally, the societal stakeholders provide the playing ground for the smooth operation of the organization. They include government agencies, Non-governmental Organizations, regulators, local communities and the environment itself. A good relationship between these stakeholders could provide the organization with a good corporate image (Werther Jr & Chandler, 2011).

Legitimacy Theory

Legitimacy theory postulates that organizations seek to operate within the norms, values and expectations of the communities within which they operate and as such organizations are required to report on issues that are deemed necessary by their host communities (Deegan, Rankin, & Tobin, 2002). The theory, therefore, argues that there is a social contract between an organization and its operating societies (Deegan *et al.*, 2002; Deegan, Rankin, & Voght, 2000). Organizations are obliged to perform socially desired activities in the society in order to secure the approval of the host community (Deegan *et al.*, 2000). The social contract ensured that organizations operate within the expectations of the society (Fernando & Lawrence, 2014). Organizations always strive to work within the ambient of the contract in order to legitimize their operations. It then follows that the very sustenance of an organization is at risk if the society perceived that the organization has breached its social contract (Deegan *et al.*, 2002). There are several tools at the disposal of the society that could be used to revoke the social contract of an organization and this includes but not limited to lobbying of

government to restrict the operations of the organizations, boycott of the company's products, and strikes and demonstrations (Deegan *et al.*, 2002; Deegan *et al.*, 2000).

The legitimacy theory considers the society as a whole and not the individual interest of its members (Deegan *et al.*, 2002). The theory is much concerned with the relationship between the organization and the society as a whole. Organizations take resources in the form of human and material resources from the society and in return the society also patronizes the organizations products. This, therefore, calls for cordial relationship between them. As such, the theory argues that organizations should not only concentrate on meeting the needs of its shareholders as postulates by the shareholder theory but rather must try as much as possible to meet the expectations of its stakeholders. This is because without meeting the expectations of the stakeholders, shareholders' investment is at jeopardy (Gray, Adams, & Owen, 1996; Owen, Gray, & Adams, 2009; Spurgin, 2001).

Implementation of this theory poses a lot of challenges to organizations. First, it is very difficult to define the term social contract because it could be expressed implicitly or explicitly and as such cannot be known with exact precision (Deegan *et al.*, 2002; Fernando & Lawrence, 2014; O'Donovan, 2002). According to Gray *et al.* (1996), the legal requirements of the social contract constitute the explicit dimension of the contract while the implicit aspect is captured in non-legal societal expectations Deegan *et al.* (2002). It is the implicit dimension that possess a lot of challenges to organizations since it is subject to the

perception of the managers' and society's interpretation (Deegan *et al.*, 2002; Deegan *et al.*, 2000). To deal with this situation, organizations are expected to sign formal agreements with local communities; specifying focus of projects for the community

In addition, societal expectations are transient; they keep on changing over time. This then implies that the conditions under which the social contract is conferred on organization change with time. This calls for organizations to be in tune with the exigencies of the current situation so they could appropriately respond to the needs of the society (Deegan *et al.*, 2000). Lindblom (1994) suggests four strategies which organizations could adopt in order to legitimize their operations amidst the changing societal needs. The strategies include: Train relevant stakeholders on their actual performance of the organization; modify the views of relevant stakeholders on the underlying issues without altering the actions of the organization; redirect or direct attention away from the issue of concern and attempt to divert attention to a favorable problem; and/or try to alter perceived performance standards of the organization.

Review of Concepts and Key Issues in the Study

The Concept of Responsibility

Responsibility is derived from the word response which means 'answer' and 'ability'. This implies that responsibility connotes a person's ability to answer, to give account of once behaviour and to be held accountable of a given action (Bovens, 1998). There is no single acceptable definition for the word

‘responsibility’ in its stand-alone form. Responsibility is usually defined as an ex ante obligations one has in connection with future acts and behaviors such as position, normative and moral obligations and ex post responsibilities to which one may be subjected to in connection to past actions or behaviours such as function, normative, moral, causal, measured and felt responsibilities (Bergsteiner, 2013).

According to Enderle (2010), responsibility is made up of the subject of responsibility, the content of responsibility and the authority of responsibility. Enderle explains that the subject of responsibility (also the bearer of responsibility) is the one who bears responsibility. Bearing responsibility presupposes and implies personal identity, free will and the ability to act accordingly. The bearer of the responsibility may be an individual, a community, society or a legally defined private or public corporation. The content of responsibility is the subject matter and the actions one is responsible for whilst the authority of responsibility connotes the individual, society and community one is accountable to.

Goodpaster and Matthews (1982) emphasize three different meanings of responsibility: to indicate that someone is to blame, to indicate that something needs to be done, and finally to indicate that some form of trustworthiness can be expected. This definition illustrates that businesses have moral obligation to the society. Again, it clearly showed that there is a link between individual action and that of the corporation. Goodpaster and Matthews (1982) further explained that organization that monitors the effect of its activities on the society in terms of job creation, health and safety, and environmental performance could be compared to the moral obligation an individual has on the society. Explaining further, Kaptein

and Wempe, (2002) argue that organizations are moral entities and as such engage in independent practices that can be subjected to moral judgement. This is also in line with Enderle's (2014) stance, that companies could be held legally accountable for their conduct because they act with intent as collective entities. This position is in line with the generally accepted legal position that corporations such as mining companies are persons and as such have both right and responsibility.

Hsieh, (2004) is of the view that corporations benefit directly from the communities within which they operate as such have the responsibility to assist. Explaining further, Hsieh argued that corporations have a moral responsibility to assist those affected by their operations in order to improve on their socioeconomic conditions. Moreover, Hsieh opined that the presence of corporations in a given community put some burdens on the community in terms of pollution, rising cost of living, social vices, health problems and pressure on limited infrastructure. It stands to reason that organizations assume some form of responsibility to lessen the mess they create in the community in order to ensure sustainable community development. It is in line with this argument that mining companies all over the world have signed agreement with communities to provide them with some form of assistance.

Conceptualizing Corporate Social Responsibility

The concept of corporate social responsibility has attracted the attention of business practitioners and researchers over the past five decades due to its impacts on human development (Enuoh & Eneh, 2015; Fadun, 2014; Moon, 2002). The concept has received diverse opinions in the past five decades among academicians

and practitioners (Fadun, 2014). The argument about the meaning and approaches are still ongoing whilst answers are being sought about the need for businesses to go beyond meeting the needs of the shareholders in the quest to develop CSR agreements (Enuoh & Eneh, 2015). There is no one universally accepted definition for CSR due to its multidisciplinary nature in practice (Carroll & Buchholtz, 2011; Crane, Matten, McWilliams, Moon, & Siegel, 2008; Dahlsrud, 2008; Fadun, 2014; Taneja *et al.*, 2011). Different countries, local and multinational organizations pursuing social development programmes have defined CSR differently (Brew *et al.*, 2015; Dahlsrud, 2008; Enuoh & Eneh, 2015; Fadun, 2014). Hence different terms such as corporate social performance, corporate social investment, cooperate social responsiveness, cooperate citizenship, ethical business practices, stakeholder management, corporate sustainable business practices are being used to refer to CSR (Basu & Palazzo, 2008; Carroll & Shabana, 2010; Fadun, 2014; Sharma & Kiran, 2013).

Advocates of CSR argues that besides making profit businesses have the responsibility towards the society and it is ethically responsible for its actions, strategies and decisions since they affect stakeholders (Fadun, 2014). Furthermore, it behooves on businesses to sacrifice some portions of profits for the good of the society. Firms are expected to operate in an ethical manner and formulate friendly policies and programmes in the interest of stakeholders (Fadun, 2014). Carroll and Buchholtz (2011) further assessed that CSR should focus on economic, legal, ethical and philanthropic expectations the society places on business organizations. Carroll (1979, 1991) definition of CSR is the most acceptable and widely used.

Corporate social responsibility was defined as the commitment of businesses to adhere to the economic, legal, ethical and philanthropic objectives of the firm in order to ensure sustainable community development and improve quality of life of workforce and the society at large. Despite the popularity of this definition, researchers continued to search for more widely acceptable definition. Dahlsrud (2008), came up with five main dimensions of corporate social responsibility worth considering in any definition. These are: economic, social, voluntariness, environmental value creation and stakeholder relations. The willingness of businesses to use corporate resources to improve the wellbeing of its stakeholders was proposed by (Carroll & Buchholtz, 2011; Fadun, 2014). Zadek (2000) argued that CSR should be implemented to enhance the image and reputation of businesses.

Temitope, Ogechukwu, and Okonmah (2009) emphasized that corporate social responsibility is an obligatory move and geared towards mitigating the challenges of society so as to compel organizations to be responsible and accountable to stakeholders. Basu and Palazzo (2008), had opined that corporate social responsibility is capable of ensuring labour and human right of staff, eliminating bribery and corruption, ensuring transparency, consumer protection and disclosure of information. Freeman (1998), suggested corporate social responsibility as a management process focusing on social, environmental and relationship issues with stakeholders. UNIDO (2007) agreed to the meaning of CSR as a conduit to ensure economic, environmental, and social stability of businesses. Heizig and Moon (2013), posited that corporate social responsibility enables businesses to deal with the negative effects of business activities on people,

improves on the welfare of people, ensure probity and accountability and also improves the management of business-society-interface. Hill, Ainscough, Shank, and Manullang (2007) emphasize the need to consider economic, moral, legal and philanthropic action of organizations that affect the lives of stakeholders in corporate social responsibility agreements. The European Commission (2011) in its definition of corporate social responsibility encouraged organizations or firms to consider social and environmental issues of the community in the CSR agenda in order to win the support of stakeholder. Slack (2012), worked with extractive industry and viewed corporate social responsibility as environmental and human right standards and chided businesses to consider health and education to the local communities in CSR agreements.

The Pyramid of Corporate Social Responsibility

The Carroll's pyramid of CSR (Figure 2) has engaged the attention of many businesses and scholars over the years (Laplure *et al.*, 2008). The model postulates that CSR should be viewed as pyramid consisting of four main dimensions, namely: economic responsibility at the base followed by legal responsibility, ethical responsibility and philanthropic responsibility at the pinnacle of the pyramid.

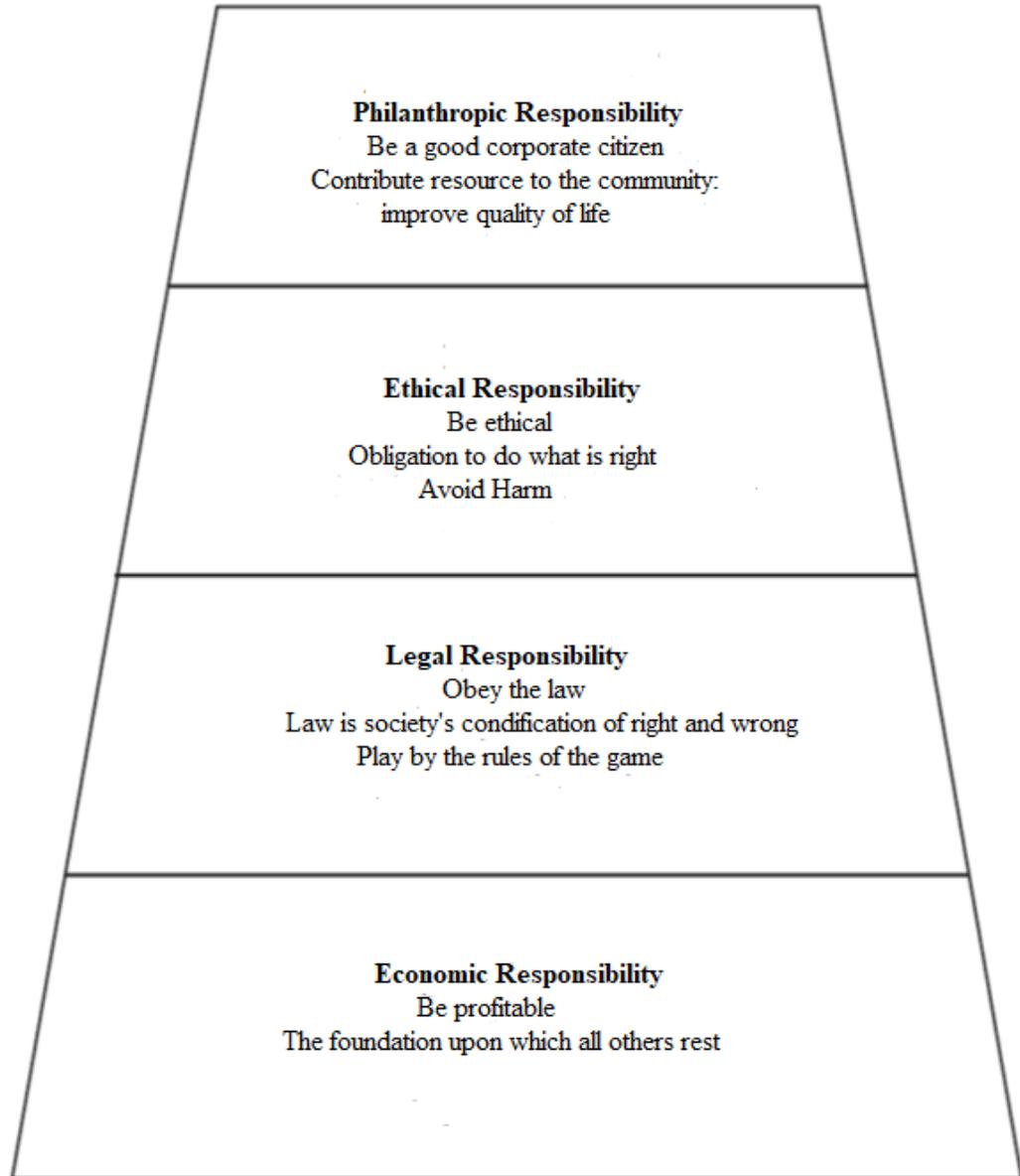


Figure 2: Pyramid of Corporate Social Responsibility

Source: Carroll, (1991)

The model assumed that the foundation of activities of a business is economic or profit making which is supposed to support all other activities and efforts of the organization. Sitting on top of the economic responsibility is the legal responsibility that every organization is expected to abide by. Firms are expected

to play by the rules of the game by obeying the laws set up by the society to codify what is wrong or right. The model further assumes that once a firm abides by a legal responsibility, it should be ethically responsible to the staff and key stakeholders. Ethical responsibility expert firms to do what is right, just and fair and do not cause any harm. The philanthropic responsibility is assumed to be at the pinnacle of the activities of the firm. In this, firms are expected to contribute resources voluntarily to improve the quality of life of the society. In other words, business is supposed to be good corporate citizens.

Visser (2005), found differences in the rating of the components but agree to the fact that CSR is made of the components identified by Carroll. (Pinkston & Carroll, 1996) showed that the relative weighting of economic and legal responsibility has decrease with an increasing ethical responsibility in a study that examined the shifting orientation of CSR in the face of changing society's priority. On the other hand, Edmondson and Carroll (1999) found economic responsibility as the most important component whereas ethical responsibility was rated above legal responsibility in the study of the philanthropic motivations, orientations and activities of large black owned businesses in the US. Visser (2005) suggested cultural dimension as the main factor responsible for the differences in the priorities attached to the various aspects of CRS. Geva, (2008); Gualtieri and Topić (2016) identified economic dimension of the model as most important but showed no difference between the other dimensions.

Conversely, Kanji and Agrawal (2016), argue that the dimensions of CSR are not in hierarchy but they are integrated. Carroll and Buchholtz (2003) explain

that none of the components is superior to the other but there is an integration of economic, legal and ethical dimensions of CRS. Davis (1960) therefore, asserts that businesses are social creation and as such must be more committed to meeting the social needs of the society and not just focus on profit making. Businesses can only thrive and make profit in a very supportive social system. In order to earn the social support businesses might be willing to support the society by fulfilling their social responsibilities and obligations (Kanji & Agrawal, 2016).

Notwithstanding, many authors have alluded to the importance of economic, legal, philanthropic and ethical issues of CSR for effective operationalization of activities of extractive industries (Fadun, 2014; Mzembe & Downs, 2014; Brew *et al* 2015; Enouh & Eneh, 2015). The pyramid of CSR has been found to be comprehensive and covers the most substantial issues in the CSR debate.

Conceptualizing Socioeconomic Status

The concept of socioeconomic status [SES] is defined differently by different individuals, disciplines and organizations to suit their own orientations. From the lenses of social sciences, SES is a construction that represents one's access to the commonly-desired resources, be they material goods, energy, strength, friendship networks, health care, leisure time, or educational opportunities (Oakes & Rossi 2003). The availability of such resources helps individuals, groups and organizations to succeed in the social world (Smith, Mulder, Bowles & Hill, 2011).

Smith *et al.* (2011) defines socioeconomic status as the social hierarchy or stratification that exists within a given society. The hierarchies may also be highly

multidimensional and sophisticated, such as contemporary human societies, with multiple subgroups and subcultures, and stratification constructed along many lines, including intellect, appearance, ability, experience, age, heritage, language accent and work ethic. Relatively, the level of inequality within and between dimensions of SES varies as well. Various indicators are used during interaction to indicate one's level of social status in the society. Key among the indicators are professional names, titles, clothes, hairstyles, type of vehicle and type of residential facility (Gesquiere *et al.* 2011; Sapolsky, 2005).

Oakes and Rossi (2003) identified social class and socioeconomic position as synonyms to SES. Thus, social class is used to locate one's position in the social hierarchy and measures individual's relationship to means of production. Explaining further, Krieger, Williams and Moss (1997) and Wright, (1985) are of the view that social class measures seek to classify persons based on whether they own business or not. European scholars often prefer to use the term socioeconomic position instead of socioeconomic status (Galobardes, Shaw, Lawlor, Smith & Lynch, 2006). Oakes and Rossi (2003) contend that the use of the term socioeconomic status connotes meaning that is limited to occupational prestige which seems to be outdated. Unlike social class, socioeconomic position looked at the hierarchical position of an individual or organization in the social system.

The term socioeconomic is made of two concepts; economic and social that are combined to measure individuals work experience and family's economic and social position. The economic dimension focuses on employment, income, home ownership and financial assets whilst the social dimension entails prestige,

authority, occupation and educational standing in the community (Oladipo & Adekunle, 2010). Socioeconomic status is defined as the position of a person on a socio-economic scale that assesses education, income, type of occupation, place of resident, cultural possession, prestige and level of social participation. The relevance and weight that is ascribed to this factor is society specific (Oladipo & Adekunle, 2010). This makes it very difficult to have a universally accepted meaning to socioeconomic status and therefore behooves on researchers and people working with socioeconomic data to be circumspect of the meaning a particular society they are working with ascribes to socioeconomic status in order to make research findings more relevant.

Defining SES in the 21st century has become more difficult than it was in the 19th century. In the past, SES was used to describe physical strength, intelligence and/or choice of parent but in the modern era, wealth, income, educational attainment and occupational prestige have become the pillars of SES (Oakes & Rossi, 2003). It is still important to note that, there is no consensus among researchers and practitioners on the indicators that are used to measure SES. Notwithstanding, most scholars seem more interested in SES because it serves as the indicator of health of a particular society which is measured against some meritocratic ideal (Bowles, Gintis & Wright, 1998). The meritocratic ideal implies that irrespective of one's birth right or inherited endowment, an individual has strived hard to improve SES through effective utilization of inherited endowment. Societies without the potential to utilize the inherited endowment to improve on socioeconomic status is considered as unhealthy and backward.

SES is considered as a latent variable like mood or wellbeing and as such cannot be directly measured like weight or height that can be measured with mechanical device (Oakes & Rossi, 2003). SES is a very complex construct that puts a person or group of persons' access to culturally relevant resources that are useful for moving up the social hierarchy. Thus, SES measures should be linked to a particular culture, era and geographical area. For instance, the source of power among all human societies may be similar, the nuances of social stratification and social mobility seem different and as such will require different SES measures (Henrich *et al.*, 2005; Smith *et al.*, 2011; Van Leeuwen & Maas, 2010). Modern social sciences have mainly aimed at assessing the SES of individuals and families and how these measurements have changed over time. The history of these efforts has already been clarified, particularly in post-WWII America (Galobardes *et al.* 2006; Krieger *et al.* 1997; Oakes & Rossi 2003; Van Leeuwen & Maas 2010). Suffice it to say that until recently, such work focused on occupational rank and status, and the major controversy was whether the resulting metrics should be subjective or objective. Focusing on professional status and its variants is understandable as people (typically males) mostly had a lifelong career and the structure was static.

According to González-Naranjo, Ugarte-Gil, and Alarcon (2016) socioeconomic status is made of resource and prestige based indicators that can be measured at individual, household and neighborhood level and at different point in once lifespan. The resource-based measures include income, wealth and educational attainment whilst prestige-based indicators refer to individuals rank in

the society. In addition, SES could be assessed through individual measures such as educational level, income and occupation and through composite measures that combine indicators to provide an overall SES index (Oakes & Rossi, 2003).

The Concept of Participation

Participation is an old concept that represents a shift from top-down development initiatives to a bottom-up oriented strategies that factors the views of local inhabitants (Storey, 1999). Holcombe (1995), asserts that the concept of participation grew out of the realization that the world's poor people have been marginalized in most of the developmental interventions and as a result most projects implemented failed to meet their needs. According to Agrawal and Gibson (1999); Mompoti and Prinsen (2000), each local community face a unique challenge hence, a top-down approach that is mostly devoid of local inputs are ineffective to address local developmental problems.

Participation is a very comprehensive concept (Lane, 1995). That means different things to different people (Hussein, 1995; Kelly, 2001). The meaning given to the concept of participation is influenced by the ideological positions of people (Nelson & Wright 1995). Contributing to the discourse, Pelling (1998) affirms that participation is ideological construct which gives rise to conflicting meaning and applications and has resulted in variety of views on how participation is defined, who is expected to be involved, what is the objective of participation and the process of participation. The seemingly vagueness and lack of consensus on the conceptualization of the concept of participation has resulted in confusion

over expectations and assessment of the outcome of participation by development expects over the years (Lyons, Smuts & Stephens, 2001).

Despite the differences in the definition of participation, researchers and practitioners unanimously agree on the role of local community in decision making (Claridge, 2004). As a result, participation is mostly referred to as community participation. Many definitions of participation talked about participation continuum and levels of involvement of various stakeholders. In this wise, some definitions focus on the involvement of all stakeholders at all stages of development. Others also dwell on the outcomes, capacity building and the importance of involving disadvantage groups such as women, disable and the poor.

Ndekha, Hansen, Molgaard, Woelk and Furu (2003) define participation as a collective process through which groups of people with specific needs living in a certain geographical area collectively recognize their needs, agree and create structures to meet the needs. Chamala (1995), sees participation as the process whereby power and control are shared between actors such as scientist, managers, politicians and farmers in a collective manner in order to accomplish a particular project. The emphasis of Devas and Grant (2003) Elyben and Ladbury (1995); White (1981) is on the basic requirement of involvement in decision making. Participation is seen as the involvement of local community in decision on the accomplishment of a given developmental project. In addition, Eyben and ladbury (1995) define participation as a process whereby people with legal interest in a project seek to influence decision on the project that affects them. Adding to that

Devas and Grant, (2003), opined that participation is the process through which citizens influence and take control over decisions that affect them.

In the views of Tikare, Youssef, Donnelly-Roark and Shah (2001) participation is the mechanism by which stakeholders influence and exert control over the setting of priority, policymaking, allocation of resources and access to public goods and services. Lane (1995) asserts that in order to court the support of local community there is the need to involve them at all levels of development process including that of project initiation since that is the sure way to give people the power to take care of the root cause of underdevelopment. Involving the local community will provide the opportunity to influence decision that affects them at all levels of the project. Participation according to Warner, (1997) is the inclusion of the project intended beneficiaries in the planning, design, implementation, monitoring, evaluation and care of developmental projects. It means the mobilization of people, management of resources and taking active part in decision making. Agawal (2001) contents that it is myopic to include only the direct beneficiaries of project and advocate for the inclusion of all relevant stakeholders, even the most disadvantaged groups in project decision making (World Bank, 2004a).

According to Ndekha *et al.* (2003), community participation serves as the mechanism for capacity building and as means of improving the lives of the world's rural poor people. In the views of Kelly (2001), participation provides the level playing field for local people to air their views on issues that affect them. This definition does not concentrate on the importance of participation, but rather

focuses on the critical role of power in community decision making. According to Thwala (2010), community participation can be defined loosely as the involvement of people in a community in projects to address their own problems. People should not be pressured to participate, but should be given the choice to be part of projects that impact their lives. It is considered a basic human right and a core concept of democracy. Involving the community during needs assessment, planning, mobilizing, training and implementation is very critical for the success of every developmental project. Community participation creates a sense of unity and belongingness among members in a community. It also motivates people to work together to achieve a common goal for the society.

According to the World Bank (2004a), participation is the basis for project success. It describes participation as a mechanism by which stakeholders' influence and share power over development initiatives. Forty years ago, the idea of community engagement emerged in the late colonial community building movement in parts of Africa and Asia. Community development was used by colonial authorities as a way to enhance social services, train people in local governance and expand community power through local self-help action (McCommon, 1993). Many goals were not achieved during that time mainly because of the bureaucratic top-down approach taken by the colonial governments (McCommon, 1993).

Community participation is aimed at empowering local community; capacity building; increasing project effectiveness; improving project efficiency; and cost sharing for the project. This structure defines four levels of participation

strength, namely: exchanging information; consultation; decision-making; and initiating action (Thwala, 2010). Community engagement is usually more effective when the local community takes on more of the burden than if higher-level public bodies seek to determine the course of action through the use of surveys or meetings (Thwala, 2010). To engage in the work of the organization, initiatives must have specific components. Local people may be employed to assist in any step of the planning, design, implementation, monitoring and assessment of project to ensure local ownership. Particular attention must be paid to establishing local committees and governance mechanisms that can effectively supervise local involvement. This implies that any effort from development agents such as mining companies and NGOs to involve the local community in its developmental efforts contributes to people's recognition of their important role in development. This recognition enables the locals to give their support and corporation to ensure successful implementation of projects (Abiona & Niyi-Bello, 2013; Kamando, 2014).

In the view of Lyons, *et al.* (2001) and Holcombe, 1995, empowerment is a concept closely associated with participation. The authors opined that though the two terms are different, they are inseparably linked together. Participation represents being part of an activity or action such as the process of decision making whilst empowerment indicate a person's ability to participate in order to influence decisions. In a similar vein, Pakenham (1992) sees empowerment as a process that grows out one's involvement in thinking, planning, deciding, implementing and evaluation. On the part of Holcombe (1995), the following words are used to describe the concept of empowerment: access, control, entitlement, deciding,

enabling, acting, awareness and knowledge. According to Nelson and Wright (1995), empowerment is the ability to act on others to give them power or enable them to realize their own potential. Holcome (1995) sees empowerment as part of the participation continuum since participation is seen as essential part of empowerment.

The concept of participation is applied to variety of situations (Michener, 1998), and has become the hallmark of most successful community development projects globally (Chamala, 1995). Involving stakeholders and engaging community members in projects at all levels, from local to regional, provide a more efficient way to address sustainable resource management issues. Involvement improves project effectiveness through community ownership of development efforts and decision-making assistance (Kelly & Van Vlaenderen 1995; Kolavalli & Kerr 2002). Curry (1993), recognizes that policies that are responsive to local circumstances will not only be more effective in taking into account the heterogeneity of the local social system, economy, climate and culture, but will also be more likely to be successful in their implementation through the participation of the local community. Communities which have a say in the creation of policies for their locality are much more likely to be enthusiastic about their implementation (Curry, 1993 cited in Storey (1999). Golooba-Mutebi (2004) found that involvement has a role to play in enhancing civic knowledge and political maturity that makes those in office accountable.

The Concept of Community

The term community could be defined in geographical terms such as group of people living in a given locality or social terms such as group of people with common interest (Philip & Pittman, 2009; Robinson & Green, 2011). According to Lotz (1977), every community should have a physical geographical location that is sustained by regular sharing of useful information relevant to the development of members. In addition, Ife (2013), is of the view that the only factor that binds members of geographical community is their connectedness to a particular locality.

There are several definitions of the concept of community due to its myriad of applications (Lotz, 1977). Mattessich and Money (2004), define community as group of people within a given geographical area with a shared social and psychological tie. This definition emphasizes community as a place and as an interest of group of people. Goel (2014) defines community as a group of people living in a particular place with regular face to face contact with each other. Bhattacharya (2004) argued that this definition could only be valid in the earlier days when people were living close to each other. Currently, community goes beyond physical boundary because people could connect with each other through technology and still perform most of the functions of a community. In this regards, Bhattacharya (2004) contended that any definition that conceptualizes community as only a physical location is inadequate because such definitions does not take into account the degree of cohesiveness within a particular town, village or neighbourhood. Again, such conceptualization masked the differences and shared interest that goes beyond boundaries. Moreover, placed-based conceptualization

doesn't account for the rapid social change as the result of modernity. Mattessich and Money (2004) explain the term community as group of people who live close to each other in a given locality with a common interest. On the part of Phillips and Pittman (2009), community is the integration of social units and its support systems together with organization of social activities in a particular geographical area. This definition recognizes community as social network that function to support its members. Goel (2014), asserts that, placed-based definition of community should be widen to include interest based and other forms of emerging forms of community such as web community, Facebook and other social media communities.

Worsely (1987) has suggested some features to describe community. First of all, it identifies community as physical locality. This in line with the geographical meaning of community as involve human settlement in a given territory. The next is network of interrelationships which is characterized by conflict and mutual support and reciprocity. The last feature identified by Worsely (1987) is community spirit or community feeling which connotes some kind of strong bond within the community. Contributing to the discussion of community, Maser (1997) identified social participation, mutual aid, economic participation, distribution and consumption, socialization and social control as key features of a community. According to Ife (2013), the concept of community is closely associated with terms such as human value, membership and belongingness, collectiveness and mutual rights and responsibilities.

Luloff and Krannich (2002) used three theoretical approaches (human ecology, systems theory and field theory) to explain the concept of community. The human ecology defines community as the structure of relationship that exists between people who live in a localized area which enable them to meet their daily needs (Matarrita-Cascante & Brennan, 2012). According to this definition, the key role of every community is to provide support for its members for their survival. The system theory on the other hand explains community as the merger of units or subunits within the social system that works together to achieve a common goal. The theory emphasizes roles and status of people in the society that jointly works to achieve a common goal. According to the field theory, social interaction is very critical for the success of any community (Matarrita-Cascante & Brennan, 2012). These theories assist in the explanation of community as a structure of relationship that exist within the social system whereby members inter-relate and function through social interaction (Goel, 2014). The community relationship is based on shared identity based on ethnicity, culture, interest and ideology and the shared identity serve as the source of solidarity among members of the community (Kenny, 2007).

The Concept of Development

Development has several meanings and could be used to describe modernization, urbanization, industrialization, social and political transformation, technological improvement and economic growth (Robinson & Green, 2011). According to Lotz (1977), development involves the application of scientific principles and techniques in the field of biological, physical and social sciences

geared at dealing with the problem of poverty and inequality within the human society. Such principles and techniques must be applied with understanding and respect for the integrity of the individual, his or her community and culture. Contributing, Ife (2013) is of the view that development is necessary but not sufficient to bring about the desired results but the process of implementing developmental activities is also of crucial importance. It continued that development can mean different things to different people in different context. What is seen as better development in one community may be worse for another community because the concept of development has a number of meanings and can be described in many ways. For example, the development needs of the starving population is different from where there is adequate nutrition (Abuiyada, 2018). In this direction, it is important to guide people to come up with their own meaning of development to suit their local situation.

Christenson and Robinson (1989) see development as a choice-enhancing process. It means new choices, diversification, different thought and expectation of change in the present situation of an individual or community. Furthermore, Shaffer, (1989) sees development as a process that bring about change and improvement directed at involvement, flexibility, equity and quality of life. It is a wealth creation process. Ife (2013) is of the opinion that one should not lose sight of the relationship and the difference between growth and development. The two terms are often used interchangeably within most economics' literature. Growth is mostly centered on how to increase per capita income which is often measured in monetary terms whilst development involves an improvement in the social and

human spheres of life which manifests itself in the form of better life of people in a given area as well as an increase in material wealth.

Development has also been defined as the process of change in the problem-solving capabilities of individuals, groups or communities (Du Pisani, 2006). This change enables people to initiate new structures, comes up with coping strategies and creatively solves problems confronting them. Reyes (2001) understands development as process whereby the social, economic and environmental needs are met nationally through sustainable use of natural resources and systems. In addition, Todaro and Smith (2006) define development as a multi-dimensional process that involves significant change in social structures, attitudes and institutions, and economic growth, inequality and poverty eradication. A number of theories have been proposed to explain the concept of development. They include modernization, dependency, world system and globalization theories.

According to the modernization theories of development, there are two types of societies in the world, namely the traditional and modern societies (Quimbo, Perez, & Tan, 2018). Tipps (1976) is of the view that the development of traditional societies is hampered as the result of their unwillingness to change beliefs, norms and values. It follows that the only way for traditional societies to progress is to embrace the capital accumulation and industrialization features of modern societies. In effect, this theory aimed at improving the living condition of traditional societies by means of modern technology (Huntington, 1976). The modernization theory of development has received a lot of criticism because it does not take the freedom and self-esteem aspect of traditional society into account

(Quimbo *et al.*, 2018). On the other hand, the dependency theory discredits the principles of the modernization theory (Quimbo *et al.*, 2018). The proponents of the dependency theory opined that underdevelopment in the developing countries is the direct result of the industrialization in the development countries. This is because the developed countries suppress the economic surplus of the developing countries for their own gain. However, this theory does not provide any explanation on how developed countries take advantage of the surplus of the developing countries (Quimbo *et al.*, 2018; Bodenheimer, 1970).

According to the framers of the world system theory of development, specialization and transfer of resources in international trade from less developed countries to developed countries dwarfed development in the less developed nations thereby making them rely on the developed nations for their survival (Petras, 1981). The theory perceives that the world economy is in hierarchical order and as such there is unequal relations in trade exchange which always results in the developed nations having surpluses. However, the classical Marxist Theory posits that the surplus has nothing to do with overexploitation but it comes from capital labour relationship that exists in production (Bodenheimer, 1970, Reyes, 2001). The major criticism of the world system theory is its overconcentration of the world market without looking at the forces and relations of production. Unlike the world system theory, the globalization theory focuses on process of encouraging deep economic integration among countries (Jutro, 1991). This theory places much premium on cultural linkages between countries as key factor that affects trade (Kaplan, 1993; Moore, 1993). In the views of Parjanadze (2009), this theory is

defined by the technological, socio-cultural, political and economic orientations of nations. It is a fact that these theories have their shortfalls, nevertheless they have contributed significantly to the development concept of sustainability (Quimbo, *et al.*, 2018).

The Concept of Sustainability

Basically, the concept of sustainability connotes the ability to cope with a situation, outcome or process over time (Quimbo *et al.*, 2018). On the contrary, development practitioners, academics and researchers use the concept of sustainability to describe improvement and sustenance of economic, social and ecological systems for human development (Quimbo *et al.*, 2018; Mensah & Enukwasi, 2018). In the views of Stoddart (2011), sustainability is defined as the economic and fair distribution of resources to meet the needs of today's generation and future generations within the boundaries of finite ecosystem. On the other hand, Ben-Eli (2018) looks at sustainability in terms of fair balance between the earth population and the environment on which it depends. It continues that as the population exploits the resources of the environment to its advantage care must be taken to prevent irreversible damage on the environment. Kuhlman and Farrington (2010) add that sustainability highlight the responsibility of humans to utilize the resources of the ecosystem to satisfy their needs without depleting it.

Hák, Janoušková and Moldan (2016) assert that the transformation of global society, environment and economy into a sustainable one is a daunting task facing man, and must be carried out within the framework of the planet's capacity. In support of this claim, DESA-UN (2018) argues that the ultimate aim of the

philosophy of sustainability is, in essence, to ensure adequate harmony and balance between society, economy and environment in terms of the regenerative potential of the life-supporting ecosystems on the earth. In Gossling-Goidsmit's (2018) view, it is this complex alignment and balance that must be the subject of meaningful sustainability concept.

Nevertheless, as Mensah and Enu-Kwesi (2018) posited, a notion of cross-generational equity must also be highlighted in any definition of sustainability, but draw the attention that is very difficult to ascertain the needs of future generations. As the result recent theories of sustainability, gives more premium to the integration of social, environmental and economic dimensions of human development (Hussain, Chaudhry, & Batool, 2014). To this end, the focus of social models of development should be the improvement of political, cultural, religious, health and educational systems whilst conservation of biodiversity and ensuring of ecological integrity take center of attention of environmental models. Last but not the least economic models should encourage the sustainable use of natural and financial resources (Acemoglu & Robinson, 2012; Evers 2018).

Community Development

Over the past decade, academics and community development practitioners have identified variety of conflicting values, priorities and beliefs in an attempt to find definition for the concept of community development. There is agreement among scholars that community development has different definitions, theoretical underpinnings and applications. The concept is not consistent and unified, but it characterizes a range of meanings that incorporates many shades of development

that are not necessarily well suited, but reproduces intrusive political and social rehearsals in the circumstances in which they take place (Sihlongonyane, 2009). Theodori (2005) argues that the concept of community development is broad with varying theoretical underpinnings. Community development has many varying definitions, unlike mathematics or physics where terms are scientifically derived and rigorously defined, community development has evolved with many different connotations (Phillips & Pittman, 2009)

Community development is mostly viewed as normative science that encourages public participation and civic engagement aimed at the norms and values of the society (Robinson & Gary, 2011). The concept of community development evolved as recognized discipline with wide applications in the field of sociology, economics, agriculture, political science, planning, and geography (Phillips & Pittman, 2009). In addition, the focus of community development has been widened from its initial focus on poverty to include provisions of housing, capacity building programmes and social services. In addition, community development has expanded to include access to education, healthcare and sound environmental condition. This therefore reinforce the point that community development has application in several fields of study and as such individuals with background in anthropology, business, education, economics, geography, organizational behaviour, sociology and social work could be involved in the application of the concept of community development. The unifying factor in the application of the concept of community development among disciplines is the relevance of community participation in decision marking at the local level

(Robinson & Gary, 2011). It is important to note that there are a number of contradictory views on the concept of community development in literature. The literature is divided into those who see community development as a process of development-in-the-community and as an outcome of development-of-the-community (Robinson & Gary, 2011).

According to Flora, Swanson, Flora and Spear (1992), community development occurs when people work together with the sole aim of improving their current situation. This implies that community development is a process that that geared people with common interest to work collectively to achieve a common goal. In addition, Christenson and Robinson (1989) define community development as a process whereby group of people in a given locality come together to initiate a social action to change their economic, social, cultural, and environmental situation. This definition emphasizes the fact that community development is a social action process with the focus of improving the social, economic, cultural and environmental life of people with the help of formal and informal institutions within the community.

In the view of Theodori (2005), community development is a process that provides people with several options to make a choice. As such, it creates the necessary atmosphere for people to exercise their creativity and productivity potential. The impulse of this definition is the idea of community capacity, creation of opportunities and upliftment of living standards. Furthermore, Amakye (2017) also defines community development as a process whereby the local community work with government and other development agencies to improve the economic,

social, cultural and environmental conditions of the society in order to improve the grassroots participation in national issues. This, therefore, suggests that development is externally conditioned to improve the socioeconomic wellbeing of the people in the community.

Aspen Institute (1996) defines community development in terms of community capacity. Community capacity is the collective power of commitment, resources and expertise that a community can employ to build on group strengths and address community concerns and take advantage of opportunities. Community capacities are the combined influence of a community's commitment, resources and skills to build on the strengths and opportunities of the community to ensure sustainable economic development (George, Scott, Mehra, & Sriram, 2016). Green and Haines (2008) define community development as a coordinated effort to produce assets that increase people's ability to improve their living conditions. Such assets may include physical, human, social, financial and environmental capital. In addition, Ferguson and Dicken, (1999) assert that community development is an assert that improves the quality of life of people living in low to moderate income communities, where communities are described as neighborhood. Community development is a place-based approach that focuses on creating assets that support people in poor communities, primarily through establishing ties to external resources (Vidal & Keating, 2004). The definitions above indicate that community development is a project that allows the economically weak community to improve its living standards by building infrastructure in a specific geographic area with the help of external capital resources.

Sillitoe (2006) argues that the concept of community development has evolved from top-down approach to bottom-up grassroot participatory approach. This has resulted in a shift from community care and economic development to establishment of community-based organizations and community ownership. Ife (2013) has enumerated a number of principles to guide community development practitioners in their line of work. The first principle is holism which emphasizes the need to view the community as a system that works together. In addition, Ife (2013) also emphasizes the importance of sustainability in community development. Sustainability ensures that community development initiatives is able to meet the needs of current and future generations. Finally, community empowerment is the heart of every community development initiatives since it enables communities to build capacity to solve problems.

Development practitioners, researchers and stakeholders have come out with different approaches to community development. The differences in the approaches is as the result of diverse opinions, views and positions on the concept of community development. This study will focus on Robinson and Gary (2011), three approaches to community development as well as the four approaches discussed by Quimbo, Perez & Tan (2018). The approaches identified by Robinson and Garry (2011) include, technical assistance, self-help and conflict community development approaches whilst that of Quimbo, Perez and Tan (2018) are participatory approach, community-based approach, area-based approach, and welfare approach to community development.

The technical assistance approach to community development involves the use of technical knowledge in the field of agriculture, health, education and industry to design and implement targeted programmes (Robinson & Gary, 2011). In its purest form, it depends on an external expert to apply a predetermined solution to a predetermined problem. In action, it may be improving efficacy and efficiency of solutions, or coming up with an approach to accomplish a specific function. In certain cases where technical assistance is required, the expert doesn't challenge the mission or how it was decided but simply creates a strategy to incorporate the chosen solution (Burkhart-Kriesel, 2005). This approach is very common in projects such as construction of a bridge, building of school, hospital or community centre and the introduction of new enhanced services. It enables communities to leverage external resources in areas that may be highly technical or may require more funding or implementation qualifications. The use of city planners and infrastructure experts (water, waste water, streets, etc.) is a common example. In tandem with an initial self-help process, this is a perfect way to turn ideas into practice. This approach offers less room for local participation in the planning and design since it sees them as mere users of services (Burkhart-Kriesel, 2005).

The self-help approach focuses on building the capacity of the local people on how they can address their own problems to improve on their present situation. This approach emphasizes the utilization of the expertise of local professionals in addressing issues that confront the community. It makes the local professionals very active and also feels very relevant and active in the development of the community (Robinson & Garry, 2011). The approach recognizes project

beneficiaries as very integral of every project and as such are involved right from planning through implementation, monitoring and evaluation. The conflict approach to development relies on deliberate use of confrontation, disharmony, and differences in opinions to come out with a solution to a problem. This approach also relies on local participation in the identification of needs and professing on solutions. It is worth noting that the use of conflict approach has the potential to tear the community apart and can result in serious disagreements if not well handled (Robinson & Gary, 2011). According to Flora, Swanson, Flora and Spear (1992), linkage to the outside world and planning process are the critical factors for effective implementation of the three approaches above. On the other hand, Shaw (2008) argues that there is an inherent tension among each of the three identified approaches. Stocker explains that there is fundamental dielectric between community development and community organizing and that makes it difficult for one organization to engage in both processes. In that direction, community development is expected to expand its scope to encompass job creation, provision of housing, control of crime and other changes required to bring improvement in the community.

The participatory approach serves as the anchor of the community development approaches. It focuses on working together, cooperation within the community, empowerment as the main pillars of community development (Quimbo *et al.*, 2018). This approach dwells on the utilization of expertise of the local people to address problems within the community. Visković, Hawlina, Gračner, and Ramšak, (2020) explain that the participatory approach centers on the collectivity

and cooperation among members in the community. It argues that the view of members of the community should be taken into consideration when undertaking any developmental activity.

In addition, community-based approach refers to a holistic philosophy in which groups take an active role and engage in discussing problems that matter to them and resolving them. This approach encourages groups to consciously plan, create and adopt their own prevention and intervention strategies. It encourages members of the society to recognize the issues confronting them and working together in its resolution (Salmon, 2011). Quimbo, Perez and Tan (2018), explain that this approach is most appropriate when a developmental project is being implemented at the locality of stakeholders. On the contrary, area-based approach to development has broad coverage such as district, region or a number of towns. It, however, focuses on common issues confronting the identified area.

The focus of the welfare approach is to address the immediate needs of individuals, groups who are mostly marginalized in the community. The approach targets the needs of marginalized groups or individuals such as the blind, lame, and street children. Closely associated with the welfare-based approach is the need-based approach. It looks at the deficiencies in the community and profess solutions to them. With this approach members in the community identify those who lack the capacity to help themselves (Kamando, 2014; Mathie & Cunningham, 2003). One shortfall of this approach identified by Mathie and Cunningham, (2003) is it creates dependency syndrome within the community since the approach fails to build the capacity of those in need but always provides for their needs. An asset-based

approach to community development was developed to deal with the shortfalls in the need-based approach. This approach focuses on building the capacity of the local people so that they can use it to acquire assets to deal with their problems (Kretzmann & McKnight, 1993).

Scholars such as Dongier, Domelen, Ostrom, and Rizvi *et al* (2002) dwell on the importance of treating local community members as asset and partners in development. They argue that local people have a lot of knowledge and skills which are very useful to ensure effective development at the grassroots. However, members of the local community need to be empowered so that they can contribute meaningfully to development at the grassroots (Kamando, 2014). It must be emphasized that the need-based and other related top-down approaches to community development denies local people the opportunity to influence decisions that affect their lives. Scholars such as Mathie and Cunningham (2003) argue that despite the superiority of asset-based approach, development partners should not abuse its use. This is because there are people in the community whose conditions require that they are always provided for as the need-based approach emphasizes.

Sustainable Development

A common catchphrase in contemporary development discourse has been sustainable development. However, despite its omnipresence and vast popularity over the years, the term still seems vague as many people continue to ask questions about its definition and context, as well as what it means and implies for the theory and practice (Mensah, 2019; Montaldo, 2013; Shahzalal & Hassan, 2019). In addition, sustainable development is seen as another value-based concept that has

gained a lot of popularity in the recent past (Dubiński, 2013; Garriga & Mele, 2004) that transcend disciplines (Garriga & Mele, 2004). The concept of sustainable development has become a key slogan for local and international aid agencies, academic conference presentations, development planners, economist and environmental activist (Ukaga, Maser & Reichenbach, 2011) and appears to remain very important development paradigm for a very long time (Scopelliti *et al.*, 2018; Shepherd *et al.*, 2016). Interestingly, the concept of sustainable development is becoming fashionable rhetoric that every development agent wants to associate with but its exact definition and what it entails still remains elusive (Mensah & Enu-Kwasi, 2018). In order to move beyond the rhetoric of sustainable development, there is the need to find a precise definition of the concept and its key dimensions (Gray, 2010; Mensah & Enu-Kwasi, 2018). Mensah (2019) argue that there is the need to bring clarity and harmony to the concept of sustainable development in terms of its definition, pillars, principles and implications for human development.

Literally, sustainable development simply means any form of development that can last from generation to generation (Dernbach, 1998, 2003; Stoddart, 2011). The most often cited Brundtland Commission Report defines the concept as development that meets the needs of today's generation without compromising the needs of future generation to meet their own needs. Explaining, Cerin (2006) and Abubakar (2017) affirm that sustainable development is the main concept in the local, national, regional and international development policy agenda for the 21st century. This is because it provides the right framework for communities to interact

with the environment without destroying it for future generations. Thus, sustainable development call for the utilization of the earth abundant resources to improve the standard of living without causing any detrimental effect of the ecosystem in terms of water and air pollution, deforestation and land degradation. The destruction of the ecosystem has the potential of causing problems such as climate change and extinction of plant and animal species (Benaim & Raftis, 2008; Browning & Rigolon, 2019).

Mohieldin (2017) asserts that sustainable development is a development approach that allows resources to be used in such a way that it continues to exist. Evers (2018) also relates the definition to the guiding principle for achieving human development goals while retaining the capacity of natural systems to provide the natural resources and ecosystem services on which the economy and society rely. Through this viewpoint, sustainable development seeks to achieve social change, stability in the climate and economic development (Gossling-Goldsmiths, 2018). Ukaga *et al.* (2011), addressing sustainable development demands, stressed the need to step away from negative socio-economic practices and participate in practices with positive environmental, economic and social impacts. Hak *et al.* (2016) adds that the relevance of sustainable development keeps on increasing day after day because the earth population with its teeming needs and wants keep going up but the natural resources to meet the needs and wants of the population are constant. This implies that as the present generation seeks to meet its own needs, it should ensure a balance between the economic growth, environmental integrity and social wellbeing in order not to jeopardize the wellbeing of future generations

(Dernbach, 1998; Stoddart, 2011). This can only be achieved when policy makers integrate economic, social, and environmental concerns in their decision-making process (Kolk, 2016). Diesendorf (2000) draws attention to the misconception of using the concept of sustainability and sustainable development interchangeably. It argues that sustainable development is the means through which sustainability is achieved. Gray (2010), reinforcing this definition, said that sustainability is the result achieved through the process of sustainable development.

According to the World Commission on Environment and Development of the United Nations, sustainable development entails any form of development that seek to meet the needs of the present generation without jeopardizing the ability of future generations to meet their own needs (World Commission on Environment and Development, 1987). According to the International Institute for Environment and Development, this definition is too narrow and ambiguous (International Institute for Environment and Development, 2002) and as such leaves more room for managerial discretion (Brereton, 2003). Applying this definition will exclude all businesses that utilizes non-renewable resources such as mining from applying the concept of sustainable development (Brereton, 2003).

The concept of sustainable development has evolved over the years to include the social dimension as being inseparable from development (Garriga & Mele, 2004; Loorbach & Shiroyama, 2016). To this end, the World Business Council for Sustainable Development (2000) requires that businesses integrate social, economic and environmental considerations in their sustainable development plans in order to make a balanced judgement for the long term.

According to Dubiński (2013), the implementation of sustainable development programmes in the mining community must involve the integration of activities in three main areas: technical and economic activities to propel economic growth, ensuring the protection of the ecology and the general environment and last but not least responding to the social call by taking good care of the mining employees and contributes towards community development in the mining catchment community. On his part, Brereton (2003) opined that the sustainable development activities of mining companies should include, adoption of beyond compliance philosophy by companies and individual sites, a strong focus on resource use efficiency and waste minimization, responsible stewardship of the natural environment, mine closure policies that aim to leave a positive long-term legacy – both environmentally and socially, responsible and safe workforce management practices, sensitivity to local community concerns, combined with a commitment to advancing the long-term social and economic well-being of communities affected by mining, integration of economic, social and environmental considerations into corporate decision-making processes.

Empirical evidence alludes to the fact that mining companies provides public service in the areas of education, health, social amenities, and support for culture and recreation. Kolk (2016) admonishes mining companies to rather empower communities economically so they could provide their own service. This will prevent the negative impact of dependence after the mine closure. Notwithstanding the services provided by the mines to their catchment communities, empirical evidence suggests a negative correlation between mining

and economic growth (Auty & Warhurst, 1993; Sachs & Warner, 1999). For instance, a study by Gamu, Le Billon, and Spiegel (2015) shows that artisanal mining rather contributes to poverty reduction while large scale mining increase poverty. These findings, therefore, questions the contribution of large-scale mining companies towards sustainable development.

Livelihoods, Livelihood Strategies and Livelihood Outcomes

The concept of livelihood has become very pronounced recently in the development literature due to its wide application in almost every facet of human life (Brown, Stephens, Ouma, Murithi, & Barrett, 2006). Ellis (2000) defines livelihood as interplay of activities, asset and access of resources that define the living standard of person or group of persons in a household. The ability to obtain basic necessities such as food, water, shelter and clothing constitute livelihood at the individual level. Chambers and Conway (1992) provide the most popular definition of livelihoods. They explain that livelihood is made of both material and social assets as wells as the activities required for means of living. According to the authors, livelihood is said to be sustainable when it is able to cope with shock and stress and still maintains its capability or improves on its asset base. In addition, Krantz (2001) sees livelihood as the combination of resources and activities to make a living. According to Scoones (2009), livelihood is used to describe the life people in a particular area in terms of occupation, social differences, directions and dynamic patterns. In summary, people make their livelihood by engaging in complex network of activities and interactions.

Based on these definitions, Mphande, (2016) is of the view that activities such as farming, fishing, dressmaking, mining, trading, hawking, transport services among others are examples of livelihood activities people engage in as a means of living. Contributing, Davis *et al.*, (2010) and Mphande, (2016) assert that more than 90% of rural people derive their livelihood from farming. Davis *et al.* (2010), add that about 70% of rural household income in Africa comes from farming whilst that of rural Asia and Latin America is 50%.

It is interesting to note that most literature on livelihood focuses on occupational activities as the means of living with less emphasis on other livelihood activities such as trading, transport and salaried professions. However, most households depend on combination of activities for means of living (Ellis & Freeman, 2004). The choice of combination of livelihood activities by an individual or household is a function of economic, social and infrastructural related factors. The resources within the livelihood framework are known as capital or asset (Ellis & Freeman, 2004).

According to Farrington, Ramasut and Walker (2002), knowledge on assets is key to ones understanding of the concept of livelihood. Assets are the tangible and intangible resources available to people that can be utilities to carry out livelihood strategies. Individuals and households use their capabilities and knowledge to turn the assets available to them to improve on livelihood situation. It therefore implies that assets are the building blocks for creating a successful livelihood (Rahman & Akter, 2014). DFID (2000) categorizes livelihood assets into human, natural, financial, physical and social capitals. The human capital

consists of education, age, health status, knowledge, ability to work and household size (DFID, 2000; Rahman & Akter, 2014). Physical capital comprises of basic infrastructure, such as roads, water & sanitation, schools, ICT; and producer goods, including tools, livestock and equipment (DFID, 2000) and social capital represents the interconnectedness and relations among people within the social system. Examples of social capital include social resources, including informal networks, membership of formalized groups and relationships of trust that facilitate co-operation and economic opportunities (DFID). DFID (2000) classifies financial resources including savings, credit, and income from employment, trade and remittances as financial capital. Natural capital according to DFID (2000), is made up of natural resource stock in terms of land, water, soil, forests and fisheries resources.

Access to the livelihood assets is greatly influenced by policies and institutions within the social system. It cannot be overemphasized that policies, structures, and processes operate at every level, from the household to the international arena and in all fields, from the most privately owned to the most public organizations. These factors greatly influence access to resources, livelihood strategies, decision making and level of influence (DFID, 2000; Scoones, 2009).

In order for individuals and households to achieve their livelihood objective, they have to engage in some form of livelihood strategies. According to DFID (2000), livelihood strategies comprise activities such as production, investment, and reproductive choices people undertake to meet livelihood objective. Furthermore, Ellis (2000) conceptualizes livelihood strategies as

activities that support the daily living of a person. In the views of Brown, Stephen, Ouma, Murithi and Barrette (2006), there are several livelihood strategies individuals and households employ to achieve their livelihood goals. Key among the livelihood strategies is diversification. Diversification is defined by Carter and May (1999) as means of reducing risk by engaging in multiple income generating activities. It involves both on-farm and off-farm activities that bring addition income to the individual or household.

The end goal of any livelihood strategy is the livelihood outcome which could be positive or negative, intended or unintended, short or long term, direct or indirect (Scoones, 2009, DFID, 2000). Livelihood outcomes could be measured in terms of increased income, improvement in well-being such as good health, good nutrition, access to services and sense of belongingness and reduced vulnerability through accumulation of assets (Scoones, 2009). Scoones further explained that livelihood outcome could also be measured in terms of food security and sustainable use of resources. For the purpose of this study, livelihood outcome was measured using indicators such as increase in income, food security, improvement in health status, access to shelter, and acquisition of household assets.

Livelihoods and Mining Communities

There is growing consensus among policymakers and development practitioners on the effectiveness of alternative livelihood approach as a means of curbing illegal mining and improving the livelihood outcome of mining communities (Hilson & Banchirigah, 2009). As the result, many governments and donor agencies and mining companies have come out with a number of alternative

livelihood projects as a panacea of ending illegal mining and also providing decent jobs for people in mining communities. Promoters of alternative livelihood projects in mining communities often argue that a number of agricultural activities and skills training provided has put people in mining communities in the position to earn decent and consistent income.

According to Hilson & Banchirigah (2009), in the mining sector, the concept of alternative livelihood is used interchangeably with sustainable livelihood because the end goal of both theories is economic diversification of rural communities. Most mining communities are poor and depend highly on artisanal mining of which most of them are classified as illegal mining for their survival (Hilson & Banchirigah, 2009). The concept of alternative livelihood in mining communities took a center stage during World Bank hosted international conference on informal mining. The conference participants came to the conclusion that illegal mining and conflict in mining communities in most part of the world is poverty driven (Barry, 1996). This point was reinforced by the United Nations Economic Commission for Africa that many people in rural mining communities are into small scale mining as means of earning a livelihood for themselves and their families (Wilson, Renne, Roncoli, Agyei-Baffour, & Tenkorang, 2015). In addition, Hilson & Banchirigah, (2009) are of the view that small-scale mining has become an indispensable source of livelihood for most people in Sub-Saharan Africa who have been rendered redundant as the result of reforms and structural adjustment programmes. This has been the case in Ghana, Tanzania and

Mozambique where structural adjustment programme led to displacement of a number of public sector workers.

The influx of large scale mining companies in Ghana has resulted in wide spread loss of farm lands and displacement of communities (Hilson & Banchirigah, 2009). According to Mensah *et al.* (2015), large scale mining companies have taken away farm lands thereby withdrawing greater part of labour force from agriculture. Unfortunately, most of the people laid off from agriculture are not provided with job in the mining company with the excuse that the local people do not have the requisite skills and knowledge to work in the mining companies. Furthermore, because of the highly mechanized nature of large scale mining, it provides few opportunities for employment (Hilson & Banchirigah, 2009). This situation implies that most farmers and small-scale miners who lose their land to large scale mining have lost their means of survival and livelihood. According to Oxfam (2017), about 70% of Ghana's mineral deposit is in the hands of large-scale mining companies.

The large-scale mining companies remains one of the major source of revenue for Ghana government (Amponsah-Tawiah & Datey-Baah, 2017), but most of these funds collected are not used to develop the mining communities (Hilson & Banchirigah, 2009). The continued refusal to reinvest mineral royalties to develop and provide job in mining communities has pushed many people in the mining communities to engage in illegal mining as a means of survival. In addition, the situation has resulted in lot of tension between local communities and mining companies (Hilson & Banchirigah, 2009).

It is gratifying to note that Ghana government acting through the Minerals Commission together with mining companies have joined hands in implementing a number of projects in the mining communities. These projects are aimed at providing alternative income generating activities to the displaced or project affected people in the mining communities (Hilson & Banchirigah, 2009). The focus of the livelihood projects has been the expansion of the agricultural activities in the areas of oil palm, cocoa, citrus cultivation, non-traditional animal rearing, and food crops cultivation (Hilson & Banchirigah, 2009).

According to Viveros (2016), mining impact can be categorized into three major themes. These are economic, social and environmental impacts. Viveros asserts that economically mining companies provide direct and indirect jobs for the people in the community. Moreover, mining operations open up an area for other developmental projects. The paying of mining royalties is another economic contribution of mining company. This findings is also corroborated by Mzembe and Downs (2014) that mining companies contribute towards the GDP and also stimulate local businesses by developing entrepreneurial skills locally.

In terms of social impact, mining companies contribute towards the provision of educational and health facilities, support sporting and cultural activities in the community among others (Brew *et al.*, 2015; Fadun, 2014; Mzembe & Downs, 2014; Viveros, 2016). There is, therefore, a general perception that mining companies have impacted local communities positively by helping government to provide basic infrastructure such as school building and health facilities for the community. However, some respondents in the Viveros (2016)

studies were of the view that mining companies provide such facilities as a camouflage to obtain social license to operate. They also argue that provisions of such social services are often a public relation gimmick by the mining companies to cover up their nefarious activities. Viveros (2016) opined that mining companies also have some negative social effects on the host community. Rising cost of living is cited as one of the key social negative impact of mining companies on the society which manifest itself in the rising cost of food, accommodation, and other social services. Also, they argue that the presence of mining companies increases the rate of social vices such as armed robbery, prostitution, teenage pregnancy, truancy and school dropouts in the community.

The environmental impact of mining companies manifests itself largely in the areas of destruction of flora and fauna, air and water pollution (Viveros, 2016). As such mining companies are required by law to minimize their impact on the environment (Mzembe & Downs, 2014). To minimize the environmental impact of mining companies on the operating communities, mining companies are expected to conduct a thorough environmental assessment and come up with detailed mitigation measures. Some of the action mining companies take to reduce their environmental effects include the relocation of the nearby communities, provision of alternative water supply such as borehole and frequent health screen of the community members in other to address any emerging health issue that could be directly related to the mining activities (Brew *et al.*, 2015; Fadun, 2014; Mzembe & Downs, 2014).

According to Brew *et al.* (2015) mining companies also provide the following livelihood related activities to the catchment communities: training of local people, provision of scholarships, supply of agricultural inputs or plantation project that the local people can live on.

Corporate Social Responsibility in Ghana

The notion that state owned enterprises can solve the societal problems in Ghana was shaped by the socialist orientation of the first president of Ghana, Dr. Kwame Nkrumah (Amponsah-Tawiah & Datey-Baah, 2017). This way of thinking insulates corporations from any social obligations apart from payment of taxes and royalties. Due to the numerous societal needs and government inability to meet all the needs, there has been a shift towards corporations to assist government in the provision of social services. It is important to note that most corporate social responsibility projects in Ghana are spearheaded by large scale foreign multinational corporations. Few local companies and to very limited extend, some celebrities have also been involved in the implementation of corporate social responsibility projects (Amponsah-Tawiah & Datey-Baah, 2017).

It is interesting to note that the concept of corporate social responsibility has become a subject of discussion among many corporations in Ghana. Many companies in Ghana pride themselves that they are pursuing corporate social responsibility based on their own ideology. The ideological difference has resulted in some kind of confusion on the real meaning of corporate social responsibility. For instance, a company making donation to the needy and poor, building schools, hospitals are all described as corporate social responsibility (Sarpong, 2017).

Although there has been a lot of noise about corporate social responsibility, it is important to note that it has not received the necessary support in Ghana (Sarpong, 2017). For instance, a study by World Business Council for Sustainable Development [WBCSD] (2000) found out that the concept of corporate social responsibility has not been given prime attention by most firms because its implementation is perceived to be very expensive. Moreover, the concept has not received the needed government support in terms of policy and regulation. In addition, inadequate pressure from NGOs, media, and Civil Society Organization was cited as another factor that is not encouraging corporations to engage in corporate social responsibility. Another study by Ofori and Hinson (2007) and Sarpong (2017) sum up that there is more work to be done by the external public to force corporation to give due consideration to corporate social responsibility.

Notwithstanding, the concept of corporate social responsibility has been given much attention in the mining sector (Sarpong, 2017). This is because the mining sector is considered as one of the environmentally and socially destructive business (Amponsah-Tawiah & Dartey-Baah, 2017; Peck & Sinding, 2003). This assertion was also confirmed by Warhurt (1998) that most of the environmental and human right concerns of the public in the past 40-50 years are mostly attributed to mining and the extractive sector. Sarpong (2017), therefore, opined that the destructive nature of mining to the environment and society has been the main forces that have compelled mining companies to be the champions of corporate social responsibility. Although, the concept of corporate social responsibility started as defensive and reactive mechanism to deal with complains of mining

communities, it has now become an integral part of the operations of mining companies. All the large-scale mining companies operating in Ghana have a unit dedicated to community relations issues. It therefore, argues that there can't be any meaning discussion on the concept of corporate social responsibility without mention of the extractive sector (Cowell, Wehrmeyer, Argust, Robertson & Graham, 1999).

The mining industry in Ghana differs in the nature of operations of corporate social responsibility programmes. The differences are based on the type of mineral mined, size of the company, the number of years the company has been in operation as well as its background. Irrespective of the differences in the corporate social responsibility agenda, it all revolves around the community development approach (Amponsah-Tawia & Dartey-Baah, 2017). Some of the mining companies have established foundation with dedicated flow of funds to support community development projects. It is worth mentioning that mining companies in Ghana do not limit their support to only the immediate communities but also support national and other private institutions as well. For instance, they allow their facilities to be used as center of practical and internships training by students from mining related institutions (Ghana Chamber of Mines, 2009). Mining companies in Ghana have been complementing government effort in the area of energy, health, education, water and sanitation (Amponsah-Tawiah & Dartey-Baah, 2017).

Despite the perceived relevance of the concept corporate of social responsibility, Ghana does not have any policy and regulation governing its

implementation. Most corporate social responsibility programmes are guided by Ghana Business Code which is an initiative of Association of Ghana Industries, Ghana Employers Association and Ghana National Chamber of Commerce and Industries. The focus of the Ghana Business Code is the triple bottom line of business; profit, environment and people. The triple bottom line is operationalized into ten main principles to guide the implementation of corporate social responsibility programmes. It is worth noting that signing up to the codes is purely voluntary as such most corporations have not sign up for it. Due to the importance the extractive industries in Ghana attached to corporate social responsibility, they have come up with Ghana Extractive Industries Transparency Initiative (GEITI) which has a number of principles to guide their operations. The main objective of the GEITI is to promote transparency and accountability in mining operations (Amponsah-Tawiah & Dartey-Baah, 2017). Moreover, the GEITI is the guide through which individual mining companies develop their corporate social responsibility agreements with communities.

Community Development Agreements

Community development agreement [CDA] is gradually becoming a powerful tool to ensure sustainable development in project affected communities (Loutit, Mandelbaum, & Szoke-Burke, 2016). It has become a vital mechanism to ensure that local communities' benefits from the operations of large-scale companies such as mining. CDA always gives clarity on how project investment benefits will be shared with local community.

Lately, commercial developers and local communities across the globe have become so much interested in CDAs (O’Faircheallaigh, 2013). The growing interest is as the result of the potential of CDA to prevent conflicts in projects affected communities. The concept can be applied to several disciplines, and organizations and as such assume different names depending on the area of application (O’Faircheallaigh, 2013). For instance, it is referred to as Community Benefit Agreement among real estate developers and local groups in New York, Los Angeles, Toronto and Dublin (Lowe & Morton, 2008; Wolf-Powers, 2010). Mines and pipe line companies in Canada call it Impact and Business Agreement (Weitzner, 2006) whilst most extractive industries in Australia refer to it as Native Title Agreement or Indigenous Land Use Agreement (O’Faircheallaigh, 2013). Peru and New Guinea refer to CDA in government project as Consent Agreement (Sosa, 2011) and Development Forum Agreement respectively. Most mining industries in Ghana refer to CDA as Relationship and Alternative Livelihood Agreement and Social Responsibility Agreement (Mireku-Gyimah & Gyamfi, 2016).

CDAs vary greatly in terms of legal structure, content, and scale, but have some basic features that are common to all (O’Faircheallaigh, 2013). First of all, CDAs are formal agreements that are signed between public or private entity which act as a developer and local communities. In addition, CDAs are meant to minimize the negative impact of a project on local community and last but not least, it also ensures there is reduction of conflict and tension between local communities and project developers.

A very important issue worth considering in CDAs the definition of community and community development (O’Faircheallaigh, 2013). Poorly defining these concepts could serve as recipe for disaster among local communities and a developer. As has already been said, a community may describe a group of people living within a certain geographic area with a common interest. Within the context of CDAs, two types of community of people are identified. The first group are people who reside close to or affected by a project. These people may share a common residence and have similar experience in terms of project impact. The second group are people who share economic, social and cultural ties with project affected community. These people may not necessarily reside in the community but have a strong tie to the community by virtue of lineage (O’Faircheallaigh, 2013).

The concept of community development has become integral part of the corporate social responsibility agenda of mining companies. In the same vein, local communities see community development as the most important aspect of mining companies’ corporate social responsibility (Mireku-Gyimah & Gyamfi, 2016). It is worth noting that sometimes, local communities regard community development as legal obligation of mining companies and as the result demand beyond the capacity of mining companies. The inability of mining companies to meet the demands of the local communities usually results in tension between them. In an attempt to finding solution to this problem, mining companies have developed CDAs with local communities showing clearly how benefits will be shared between them. For example, all projects that have the potential of affecting indigenous lands in Australia are required by law to negotiate CDA with local communities

(O’Faircheallaigh, 2013). There were about 20 CDAs in Australia in the early 90s but currently, there are in 100s (ATNS, 2012). Similarly, the World Bank has reported that there has been increase in the number of CDAs in North America, especially Canada (O’Faircheallaigh, 2013; ERM, 2010; Bridge, 1999; Campbell & Roberts, 2010). The concept of CDA was almost non-existence in some decades ago in Africa, South America, Central Asia, South East Asia and former Soviet Union but the story is different now; CDAs are being negotiated on daily basis (Anguelovski, 2011; CSR, 2011; ERM, 2010; Harvey & Nish, 2005; Laplante & Spears, 2008; Luning, 2012; Osipov, 2010).

According to Mireku-Gyimah & Gyamfi (2016), CDAs have contributed to sustainable development in most mining communities. Furthermore, there has been reduction in conflicts and tension in areas where the CDAs are well implemented.

In a report submitted to the World Bank, Otto (2010) has provided a typical content for CDAs in mining. According to Otto, every CDA must have a scope, mandate and vision which highlight the area of coverage and the role of the CDA. As was asserted by O’Faircheallaigh, (2013), the scope of CDA is a source of conflict and for that matter should be clearly defined. In addition, CDA must describe the various parties (stakeholders) including representatives of various communities and committees. Their roles and responsibilities should be clearly clarified. Next, every CDA should have a grievance and feedback committee so that when people have issues they can easily report to the appropriate unit for redress. Every CDA must have clauses that stipulate, subdivide, clarify, define and explain key concept to prevent ambiguity and misunderstanding in the

implementation of the agreement. Strategic aims, scope and parameters of community investment is another component of CDA. This is followed by fund management, and governance body for investment activities as well as the structure and terms of reference. The final section of the CDA consists of the local content in terms of procurement and employment, process of review, evaluation and capacity building as well as the signatures of the key representatives.

According to Otto (2010) and O’Faircheallaigh (2013), there are four stages in the development of CDAs, namely: stakeholder engagement, capacity building, stakeholder representation, roles and responsibility and implementation, monitoring and feedback mechanism. The stakeholder engagement consists of the identification of qualified communities with relevant inclusion and exclusion criteria, adequate representation of marginalized and vulnerable groups, recognition of local power dynamics through stakeholder mapping, mapping and analysis of qualified communities, process of electing community representatives and the stakeholder engagement plan.

The capacity development phase of the CDA process includes the criteria for assessing the capacity of the various parties to negotiate and make agreements, participate in governance and monitoring of CDAs, deliver and manage specific local community investment projects and programmes. During this phase, relevant strategies that could be used to strengthen the capacity of the parties are given due attention. This result in the development of capacity needs assessment and development plan. Stakeholder representation and responsibilities address the issue of how far the responsibility of the various parties should extend in the CDA. At

this stage, serious consideration is given to the risk of the company which has taken on the role of government in the provision of social services. In addition, the question of whether government should be a party to the agreement or not is considered as well as the role of the local assembly and local development planning officers in the CDA. At this stage, roles and responsibility of the various parties are clearly specified. This phase ends with the formation of multi-stakeholder governance structure to oversee the effective implementation of the CDA. The last phase of the CDA on implementation, monitoring and feedback mechanism focuses on the importance of multi-stakeholder approach, governance structure and criteria for community fund management, grievance, feedback, and dispute resolution mechanism and procedure as well as investment aims, themes and procedures.

Loutit, Mandelbaum and Saoze-Burke (2016) on the other hand identified three stages for CDA development. The first stage is the pre-negotiation stage which serves as the foundation for the CDA negotiation. This process involved the signing of MoU and determining the framework for the CDA negotiation. The second phase is the research and consultation stage. This section is made of stakeholder mapping, environmental, human right and social impact assessment. This stage also includes building the capacity of the various stakeholders in all aspects relevant for their effective contribution to the CDA development. The final stage is the process of negotiation and endorsement of the final CDA.

According to Mireku-Gyimah and Gyamfi (2016), the development of CDA evolves through three stages. Using Golden Star Bogoso/Prestea Limited (GSBPL) CDA as example, the authors argue that most CDAs start as philanthropic

community assistance model. At this stage, the company makes voluntary contribution towards the development of the community. This contribution is based on the request made by the local community as well as the company's perceived needs of the community. As time goes by, the philanthropic assistance model changed to community drives assistance model. This model gives the beneficiary community the opportunity to be involved in the selection of projects that will meet their needs. This model ensures community ownership of the project. With time, the demand of the local communities became unbearable for the community. At this time, the company recognized the need to have formalized unit dedicated to company community relationship.

According to Mireku-Gyimah and Gyamfi (2016), SRA development process is facilitated by a moderator. The moderator organizes durbars to interact with the local people on the goals of the SRA development process and to seek their inputs. Additionally, the moderator sort inputs from other stakeholders such as the Minerals Commission, Environmental Protection Agency, Security Agencies and Civil Society Organizations. The SRA process involved an extensive deliberation and consultations between the stakeholders on how to ensure sustainable development in the local community. The process resulted in the development of three key agreements, namely: relationship and alternative livelihood agreement, local employment agreement and foundation agreements.

Concept of Satisfaction

Satisfaction is a multidimensional concept that has several definitions and applications in the field of economics, agriculture, sociology, law, religion,

psychology, health, marketing, art, music and culture among others (Aziri, 2011). The concept of satisfaction is very subjective and based on individual values (Sirgy & Cornwell, 2002). It is based on a set of standards, expectations, beliefs, norms and values which varies from one individual to the other and one community to the other (Aziri, 2011). The subjective nature of the concept has given rise to the use of different parameters for its assessment among scholars from different fields. According to Bilton *et al.*, (2002), satisfaction is function of interrelated factors such as social class, ethnicity and economic divisions within a social system and this could be reflected in a person's way of thinking, psychological make-up, beliefs, norms and cultural factors.

Due to its wide application and different views from academics, the concept of satisfaction has an unending number of definitions. According to the Oxford Dictionary, satisfaction is the act of fulfilling a person's wish, expectation or needs or the utility one derived when the wishes, expectations and needs are met (Oxford University, 2011). Thus, satisfaction is the good feeling that you get when you've done something or something that makes you feel happy. Locke (1979) adds that satisfaction is a form of affection or emotional response people give to a situation or an object. Satisfaction is also used to describe emotional response to the fulfilment of an expected event (Eyiah-Botwe, 2015).

According to Arnorld, Prince and Zinkhan (2004), satisfaction is an assessment of the pleasurable consumption level, including levels of inadequate fulfillment and over-fulfillment. This definition leans more toward consumer satisfaction which is based on varied judgement from individuals. According to Rai

(2013), satisfaction is the state of enjoyment one receives when needs and wants are met. It is the feeling arising from the fulfillment of needs and desires and could be interpreted as an experience of emotion or cognition. In the views of Aziri, (2011), satisfaction has three components. The first component is the cognitive or emotional response one obtained when needs and wants are met. The next component is the focus of the emotional or cognitive response. The object of response could be an expectations, product, consumption, experience or service. The final component focuses on the timing of the emotional or cognitive response, either it occurs after consumption, after choice or is based on accumulation of experience.

The myriad of definitions above indicate that satisfaction is a very dynamic concept that could be used to describe both a process and outcome and for that matter the concept varied in meaning to different people at different times and occasions (Aziri, 2011). Despite the differences in opinion on the subject of satisfaction, most scholars agree that it is the difference between what is expected and what is actually experienced. In the context of this work, satisfaction is conceptualizing as the extent at which implementation of Newmont's CSR activities meet the expectations of the local communities.

The Processes of Responding to Social Problems

Social problems are part of human existence and are as old as human society. Social problems are manifested whenever there is a violation of fundamental human values, norms and believes. It is difficult to come into agreement on whether human values, believes or norms have been violated because

it takes time for human problems to be made public (Akujobi & Jack, 2017). Social problems are part of everyday life and can't be separated from the operations, goals, and objectives of social institutions.

There is no consensus about the definition of social problems. Anele (1999) defines social problem as any condition or situation that exerts maximum pressure on a large number of competent observers in the society as needing attention. From this definition, it could be deduced that social problems call for an action to remedy unfavourable condition that affect large section of the population (Akujobi & Jack, 2017). The limitation of this definition is that it is unable to identify who the competent observer is. On the part of Scott and Marshall (2005), social problem is a *generic term applied to the range of conditions and aberrant behaviours which are held to be manifestations of social disorganization and warrant changing via some means of social engineering*. Based on the above definitions, Akujobi & Jack (2017) asset that social problems are deviations from an idea situation and also pose as a threat to the smooth functioning of the society. Moreover, social problems are interconnected and affect every member of the society and as such, finding solution to social problems must be a collective effort. From this observation, it could be deduced that mining operations in a local community create a social problem. This is because it disorganizes people's way of life in terms of relocation, loss of livelihood, change in occupation and loss of land. This, therefore, calls for mining companies to deliberately come out with programmes to ameliorate the problems their actions have caused the society.

Ackerman & Bauer, (1976) postulate that business organizations should be responsive to the needs of the society within which they operate. The authors describe three phases businesses could pass in order to respond to social problem. The first phase involves managers' recognition of a social problem and developing strategies to deal with it. The problem may be an existing one in the society. The company deals with such problems or issues by incorporating it in their policy. They do this without being compelled to do so. The second phase deals with the organization hiring experts to identify issues in the society that will require the attention of management and suggesting ways of dealing with it. The last phase has to do with implementation where the company integrates the social issues identified in phase one and two into its operations. This model merely provides strategies for dealing with social problems and does not take other parameters and constraints of corporate social responsibility into accounts (Kanji & Agrawal, 2016).

Yeboah and Akenten (2015) have identified CSR as an effective approach to ensure development at the grassroots. To this end, Walker and Weinheimer, (1990) have come out with five CSR approaches to ensure development at the local level. The first is the community-based development approach. This approach ensures the working together of companies and local communities to come out with programmes and projects that meet the developmental needs of local communities. The second approach is the philanthropy approach which involves material and monetary donations made to NGOs, local communities. These donations include, educational and health infrastructure, educational materials, social welfare, sports and also programme sponsorship (Sujakhu *et al.*, 2018). Another approach to CSR

has do with the incorporation of CSR strategy into the business strategy so that CSR becomes an integral and a budget line item for the organization. Another approach that is generating a lot of interest in the recent past is the creating share value. This approach is based on the idea that the success of the organization depends on the wellbeing of the society within which it operates. It explains that every business needs healthy and educated workforce and sustainable resources to operate and as such has to contribute to make the society better in that wise. In addition, this approach frowns on the idea that it is a waste to spend resources for community development. The last approach to CSR is benchmarking. Companies use this approach to compare their CSR policies, implementation and effectiveness with competing organizations to improve upon their approach.

Drivers of Corporate Social Responsibility

Literature categorizes drivers of corporate social responsibility into internal drivers and external drivers (Lynch-Wood, Williamson, 2009; Mzembe & Meaton, 2014; Rodriguez, Siegel, Hillman, & Eden, 2006) with much emphasis on the external drivers because most of the external constituents are made of stakeholders who are crucial for the firm's survival (Aguilera, Rupp, Williams, & Ganapathi, 2007; Lynch-Wood *et al.*, 2009; Mezner & Nigh, 1995). The internal drivers are mainly forces within the organizations itself which motivate the firm to engage in corporate social responsibility programmes. According to Heugens, Kaptein, & van Oosterhout (2008), internal pressures usually emanate from internal stakeholders such as managers and employees who have very strong ethical personal values. In supporting this argument (Menon, 1997; Prothero, 1990) reported in their studies

that firms, though engage in corporate social responsibility to influence powerful stakeholders, the CSR agenda is in part motivated by internal commitment to social welfare and support for humanity in general. Other researchers are of the view that firm's internal motivation to venture into corporate social responsibility is occasioned by the benefits they anticipate from getting and as a risk mitigating factor (Haigh & Jones, 2009).

According to (Muller & Kolk, 2010), external drivers are forces either than that from management and employees that influence the organizations to respond to the needs of the society. Mzembe and Meaton (2014) categorize external drivers of corporate social responsibility into five. The first external driver of corporate social responsibility identified is the pressure from civil society organizations. Civil society organizations are mostly made of people who are very knowledgeable in the area they mostly champion. As such firms are very careful when dealing with them. For instance, empirical study by Mzembe and Meaton (2014) in Malawi found out that civil society organizations have contributed greatly in shaping the corporate social responsibility agenda of Paladin Mines. The findings contend that confrontational strategies by NGOs and other civil society organizations have put a lot of pressure on multinational companies in the extractive sector to come out with detail blue print to support their catchment communities. Apart from the confrontational strategies and in-country activism, civil society organizations also employ market-based mechanisms which aimed at targeting project financiers. The goal of this market-led approach is to bring to the forth the negative consequences of the operations of a company to the attention of its financiers to seek their

attention. (Zadek, 2007) opines that civil society organizations by their current operations have moved from their core mandate of shaping the governance and policy of institutions to that of undertaking corporate regulatory functions. Mzembe and Meaton (2014) found out that the confrontational nature of some of the civil society organizations is counterproductive and deleterious to socioeconomic development. Similar findings of civil society organizations influencing multinational companies to respond to the needs of society have been found by (Doh & Guay, 2006; McIntosh, Thomas, Leipziger, & Coleman, 2003; Zadek, 2007).

The study of Mzembe and Meaton (2014) also identified community expectations and quest for social legitimacy as another external factor that drives extractive industries to venture into corporate social responsibility. There are a number of socio-economic challenges in the communities within which extractive industries operate and as such communities mostly expect them to contribute in solving these challenges. The socioeconomic challenges are in the form of poor road infrastructure, inadequate education and health care provision, poor water and sanitation problem as well as extreme poverty. The expectation to contribute to the needs of the society is highly embedded in the several cultural and religious value systems and norms in Africa (Mzembe & Meaton, 2014). Companies that seem not to share this value and norms are mostly not welcomed in most communities. In order to gain legitimacy, firms must come out with programmes that contribute to the socioeconomic wellbeing of the people (Mulwafu, 2004). Thus, a firm's ability to gain social legitimacy is conditioned on its ability to align its corporate social

responsibility agenda to meet the expectations of the local communities (Mzembe & Meaton, 2014; Preston & Post, 1975; Wood, 1991). This is consistent with findings of Kolk & Lenfant (2013) that by aligning the corporate social responsibility agenda of firms with the societal expectations, firms are able to gain legitimacy in the face of strong resistance against mineral resource exploitation. The findings of Kolk and Lenfant (2013) also revealed that multinational companies that align their corporate social responsibility agenda with the expectations of their catchment communities are in the better position to fend off potential conflict in host communities.

State policy and regulatory pressures have also been cited as one of the factors that influence the corporate social responsibility drive of organizations. Every country has policy and regulations that govern mineral exploitation and all extractive industries are expected to adhere to it. State agencies require extractive industries to come up with policies and programmes to deal with environmental and social issues they contribute in creating in catchment communities (Mzembe & Meaton, 2014). Mzembe and Meaton (2014) further discovered that despite the important role of regulatory framework as a significant driver to corporate social responsibility in mining communities, there is always weak enforcement in its implementation.

Mining companies are expected to operate within the standard that has been set up by the ICMM and other global and public regulation bodies. The standard comprises of a number of compliance criteria in the area of the environment, labour, and sociocultural issues (Mzembe & Meaton, 2014). The global and public

standards guide most firms when developing their corporate social responsibilities in order to enhance compliance.

Recently, most financial institutions willing to invest in mining and other extractive industries require information on how the loan applicant integrate economic, social, environmental and risk mitigation measures into their proposals (Wright & Rwabizambuga, 2006). By this action, financial institutions are able to influence the corporate social responsibility agenda of mining companies.

The aforementioned discussion clearly demonstrates that mining companies' internal motivation to invest in corporate social responsibility is largely occasioned by the external factors. If the mining firms are unable to internalize the external drivers into their managerial decision making, they are unlikely to obtain the required social and legal license to operate.

Corporate Social Responsibility and Community

Corporate social responsibility enables companies to be well integrated in the local communities. The implementation of corporate social responsibility projects creates a symbiosis relationship between mining companies and local communities. Brew *et al.*, (2015) opine that mining companies provide both direct and indirect jobs for the people in the local communities. They also serve as one of the main sources of revenue to the local communities. In their study on the views of local communities on mining company's corporate social responsibility, they categorize the benefits communities derived from mining company's corporate social responsibility activities into health, education, community aid related and livelihood related activities. Some of the health benefits they found out in their

study include the provision clinics, nurses' quarters, health screening, provision of medical equipment and payment of national health insurance premiums for the vulnerable group in the community. On education, they counted building of schools and teachers' bungalows, provision of library and supply of books to schools. Their study also revealed that mining companies have provided a number of scholarships for the community. Provision of boreholes, community center, roads, and electricity were enumerated as some of the community aid related activities mining companies provide to their catchment communities.

On livelihood related corporate social responsibilities, Brew *et al.*, (2015) found out in their study that mining companies provide employment, agricultural inputs and also train the local people in vocational and technical skills. The mining companies on the other hand depend on the health, stability and prosperity of the communities in which they operate. For instance, the majority of the people employed in the mining companies come from the local communities. Thus Fadun, (2014); Kurucz, Colbert, & Wheeler, (2008) categorize the benefits firms derived from corporate social responsibility into cost and risk reduction, gaining competitive advantage, developing reputation and legitimacy and seeking win-win outcomes through synergistic value creation.

Some scholars doubt the contribution of corporate social responsibility to communities. For instance, the advocates of the agency theory are of the view that organizations should make enough wealth and maximize the shareholders benefits and not the community (Friedman & Miles, 2001; Jansen, 2002). This view is seriously objected to by scholar such as (Gifford & Kestler, 2008). They argue that

businesses have enormous obligations and responsibilities toward societies; hence they are expected to improve the welfare of the people within their catchment communities. They continued that businesses will only obtain the needed social license to operate only when they go beyond their core mandate of creating value for shareholders.

Indeed, the core mandate of every business is to increase shareholders' value as assert by the agent theory, but due recognition should be given to the key stakeholders. Spending resources on corporate social responsibility should not be seen as reducing shareholders dividend especially in the extractive industry such as mining but rather it should be recognized as one of the important cost centers in the business. Because spending on corporate social responsibility creates more benefits for the firm and its shareholders than the community.

The Concept of Social Accountability

Accountability is considered as one of the most essential ingredients of democracy and the full benefit of democracy cannot be realized without accountability of public officials (Sarker & Hassan, 2010). Lack of accountability can bring about tension in an organization which could ultimately impede smooth operations of businesses. The term accountability has received a lot of attention in the literature due to its impact on the triple-bottom line of businesses (Sarker & Hassan, 2010). As such, it has been defined differently by different authors and organizations. From the pens of (Khatibullah, 2011), accountability is broadly defined as the obligation of duty bearers to take full responsibility of their actions and behaviours when delivering services to those who have given them the mandate to serve.

(Ackerman, 2005) sees accountability as *pro-active process by which public officials inform about and justify their plans of action, their behavior and results and are sanctioned accordingly*. As an icon, accountability serves as synonym for politically loosely terms as transparency, equity, democracy and efficiency (Behn, 2001). To Bovens (2007), accountability is a social relation between an actor and agent whereby the actor (an individual or an agency) is obliged to justify and explain any action taken to the agent (a specific person, an agency or a virtual entity such as the general public). Accountability is also seen as the obligation of public officials to inform and explain their actions to the citizenry and the capacity of accounting agencies to impose sanctions on duty bearers who fail to apply the required accounting principles in their operations (World Bank, 2004b).

Over the years, there have been a lot of state-centered accounting protocols and mechanisms to ensure that public officials are accountable to citizenry. As the result there has been an increase demand by public and civil society organizations to take an active part in ensuring public accountability (Sarker & Hassan, 2010). The sudden rise of the public interest in taking part in public accountability is due to the fact that the state is a single actor in providing public goods and as such other stakeholders must also have a say (Chondhoke, 2003; Sarker & Hassan, 2010); there is difficulty of formal institutions to provide the necessary oversight responsibilities (Sarker, 2009); overgrowing market driven approach in delivering public service (Paul, 1992; Peters, 2001); increased development effectiveness, improved governance and empowerment (Malena, Forster, & Singh, 2004).

The concept of social accountability was developed as an organized approach to ensure civic engagement in public accountability (Sarker & Hassan, 2010). Thus according to the World Bank, social accountability is the civic engagement approach to accountability (World Bank, 2004b). Social accountability could also be looked at as a process whereby non-state or social actors can hold duty bearers accountable for their actions (Malena *et al.*, 2004). (Khatibullah, 2011) define Social accountability as an approach to ensure accountability through the engagement of ordinary citizens and citizen groups.

Most social accountability actions are led by civil society organizations and social movements and the media and could take the form of public demonstrations, protest, investigative journalism, advocacy campaigns and sometimes civil law suits (Sarker & Hassan, 2010). However, there has been a number of participatory data collection and analysis tools that enable ordinary citizens and civil society groups to demand accountability from duty bearers in an organized manner (Malena *et al.*, 2004; Sarker & Hassan, 2010). These civic engagement-based mechanisms include but not limited to: social auditing, participatory budgeting, community score card, public expenditure tracking survey, and citizens monitoring and evaluation. It must be emphasized that, the successful application of social accountability tools is largely dependent on the trust and relationship between citizens and institutions (Khatibullah, 2011). Also, the propriety of social accountability tool for a given situation must be carefully considered.

Social Accountability Initiatives in Africa

Most of the social accountability initiatives in Africa have been spearheaded by civil society organizations. The initiatives by the civil society groups are mainly precipitated by the challenges of decentralization, the need to fight poverty and deprivation, improvement of services to the poor, disregard to basic laws by large multinational companies and high level of perceived corruption in both public and private businesses (McNeil & Mumvuma, 2006; Sarker & Hassan, 2010). According to McNeil and Mumvuma (2006) Institute for Policy Alternative has been in the forefront in the championing of social accountability in Ghana. Some of the initiatives undertaken by the institute include community monitoring of poverty reduction projects using community and citizen scorecards. The institute organizes an interface meeting between the service providers and the local people. This process gives the local people the opportunity to access the performance of duty bearers. Duty bearers on the other hand get the opportunity to know the perception of the local people towards their activities. It also gives them the opportunity to clarify any widely held misconception about their operations. Apart from this, the Institute for Policy Alternative has undertaken other social accountability initiatives. Notably, the institute assesses the access to basic education and quality health care, resource allocation and public expenditure and their impact on the beneficiaries using social accountability tools such as participatory budgeting, public expenditure tracking, and community score card. Also (Abbey, Azeem, & Kuupiel, 2010) used public expenditure tracking to

monitor the transfer of resources from the central government to Metropolitans, Municipals and District Assemblies.

Other African countries have also had their share of the social accountability initiatives. For instance Malawi Economic Justice Network is using budget analysis and demystification, public education and mobilization, participatory monitoring, advocacy and media activities to promote social accountability and economic justice (Kubalasa & Nsapato, 2010). In addition, Zimbabwe applied participatory budgeting technique to make their budget more responsive to the needs of children and women (Muchabaiwa, 2010). Also, Nigeria Extractive Industrial Transparency Initiative together with Civil Society Organizations are leading a campaign dubbed 'Publish What You Pay to enhance government revenue transparency (Garuba & Ikubaje, 2010). In Benin, there are about 150 CSOs that have come together to monitor the implementation of government programmes towards poverty reduction (Eteka & Floquet, 2010).

Challenges in Corporate Social Responsibility in Mining

Corporations face multiple challenges in the implementation of their corporate social responsibility programmes (Jonker & Witte, 2006). Key among the challenges are high cost involved CSR and corporations' inadequate financial resources to meet the demand of the teeming stakeholders (Asegheley, 2018; Higgs, 2006). Competitive tension between stakeholders due to varied interest also poses a challenge in implementing corporate social responsibility programmes in mining communities. Government and local assembly's neglect of the mining communities pose a lot of challenges as it put more pressure on the mining companies to develop

the communities. The state of most mining communities is nothing to write home about and the mining companies are mostly accused of the poor state of these communities. As a result, the effect of their corporate social responsibility interventions is not mostly felt due to its inability to meet the needs of the stakeholders (Asegheley, 2018; Higgs, 2006).

A study by Maima (2012) categorizes the challenges confronting the implementation of corporate social responsibility interventions into macro, micro and industry challenges. The macro challenges identified include poor implementation of projects which results in non-achievement of project objectives. This findings is also supported by (Asumah, 2015). They reported that frequent visitation to the project site, proper supervision and engagement of relevant partners as the key strategies to deal with the menace of poor project implementation. Another macro challenge cited in the study has to do with dependency and lack of ownership of projects. With dependency, most communities depend on the company for almost all their developmental needs and such are not satisfied when they do not receive what they want. On lack of ownership, most developmental projects do not meet the felt needs of the people. The real beneficiaries are not involved in project selection and implementation hence they see the developmental projects as something that belongs to the company and not the community. The findings of the study identified deliberate involvement and education of the beneficiary communities as key remedies to the above identified programme. Lack of accountability was also cited as one of the major challenges in the implementation of corporate social responsibility interventions. Some of the

development partners in the corporate social responsibility programmes fail to give progress report on project implementation. This creates a lot of rumors which when not properly handled could result in conflict in the community. The study therefore advocates for the inclusion of accountability mechanisms in the corporate social responsibility agenda of corporations. Conflicting interest by the various stakeholders was also identified as a challenge in the implementation of corporate social responsibility interventions. In order to deal with this challenge, there is the need for proper stakeholder engagement in order to get the buy in of all.

At the Micro level, Sujakhu *et al.*, (2018) cited lack of communication as one of challenge that affect implementation of corporate social responsibility interventions. According to the study, there was lack of communication between the relevant parties of the organization. Information about the operations of the organizations corporate social responsibility activities are always kept from the known of the members of the community. Members in the community were not involved in project being implemented in the community. This has a serious effect on the sustainability and ownership of such projects since the communities will see such project as that of the company rather than theirs. Lack of adequate funds also came out in the study as one of the micro factors challenging the implementation of corporate social responsibility projects. The needs of communities are numerous but the resources of the organizations to meet all the needs is inadequate and this mostly result in tension in some communities. In similar vein, Asumah (2015) also identified inadequate funds as the main factor impeding effective implementation of corporate social responsibility projects. Sujakhu *et al.*, (2018) also cited

corruption as one of the challenges affecting smooth implementation of corporate social responsibility activities of organizations. The study found out the people who are entrusted with funds to develop the community ends up using greater part of the funds to enrich themselves. Proper accountability mechanisms should be put in place to check proper and judicious use of funds for community development.

Duplication of projects was found to be an industry related factor that challenges the smooth implementation of corporate social responsibility projects in the communities. It was realized that most organizations want publicity and as such will engage in projects that is likely to give them the needed recognition irrespective of their relevance to the community. Thus, the objective of engaging in corporate social responsibility interventions becomes more self-seeking. This attitude results in implementation of duplicated projects across the communities. This then calls for multi-stakeholder dialogue and education between all the relevant stakeholders on the needs to implement projects that could benefit many communities rather than implementing the same projects across communities.

Asumah, (2015); Simchi-Levi & Kaminsky, (2002); Topalian, 1984; Zsolnai, (2002) unanimously agreed that the following factors also impede smooth implementation of corporate responsibility projects; interference from opinion leaders and politicians. They assert that these powerful groups interfere in the implementation of corporate social responsibility projects in the various communities. They try to twist the hands of organizations to implement projects that are in their interest but are not necessarily the felt needs of the general populace. This results in a mismatch between corporate social responsibility projects and the

real needs of the people. This, therefore, calls for a multi-stakeholder dialogue to deal with this canker. Again, there is the need to have a formal document depicting the modalities for the implementation of corporate social responsibilities projects by corporations. Local communities should also be empowered to demand their full participation in project initiation and implementations in their communities. They also identified poor management, lack of community support and commitment of corporate social responsibility projects. Community support is very critical in the implementation of any developmental project. Community support ensures effective monitoring, supervision, ownership and maintenance of projects. The studies identified education and continue stakeholder engagement as key remedies to deal with the situation. To deal with poor management requires training of key management staff in project management. Another challenge that was identified by the researchers has to do with low infrastructural development by government in the mining communities. This puts a lot of burden on the mining companies as the result, their contribution to the communities they work within are mostly not appreciated. Insatiable desire for support and sponsorship and overdependency on the mining companies for all social needs also pose a lot of challenges to mining companies in their quest to meet the social obligation to the people through corporate social responsibility programmes and projects. It then calls for government, local assemblies and chiefs to deliberately channel a certain percentage of taxes and royalties obtained from mining companies to complement the development of mining communities in order to lessen the burden and insatiable expectations imposed by local communities on mining companies

Empirical Review of Literature

Several studies have been conducted on the subjection of corporate social responsibility in mining and its impact on the livelihood and socioeconomic status of the people in mining communities. This section of the thesis presents empirical research work of the study. The review is based on research objectives, methodological issues and main findings of previous studies.

A case study was conducted by Ranängen (2013) on corporate social responsibility practices in the mining industry using key informant interviews and document analysis. The study compared the corporate social responsibility practices of two mining firms; one in Zambia and the other in Sweden. The study revealed that both companies have comprehensive policy framework on CSR and also adhere to international standard on occupational health, safety and the environment in order to fulfill legal requirements. The findings showed that both companies do not have a structural mechanism of involving local community in development.

Yankson (2010) conducted a study in Wassa West District of Ghana to examine the programmes being implemented under mining companies' CSR agenda using key informant interviews. The results of the study showed that Gold Field Ghana has implemented a number of alternative livelihoods programmes as part of their CSR agenda. The alternative livelihood programme has provided job for a number of people in the community, provided income-earning opportunities as well as some skills training. The study argues that the sustainability of the gains

in the livelihood projects could only be archived through a well-coordinated approach that involves all stakeholders.

Hilson and Banchirigah (2009) assesses the effectiveness of CSR practices of mining companies to diversify the economies of mining communities. Key informant interview was used to gather data from officials of mining companies, government officials and local people from three mining communities; Tarkwa-Bogoso-Prestea in the Western Region, Noyem/Ntronang in Eastern Region and Bolgatanga in the Upper East Region. Thematic analysis was used to analyze the data. The study found out that, a number of alternative livelihoods programmes have been implemented in mining communities in the name of corporate social responsibility. These livelihood programmes are in the area of crops and livestock farming, skills development, apprenticeship and sericulture. However, most of these projects are not enticing to the youth in the mining communities because effective consultations were not done before their introduction. This is because most of the projects are driven from top to down. The study therefore recommends that government, NGOs and mining companies should conduct extensive needs assessment and also ensures full participation of the local people in alternative livelihood project they intend to implement to ensure its adoption and sustainability. A similar study conducted by Arko (2013) shows that although mining companies have consistently carried out projects to improve the livelihood of people in mining communities the required result of improvement in socioeconomic status and sustainable development has not been felt in most mining communities.

A survey was conducted by Owusu-Ansah, Adu-Gyamfi, Brenya, Sarpong and Damtar (2015) on the assessment of corporate social responsibility of Newmont Ghana Gold Limited at Ahafo. The study used purposive sampling, key informants' interviews, focus group discussions and descriptive analysis. The study discovered that Newmont has greatly contributed to socioeconomics and sustainable development of its Ahafo operational area through corporate social responsibility. Specifically, Newmont has compensated all farmers who lost their land through their operations, have resettled all the displaced communities, and has established a foundation to serve as the engine to propel development in the local communities. The foundation has been used to create jobs, provide scholarships and apprenticeship training, business support, agricultural development, educational and health infrastructure as well as support for cultural heritage and sporting activities. This finding is at variance with the works of Kitula (2006), Hamann (2003), Hilson (2002), Traore (1994) who have consistently highlighted the negative impact of mining companies in parts of Africa and Asia. In a similar study, Yeboah and Akenten (2015) assess the effect of Newmont CSR on the development of Kenyasi. The study employed descriptive research design and convenience sampling to select 100 residents from Kenyasi and 20 staff from the community affairs department of Newmont with the results analyzed descriptively. It was found that Newmont use more of community-based and benchmarking approaches for its developmental activities. The residents have negative perception about the CSR practices of the company because it does not meet their expectations. The staff on the hand rated the CSR practices of the company very high in terms of corporate

social and reputational capital of the company. The study recommends that government should set aside part of revenue generated from the mining companies for local development.

Furthermore, Mireku-Gyimah and Gyamfi (2016) examined the corporate social responsibility agreement of Golden Star Bogoso/Prestea Limited (GSBPL) using content analysis. It was found out the community development agreement of GSBPL has gone through three phases of evolution starting from need and poor assistance philanthropic community assistance model to somehow improved but not much effective community driven assistance model to the current very effective and successful CSR agreement model. The CSR agreement model has resulted in the production of three documents to guide GSBPL in its community development agenda. The documents were generated through deliberations, consultations and negotiation between GSBPL and the local communities. The three documents produced are the relationship and alternative livelihood agreement, local employment agreement and development foundation agreement. The implementation of these agreements has resulted in improvement in the socioeconomic status of the local people, improved transparency and accountability in offering of job, promoted peaceful relations, openness in funding and selection of developmental projects that meet the needs of the people and has also imbibed a sense of shared ownership and responsibility between GSBPL and its local communities. In line with this, the study by Amponsah-Tawiah and Dartey-Baah, (2017) examined the corporate social responsibility in Ghana and came to the

conclusion that CSR has been the main tool for championing development in mining communities in Ghana.

In related development Mzembe and Meaton (2014) used qualitative case study to examine factors driving the CSR agenda in the Malawian mining industry. The findings from the study showed that CSR agenda in Malawian mining industry is highly motivated by external factors such as pressure for civil society organizations. The study did not find much support for public and private institutions and financial market as external factors influencing CSR. Haigh and Jones (2009) on the other hand opined that both internal and external pressures are very instrumental in shaping the CSR agenda of mining firms.

Morimoto, Ash and Hope (2005) examine the possibility of developing CSR auditing system based on literature and key informant interviews. The findings showed that it will be very difficult to develop CSR auditing procedure that will be acceptable to all stakeholders and applicable to all situations due to the unending debate on the concept of CSR. The study identified the following as the critical factors that influence successful CSR policy; good stakeholder management to ensure that all relevant stakeholders are involved in CSR auditing process, prioritization of the issues of CSR at the board room level of an organization, integration of CSR into corporate policy, and good corporate leadership. In a similar study, Gao and Zhang (2001) emphasized on the need for the engagement of all relevant stakeholders in the CSR auditing process.

A study was conducted in Argentina by Mutti, Yakovleva, Vazquez-Brust and Marco (2012) to assess stakeholders' perception on CSR in mining industry.

The study used semi-structured interviews to solicit response from government ministries, departments, agencies and local assemblies, academics, NGOs, grassroot movements, churches, trade unions, multinational and domestic mining companies and mining professionals. The stakeholders expressed varied expectations and contributions of CSR of mining companies in terms of environmental compliance and protection of the environment, sustainable community development and alternative income generating activities, contribution to local economic development, compliance with health and safety standards, probity, accountability and transparency, creation of opportunity for public participation in business operations, provision of employment opportunity and provision of infrastructure in the areas of health and education. Though the mining companies claim that they have contributed much to the local economy, the local communities are of the view that their achievement is below expectation.

Moreover, Fadun (2014) examined stakeholder expectations of CSR in Nigeria using Carroll (1991) model. The study relied on primary survey data from workers, customers, shareholders and local communities and also secondary data from literature. Questionnaires were used to solicit views from 240 purposively selected respondents. The results of the study showed that CSR is concerned with ethical treatment of stakeholders and protection of their interest. It also came to light that Nigerians place more emphasis on economic, legal and ethical dimensions of CSR than on philanthropic component. According to the study, the key to improve corporate image of an organization is through effective stakeholder

management. It therefore recommends that businesses should identify key stakeholders and integrate their interest in organization's corporate planning.

A similar study was conducted in Malawi by Mzembe and Downs (2014) on managerial and stakeholder perceptions on African-based multinational mining company's CSR. The study used qualitative case study with the help of semi-structured interviews to collect data from thirty-three respondents. The findings of the study revealed that both managers and stakeholders agreed that the main responsibility of mining firms is the economic responsibility within the society. This view was also expressed by Mzembe and Meaton (2013). The stakeholders rated philanthropic responsibility as the second most important responsibility of mining firms. This is in contradiction with Carroll (1991) model which rated philanthropic responsibility as the fourth most important responsibility of firms. The authors argue that the highly rated philanthropic responsibility is as the result of the inability of government to provide citizen in Malawi with basic social facilities. In addition, the stakeholder's perception of philanthropic responsibility is highly influenced by the value system (Haake, 2002) personal experience and background and expectation of the local community (Haake, 2002; Visser, 2008; Kapelus, 2002; Blowfield & Frynas, 2005). On the contrary, managers of mining firms in Malawi moderately regard philanthropic responsibility. On legal responsibility stakeholders agreed that mining companies in Malawi has the legal obligation to adhere to all the legal requirements governing mining in Malawi. They all call for the legalization of CSR in mining so that it could be properly regulated and monitored to bring out the desired results. The stakeholders explained that

promotion of self-regulation as currently being done is problematic since it is very difficult to determine the minimum acceptable CSR standards. On ethical responsibility the stakeholders revealed that it is imperative for mining companies to uphold social justice and respect for local communities.

Another study by Brew, Junwu and Addae-Boateng (2015) on the views of local communities on CSR activities of mining companies in Ghana revealed that mining companies have contributed to development in local communities in the area of health, education, community aid and livelihood related CSRs. The respondents from Western and Eastern regions however, decried lack of medical screening by the mining companies. The study recommends that mining companies should be more transparent in the award of scholarship and offer of employment. In a related study, Enuoh and Eneh (2015) studied the perspectives of stakeholders on CSR activities of oil companies in Nigeria. The study used key informant interviews to collect data from the respondents. The findings showed that there is lack of understanding between the oil companies and local communities on CSR contractual agreement. This lack of understanding results in frequent misunderstanding between the oil companies and local communities. It emerges from the study that local communities were expecting so much from the oil companies in terms of employment, health, education among others but these expectations were not met. Another study by Dandago and Arugu (2014) in the Niger Delta of Nigeria revealed similar results that CSR of oil producing companies do not meet the real needs of the local people because they are not involved in the selection of projects.

Examining stakeholder perception of mining impact on CSR in Australia, Viveros (2016) reported that stakeholders perceived mining has impacted negatively on social and environmental domains of the society whilst they perceived more economic impact. They concluded that CSR is not a panacea to remedy the negative impact of mining on local communities. On CSR and extractive industries in Latin America and Caribbean, Pozas, Lindsay and Monceau (2015) reported on contributions of CSR practitioners during a forum. The report from the forum indicates that CSR in Latin American and the Caribbean is evolving and is unevenly applied. It further explained that the demand for mining firms CSR by local communities is increasing but there exists the problem of conceptualization, application and implementation strategies. Again, the forum concluded that Latin America and Caribbean CSR strategies are shaped by international standards that are adapted to local situation. Participants at the forum agreed that external forces in the form of norms and guidelines are important in shaping the CSR agenda of mining firms. In addition, CSR must always take local context into account. The forum participants came to a consensus that mining firms must understand the history, culture, indigenous systems, norms and values of the local communities when developing CSRs. Again, the participants asserted that CSR holds great potential to bring development in mining communities.

Slack (2012) examined the potential of adopting a CSR-based business model for extractive industries in developing countries. The study focused on Marlin Gold Mine in Guatemala. The findings from the study show a sharp contradiction between mining firms' stated CSR commitment and actual

implementations in developing countries. The source of the contradiction was attributed to lack of integration of CSR commitment into the business model of most mining companies in developing countries. The discrepancies are seen in the areas of project cost and benefit assessment, selection of projects and technologies, respect for the consent of local communities and structures for rewarding performance.

Conceptual Framework

The governments of most developing countries are unable to meet the teeming developmental needs of their people due to resource constraints. As a result, it has become imperative for businesses to assist government in meeting the needs of the populace. As advanced by the stakeholder theory, as businesses make effort to meet their economic objectives, careful planning should be made to meet the societal needs as well. This is because the legitimacy theory has made it clear that business will be able to operate when society deemed their operations as acceptable. Thus, drawing from the literature, the conceptual framework for the study describes how a mining industry can develop and practice social responsibility agreement (SRA) to promote sustainable community development (Figure 3).

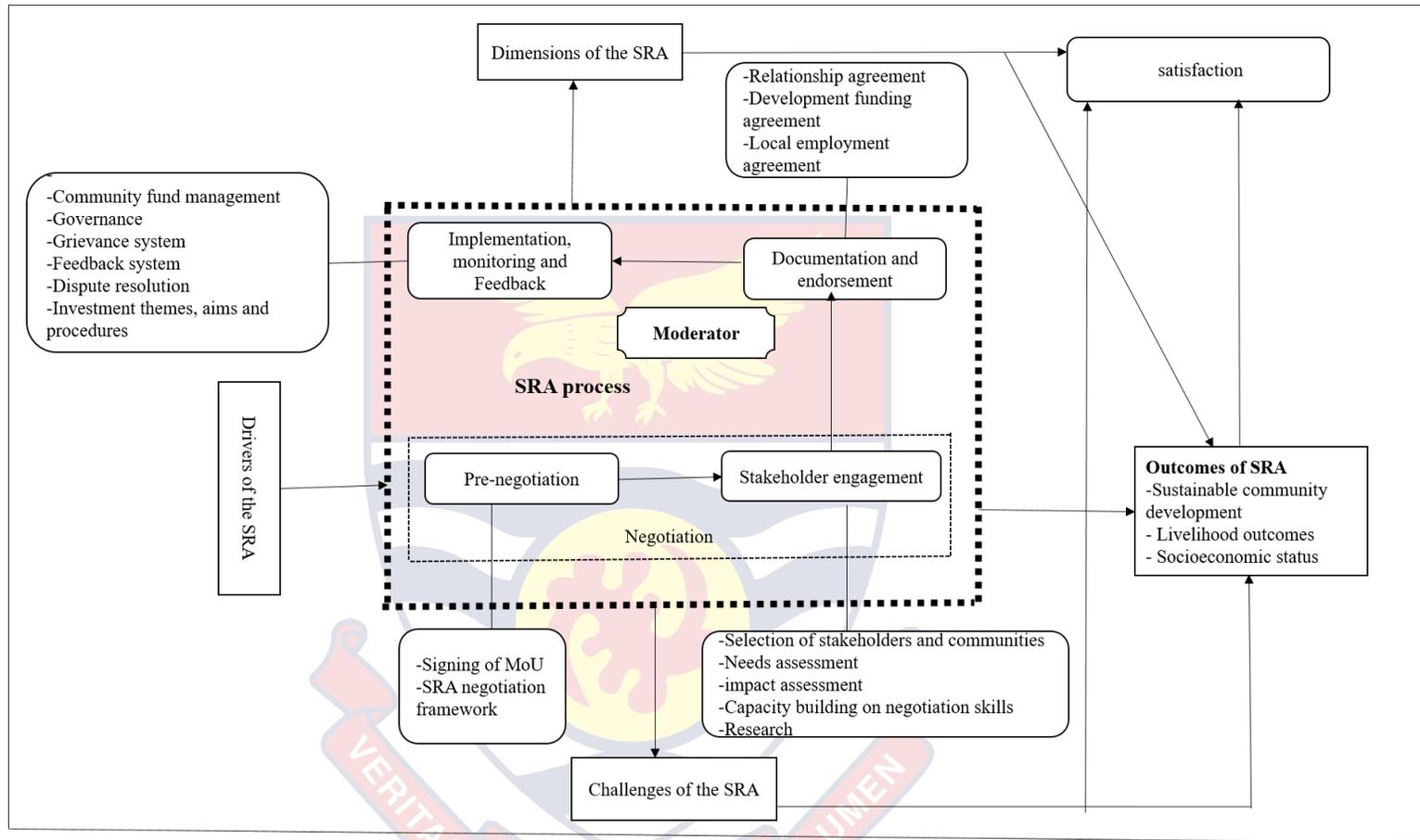


Figure 3: Conceptual Framework for Social Responsibility Agreement Development Process and Practice in Mining

Source: Author's construct

From the conceptual framework, the development of SRA starts with a pre-negotiation process, which according to Loutit, Mandelbaum and Saoze-Burke (2016) serves as the foundation for the SRA development process. The authors attest that the pre-negotiation stage involved signing of MoU with stakeholders to secure the needed support. Additionally, it demonstrates the mining company's initial show of commitment towards the needs of the local community (O'Faircheallaigh, 2013). The MoU is signed between the leaders of the mining community and the representatives of the mining company. Another key activity identified at the pre-negotiation stage by Loutit, Mandelbaum and Saoze-Burke (2016) is the determination of framework for SRA negotiation. This process entails reaching an agreement on SRA negotiation boundaries. Also, the modalities for negotiation in terms of number of meetings, places of meeting, stakeholders to be involved in the process are determined at this stage.

The pre-negotiation stage is followed by a stakeholder engagement process. This process involves consultation and deliberation with key actors to secure their inputs in the SRA development. According to Loutit, Mandelbaum and Saoze-Burke (2016); Mireku-Gyimah & Gyamfi (2016) stakeholder engagement entails an extensive research to determine the actual needs of the mining community, consultation and deliberation with key stakeholders to secure their input in the SRA process. Other activities include stakeholder mapping to provide a visual insight on the various stakeholders as well as their level of influence so that appropriate strategies could be put in place to ensure smooth working relationship, selection of communities, environmental, human and social impact assessment, capacity

building for effective negotiation, determination of structure of governance of the SRA, monitoring and management of community investment projects. Additionally, it includes selection of stakeholders and description of roles for each of the stakeholder groups.

The next stage of the SRA process is documentation and endorsement of the activities at the stakeholder engagement stage. According to Loutit, Mandelbaum and Saoze-Burke (2016); Mireku-Gyimah and Gyamfi, (2016) the stakeholder engagement leads to the documentation of three key agreements, namely: relationship, local employment and foundation agreements. At this stage, stakeholder representatives agree on the content of the three agreements and append their signature to give it a legal backing. The relationship agreement provides basis for mutual understanding between the stakeholders. In addition, it spells out the roles and responsibilities of each stakeholder to ensure full participation in the SRA implementation process. The local employment agreement on the other hand provides the laid down procedures and modalities for employment of people in the mining community whereas the foundation agreement set forth the establishment of development foundation to raise funds for the implementation of community projects.

The final stage of the SRA process is implementation, monitoring and feedback. This stage of the SRA process focus on the importance of multi-stakeholder approach, governance structure and criteria for community fund management, grievance, feedback, dispute resolution mechanism and procedure as

well as investment aims, themes and procedures (Otto, 2010; O’Faircheallaigh, 2013).

It is expected that the SRA process will come out with measures that will address all the dimensions of a corporate social responsibility (CSR). According to Carroll (1991), four key dimensions namely: economic, legal, ethics and philanthropic responsibilities are identified. Thus, the conceptual framework for the study considers community perception on how the dimension of CSR are catered for in the SRA. It is expected that the CSR dimensions will be reflected in the outcomes of the SRA process in terms of sustainable community development, socioeconomic status and livelihood outcomes. Again, the conceptual framework postulates that the community satisfaction of the implementation of mining SRA depends on the extent to which mining company meets the CSR dimensions (Fadun, 2014).

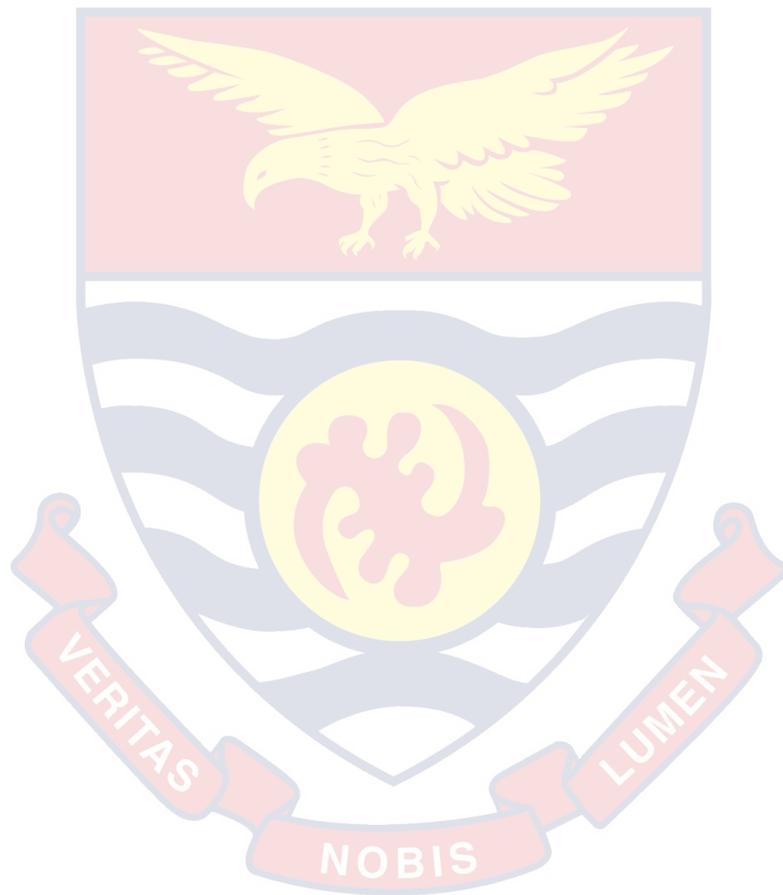
Mining companies face a number of challenges when implementing social responsibility agreements (Jonker & Witte, 2006). From literature, they may include high cost involved in SRA implementation and corporations and inadequate financial resources to meet the demand of the teeming stakeholders (Asegheley, 2018; Higgs, 2006). The view is that the challenges when not well managed could impede the mining company’s ability to meet the outcomes of SRA and may reduce community’s level of satisfaction (Jonker & Witte, 2006; Fdun, 2014; Asegheley, 2018). It is expected that the SRA process should produce an output in the area of socio-economic, livelihood outcomes, and sustainable development to the community. These outputs together are also expected to bring satisfaction to the

mining community, and give social license to the mining company to operate for mutual benefit. It must be stated that, the mining companies' decision to sign SRA with local community is driven by internal factors emanating from managers and workers conviction of the need to give back to the society and external factors such as the ability to receive legal and social license to operate (Lynch-Wood, Williamson, 2009; Mzembe & Meaton, 2014; Rodriguez, Siegel, Hillman, & Eden, 2006; Heugens, Kaptein, & van Oosterhout, 2008; Muller & Kolk, 2010). According to Mireku-Gyimah and Gyamfi (2016), the process of developing and implementing SRA in mining is very complex, hence require the services of moderator to steer the affairs of the process.

Chapter Summary

Relevant literature on the research topic has been reviewed in this chapter. The review focused on various theoretical frameworks, key concepts and terms as well as previous research work related to the study. The conceptual framework guiding the work has also been presented in this chapter. The review has shown that mining companies have very important role to play in the local community. It emerges from the review that government is unable to meet all the developmental needs of local communities and as such, mining companies are called upon to fill in the gap. It shows that SRA has become an important tool to spearhead development in mining communities. Mining companies need to develop SRA with mining communities in order to streamline development at the local level. The review shows that mining SRA can bring some level of improvement in

socioeconomic status, livelihood outcomes and sustainable development at the grassroots level. Finally, the review shows that the relevance and acceptance of any development intervention depend largely on the active participation of key stakeholders.



CHAPTER THREE

RESEARCH METHODS

Introduction

The aim of the study was to examine the Social Responsibility Agreement (SRA) and practices in the gold mining industry in Ghana based on evidence from Newmont Goldcorp Limited. This chapter describes the methods that were used to conduct the study. It covers the research approach, research design, the choice of Newmont Goldcorp Limited for the study, the study area, population, sample size and sampling procedure, data collection instruments, pre-testing of data collection instruments, validity and reliability of data collection instruments, data collection procedure, data processing and analysis and ethical consideration.

Research Approach

The research approach is a broad framework together with necessary assumptions involved in the collection, analysis and interpretation of data. It is based on the nature of research question under investigation (Kumar, 2011). Scholars have grouped research approaches into quantitative, qualitative and mixed research approaches. Each of the approach has its strengths, weakness and assumptions for applications (Kumar, 2011).

Quantitative research uses numbers to quantify opinions, phenomenon, attitudes and behaviours. It allows for testing objective theories through

examination of relationships between variables and is based on the positivist philosophy of research. The data collected could be transformed into usable statistics with the findings generalized to cover the entire population (Babbie, 2004; Creswell, Fetters, & Ivankova, 2004). According to Eyisi (2016) quantitative approach allows for the generalization of findings because it dwells on the use of scientific methods for data collection and analysis and for that matter interpretation of such research process cannot be seen as mere coincidence. Another strength of this approach is its ability to save time and resources as the result of the use of statistical data as a tool for data collection and analysis (Eyisi, 2016). Other benefits include replicability (Lichtman, 2013), use of control group (Johnson & Christensen, 2012), and its lack of bias (Eyisi, 2016; Muijs, 2004; Creswell, 2009). Critics of this approach argue that detachment of the researcher from the research process makes the researcher a mere observer. This action makes it very difficult to get deep understanding of a phenomenon (Berg, 2007). Again, it is argued that quantitative research does not encourage creative, critical and imaginative thinking because it depends on predetermined variables, designs and hypothesis (Shank & Brown, 2007).

Qualitative research approach on the other hand is used to gain in-depth knowledge of a situation, phenomenon, reasons, attitudes, motivations and opinions of people and it is based on the interpretive philosophy of research (Kumar, 2011). This approach allows people to express their feelings through verbal and nonverbal cues and also affords the researcher the opportunity to ask probing questions to unearth underlying issues behind people's expressions (Eyisi, 2016). According to

Berg and Howard (2012), this approach is a useful problem-solving tool since it has the potential of digging deep to find the root cause of a given problem. For instance, the use of observations, open-ended questions, in-depth interviews and field notes gives the researcher full description of the subject under study. The use of non-numerical data such as pictures and words make qualitative research more appropriate for providing factual information (Johnson & Christensen, 2012). Despite the aforementioned strengths of qualitative research approach, it has some weaknesses. First of all, its findings are limited to only the group under investigation and as such cannot be generalized to a bigger population. This is because qualitative researchers see the social world as dynamic and not static. For that matter, findings from one situation may not be necessarily applicable to other situations though they could be similar (De Vaus, 2014). Other shortcomings of qualitative approach are lack of replicability, subjectivity of qualitative findings and difficulty in simplifying qualitative findings because of lack of use of numbers to quantify outcomes (Cohen, Manion, & Morrison, 2011).

Mixed research approach involved the combination of qualitative and quantitative research approaches for the broad purpose of breath and depth of understanding and corroboration (Bryman, 2001; Bryman, 2006; Schoonenboom & Johnson, 2017). The purpose of mixed research method is not about belittling qualitative or quantitative research design but to dwell on the strength of each other while at the same time minimizing their weaknesses (Andrew & Halcomb, 2006; Cameron, 2016). Combining qualitative and quantitative techniques in mixed research is to strengthen and expand the inference of a study. Several authors have

come out with a lot of specific rationale for using mixed methods (Schoonenboom & Johnson, 2017).

Mixed research approach was adopted for this study because it affords the researcher the opportunity to understand Newmont SRA agreement and practices from different perspective of the respondents (Bhattacharjee, 2012; Bryman, 2008; Guest, 2013). In addition, mixed method has been adjudged as the best approach to use to understand the impact of project on a local community (Baker, 2000; Bamberger, Rao & Woolcock, 2010; Salmen, 2002). This is because such projects have both qualitative and quantitative dimensions which require research questions that need to be answered qualitatively or quantitatively or both. The objectives one, two, three and four of this study require both qualitative and quantitative data whilst objective five on challenges of implementing SRA in mining communities requires only qualitative data. This makes it more appropriate and ideal to employ the mixed research method approach.

According to Schoonenboom and Johnson (2017), it is very important to pay much attention to the issue of purpose, theoretical drive, timing and point of integration when considering mixed research approach. On the purpose of mixed research, Johnson and Christensen, (2017); Onwuegbuzie and Johnson, (2006) assert that it is aimed at achieving multiple validity. Greene, Caracelli and Graham (1989) are of the view that the purpose of mixed method is to ensure triangulation, development, initiation, complementarity and expansion of the venerability of findings. In addition, Bryman (2006) opined that mixed methods seek to enhance the integrity of findings, utilizes diversity of views from varied respondents,

improves on the applications of findings and also provide contextual understanding of findings.

There are three main theoretical drives for mixed research methods (Schoonenboom & Johnson, 2017). The first is qualitatively driven or dominant mixed research in which the researcher relies on qualitative, constructivist-poststructuralist interpretive critical view of the research process whilst at the same time collecting additional quantitative data. The second theoretical view is the quantitative dominant or driven mixed research method. This method dwells much on quantitative, postpositivist view of the research process while at the same time recognizing the inclusion of additional qualitative data and approaches. The last view focuses around the center of the qualitative-quantitative research approach. In this stance, almost equal weight is given to both qualitative and quantitative research. This study employs qualitative driven mixed research method approach. This is because the quantitative data was collected to triangulate and validate the qualitative data. Irrespective of the mixed research theoretical stance of a researcher, there are several types of mixed research approach that could be followed (Schoonenboom & Johnson, 2017; Teddle & Tashakkori, 2009).

There are two key issues when it comes to timing of mixed research approach, namely, simultaneity and dependence (Guest, 2013). Simultaneity deals with whether the mixed research is concurrent or sequential in nature. In sequential design, the qualitative and quantitative approaches are conducted in turns, thus one follows the other but in concurrent design, both qualitative and quantitative aspect of the research are done at the same time (Schoonenboom & Johnson, 2017). This

study employed concurrent mix research design since both qualitative and quantitative data were collected at the same time. The second aspect of timing deals with whether the implementation of a second component of the research depends on the data analysis of the first component. Thus, dependence occurs when the two components of the research depend on each other and are independent when the implementation of second component doesn't depend on the results of the first component (Johnson & Christensen, 2012; Onwuegbuzie and Johnson, 2006). Again, the qualitative and quantitative data in this research do not depend on the data analysis of the other so could be described as independent.

Point integration is the stage whereby qualitative and quantitative data are brought together. According to Morse and Niehaus (2009), there are two points of integration, namely, the result point of integration and analytical point of integration. The result point of integration occurs when the qualitative and quantitative components of the data are analysed separately and the results integrated during the interpretation of the results. On the other hand, analytical point of integration occurs when the qualitative and quantitative data are analyzed together by converting all the qualitative data into quantitative data or vice versa. This research again, used the result point of integration because each of the qualitative and quantitative results add unique information to the discussion of the results.

Research Design

Deciding on research approach as qualitative, quantitative or mixed is necessary but not sufficient to answer the research question of a study (Kumar, 2011). It is important to decide on the right study design within the selected research approach before one can validly answer his/her research questions (Guest, 2013). A research design is a detailed work plan that a researcher has to follow to answer research questions validly, objectively, accurately and economically (de Vaus, 2010; Kumar, 2005). This study generally adopted a qualitative exploratory case study design to gain concrete, contextual, in-depth knowledge (Yin, 2002) about the nature of operation of the Social Responsibility Agreement (SRA) which is evident in Newmont Goldcorp, a progressive mining company in Ghana. The phenomenon of SRA development is complex and can better be understood using a qualitative exploratory case study design with quantitative evidence from multiple sources. As such, a descriptive survey design (quantitative research design) was used within the case study to better appreciate stakeholder perceptions, satisfaction, outcomes and challenges of SRA of Newmont Goldcorp.

Case studies permit the use of several data-gathering techniques and multiple sources of evidence which may include documents, archival records, interviews, direct observation, participant-observation and physical artefacts (Yin, 2009). These sources, according to Yin, complement each other for better results. In this study, the main sources of data for the qualitative part were interviews, focus group discussions (FGDs) and documents. The descriptive survey design on its part, enables the researcher to collect data from large number of populations in

order to determine the status of phenomena under investigation (Mugenda, 2003; Cohen, Manion & Morrison, 2011). According to Nzau and Njeru (2014), descriptive survey research is very efficient for collecting data on the opinion, perceptions, attitude and views of respondent at a very least cost. In addition, descriptive survey research design allows the researcher to collect both quantitative and qualitative data, making it ideal for a mixed research method approach (de Vaus, 2010; Kumar, 2005) and its results generalizable to a target population (Nzau & Njeru, 2014), which is the communities affected by the mining activities of Newmont Goldcorp.

Nzau and Njeru (2014) explained that descriptive survey designs allow for the use of large sample size and analysis of multiple variables in a research. Thus, thorough analysis of the contribution of Newmont Goldcorp SRA on sustainable development, livelihoods outcomes and socioeconomic status of the local communities by interviewing a large sample of the population can have external validity to the community (Fraenkel & Wallen, 2000). According to Afful-Broni and Nanyele, (2012), descriptive survey design has the potential to accurately and meaningfully portray the status of an event and also seeks people's perception, attitudes, opinions and reactions towards events through the use of multiple data collection approaches. This attribute of descriptive survey design guided the researcher to use both questionnaires and structured interview schedules for the survey.

The Choice of Newmont Goldcorp

Newmont is a global company whose activities center primarily on extraction of gold and to a limited extent copper. It operates in the United State of America, Mexico, Peru, Bolivia, Australia, Indonesia and Ghana. The company was incorporated in 1921 and has its headquarters in Denver, Colorado (USA). The company employed about 16, 600 people across its 100,600km² of land around the globe (Garside, 2020).

The company has signed up to a number of voluntary standards to guide its operations. The standards include the Universal Declaration of Human Rights, the World Bank Safeguard Policies, the Equator Principles, the United Nations Global Compact and the Voluntary Principles on Security and Human Rights. Others are the Extractive Industry Transparency Initiatives, Publish What You Pay, the World Economic Forum's Partnering against Corruption Initiative, the Sullivan Principles and International Council on Mines and Metals Sustainability Principles. Newmont also adheres to the Institute of Social and Ethical Accountability Standards on Stakeholder Engagement (AA1000) to guide the formation of its policies and standards. It also conforms to the reporting system of Global Reporting Initiative (World Bank, 2010).

In Ghana, Newmont operates two mines at Ahafo and Akyem. Its operations in Ahafo covers the Asutifi South District and Tano North District of Ahafo Region while that of the Akyem is within the Birim North District of the Eastern Region. Newmont started commercial production of gold from Ahafo in 2006 and Akyem in 2013. In order to mitigate the adverse effect of its operations and to promote

positive impact, Newmont together with the local communities, have developed three community development agreements to guide its operations. These are Relationship Agreement, Employment Agreement and Development Foundation Agreements. The development of these documents took approximately three years due to the intensification of community participation in its development (World Bank, 2010; Newmont Akyem Facts Sheet, n.d). Through the implementation of these agreements, Newmont is perceived to have contributed to sustainable development in the areas of health, education, sanitation, culture, sporting activities, social amenities, development of local businesses and development of road infrastructure (Owusu-Ansah *et al.*, 2015). Newmont has received a number of awards as a result of its strict compliance to mining regulations and prioritization of community development initiatives (Owusu-Ansah *et al.*, 2015). However, there have been a number reported cases of misunderstanding between Newmont and operational communities in Akyem and Ahafo in Ghana.

Description of the Study Area

The description of the study area is based on both secondary and primary data. The section present information on geographical location of the study area, political administration, demographic characteristics of people in the study area based on 2010 population and housing census, infrastructure, economic activities, mining operations and the characteristics of the study respondents. The purpose is to provide a rich context of the study area and its people for understanding the phenomena under study.

Geographically, Birim North Municipality (BNM) was part of the Birim District Council. As part of government of Ghana's decentralization agenda to facilitate development at the grassroots, it was carved out in 1987 by Act of Parliament (LI 1923) (BNM, 2016). A map of the study area is shown in Figure 4. The municipality shares boarder with Kwahu West in the North, Asante Akyem South and Adansi South districts in the West in the Ashanti Region. In addition, it is bounded to the South by Akyemansa district and Atiwa and Kwaebibirem districts to the East (BNM, 2016). It has 78 settlements within its jurisdiction and covers a total land area of 566.48 square kilometers.

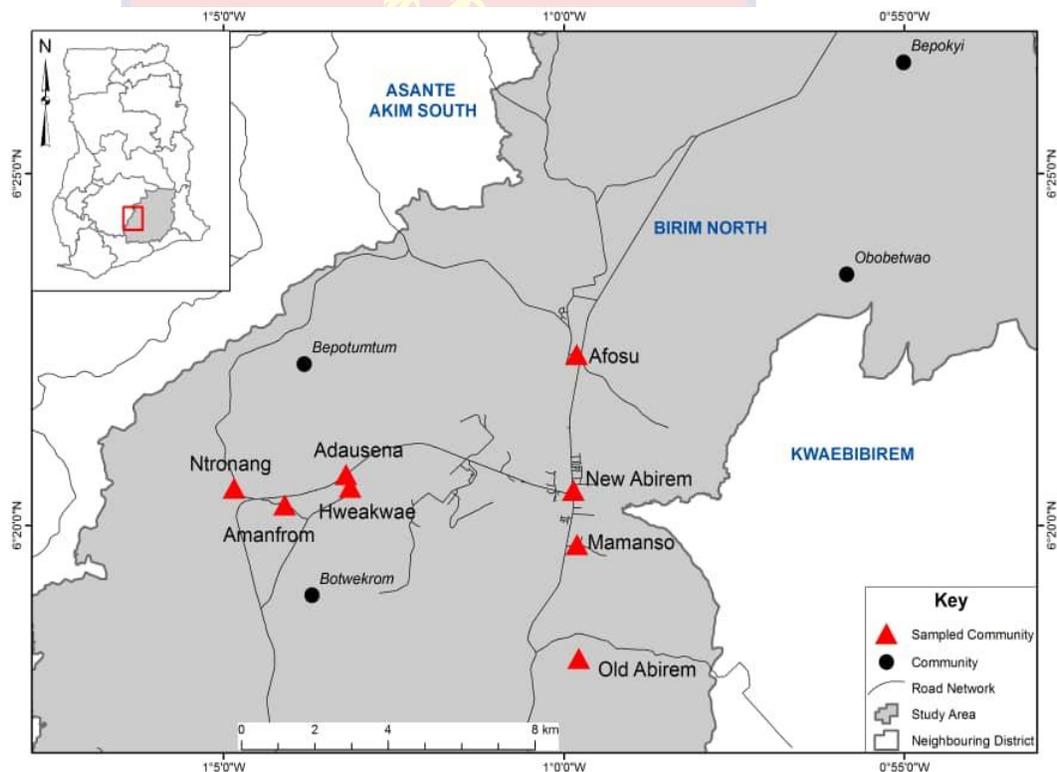


Figure 4: Map showing the study area

The Municipality is politically mandated to initiate and coordinate all developmental projects aimed at sustainable community development. It currently

has four area councils with one Member of Parliament who acts as Ex-Officio member of the Assembly. The Municipal Chief Executive is chairman of the executive committee and head of security of the municipality. The day-to-day administration of municipality is headed by the Municipal Coordinating Director. The municipality has the following decentralized and quasi government organizations to bring governance to the door steps of the people. The departments and organizations are Town and Country Planning Department, Department of Social Welfare, Ghana Education Service, Ghana Health Service, National Commission on Civic Education, Department of Birth and Deaths, Department of Cooperatives, Department of Agriculture, Commission on Human Right and Administrative Justice, Ghana Ambulance Service, Fire Service and Immigration Service (BNM, 2016).

According to the 2010 population and housing census, the total population of the municipality is 78,907 which represents 3% of the Eastern Region population. Of this number, 50.2% are females whilst the remaining 49.8% are males. The population of the Municipality is made of different ethnic groups with the Akans who are mostly Kwahu's constituting 75%. The remaining 25% is made of Ewes, Gas, Krobos, Guans and people from northern Ghana. Newmont Akyem Mines serves as a source of attraction for people to migrate to the municipality. As a result, 4% of the population are mainly migrants who migrate to the area in search of jobs. Three main religions are practise in the municipality with Christianity being the dominant with 92.7%, with Islam and Traditional religion constituting 4.3% and 3% respectively (Ghana Statistical Service, 2014). The municipality is divided

into three traditional areas, namely: Akyem Kotoku, Akyem Abuakwa and Akyem Bosome with the Akyem Kotoku traditional area constituting 85% of the people.

The healthcare infrastructure of the Municipality is made of one government hospital at New Abirem, two private clinics at Afosu and New Abirem and five reproductive and childcare centers spread across other communities. In addition, the municipality has 26 CHIPS centers and 27 herbal and spiritual healers' centres. One key challenge in the municipality is huge doctor patient ratio and nurse patient ratio. At the moment, the doctor patient ratio as at 2010 stood at 1:29,795 as against national average of 1:25,000 and WHO standard of 1:10,000 (BNM, 2016). The nurse patient ratio is 1:1,625 compared to the national average of 1:900 (BNM, 2016). Furthermore, the municipality is endowed with a lot of educational infrastructure in terms of classroom blocks and teachers' quarters. However, these facilities are not well distributed in the municipality. They are more concentrated in the operational communities of Newmont Akyem Mines. On transport, the municipality has 395.6 kilometers of roads with 101km being trunk roads, 206km feeder roads and 88.6 km earth surfaces. Commercial transportation within the municipality is made of mini buses, taxis and tricycles. (Ghana Statistical Service, 2014, BNM, 2016).

Agriculture is the main economic activity in the municipality as it employs 75% of the population in terms of crop farming, livestock rearing and agroprocessing. The main crops cultivated in the municipality include; citrus, cocoa, oil palm, cassava, cocoyam, maize, plantain and vegetables. Another area that offers job to most of the people in the municipality is commerce. The

municipality has market which attracts a lot of people from neighbouring districts. The presence of Newmont Akyem mines also provides direct and indirect jobs to number of people in the municipality. In addition, transport operation is another booming business in the municipality.

Birim North Municipality is also endowed with lots of tourism facilities in terms of parks, wildlife sanctuary, picturesque water bodies, historic sites and antiquities. It has ten well managed forest reserves with lot of diverse flora and fauna with aesthetic value. In addition, it houses the confluence of the Birim and Pra rivers which attracts local and foreign tourist to the area. Moreover, the War Bells and grove at Akrofonso where Osei Tutu, the Ashanti King, was killed is a popular tourist site (Ghana Statistical Service, 2014)

The Birim North Municipality has large deposit of gold which is currently mined by Newmont Akyem Mines. It is estimated that Newmont will extract 500,000oz of gold per annum for fifteen years with 8.5MtPa processing plant started from the year 2014 when they began commercial production. The mining activity has boosted economic activity in the area in terms of housing, hospitality, commerce, banking and finance. It has also improved the financial position of the assembly which has given them the capacity to invest more in health, education and other social services. Again, the mining operations is perceived to offer direct and indirect jobs as well as skilled, semi-skilled and unskilled job to the people in the local communities (BNM, 2016; Ghana Statistical Service, 2014).

The characteristics of the sampled respondents is presented in this last section. The sampled respondents for the study include 208 (43.5%) males and 270

(56.5%) females. Out of the 478 respondents, 305 were married while the remaining 173 remained single. The age of the respondents ranges from 18 to 95 with a mean of 44 years and associated standard deviation of 16. On education, 12.6% of the respondents had no formal education, 50% had basic education, 31.2% had secondary education, and 4.6% had tertiary education. The primary occupation of most of the respondents (65%) was farming. As a risk mitigation, some of the respondents (31.8%) were engaged in secondary occupation such as petty trading, driving, food vending, and transport operation.

Eighty-five percent of the sampled respondents were aware of the Newmont SRA development process and practice. Twenty-six out of the 478 respondents had worked with Newmont Akyem Mines before whereas 143 (29.90%) had their relatives working with the mining company. Again, 277 (57.9%) of the respondents had personally benefitted from Newmont Akyem SRA in terms of securing scholarship for their wards, apprenticeship training, business and livelihood support. The mining community was classified into less affected, moderately affected and seriously affected by the researcher. Within this classification, 158,140, and 180 respondents were respectively from less, moderately and seriously affected communities.

Population of the Study

The population of the study consists of all people in Newmont Akyem operational area in the communities in Birim North Municipal Assembly, staff of Birim North Municipal Assembly and staff of Newmont Akyem Mines. Others are

traditional leaders (Chiefs, Queen Mothers and Elders), Assemblymen/assemblywomen, Unit Committee members, Mining consultants and development partners.

Sample Size and Sampling Procedure

Sample size is the number of members of the population selected for a study. Determining the sample size is dependent on the type of research design being implemented (de Vaus, 2010; Kumar, 2005; Oga, 2013). For instance, descriptive survey designs require large sample size while that of a case study requires small sample size. Again, there are several procedures that could be followed to select the required sample size for a study. The sampling design adopted also has an effect on the type of sampling procedure selected.

Table 2: Selection of Respondents for Key Informant Interviews

Respondent description	Number
Traditional Authority	3
Local Assembly	3
Sustainable development committee	1
Farmers	4
Newmont	2
Development practitioner	1
Education	1
Health	1
Local NGO	1
Total	17

Source: Filed Data, Acheampong (2019)

The study used purposive and multistage sampling techniques. Purposive sampling technique was used to select 17 key informants for the study (Table 2). They comprise 3 chiefs, 1 assemblyman, 1 sustainable development committee member, 1 teacher, 2 chief farmers, 2 members of Newmont affected farmers association, 1 environmental health officer, 2 members of the social welfare and community development unit of the assembly, 1 manager of local NGO, 1 community development consultant, the executive secretary of Newmont Akyem development foundation and 1 officer from the sustainability and external relations sections of the mines.

The key informants were selected due to their level of influence and knowledge on the operations of SRA in the study area. Moreover, due to their status and role in the community, it was prudent to contact them personally for one-on-one interview instead of grouping them for a focus group discussion.

Table 3: Selection of Respondents for Focus Group Discussions

Community	Description of the group	Sex composition	Total
Hweakwae	Farmers	4 males, 4 females	8
Ntronang	Oil palm processors	1 male, 7 females	8
Amanfrom	Mixed respondents	6 males, 4 females	10
Adausena	Newmont affected Farmers Association	6 males, 3 females	9

Source: Field Data, Acheampong (2019)

In addition, purposive sampling technique was used to select participants for four focus group discussion sessions (Table 3). Eight to ten members participated in each of the focus group discussions. According to McLarfferty (2004), too large group would preclude adequate participation by group members whereas too small group would fail to provide significant coverage and that group of six to twelve membership is considered ideal.

The first focus group was made up of group of farmers who were into cocoa, oil palm and food crop cultivation. The second focus group comprised of beneficiaries of Newmont oil palm processing intervention whilst the third group was made of farmers, traders, dressmakers, artisans and hairdressers from the resettlement community. The last group was made up of Newmont affected farmers association. Each focus group had male and female respondents to ensure that issues under investigation could be cross collaborated between male and females.

Krejcie and Morgan's table for determining sample size (Krejcie & Morgan, 1970) was used to select 478 community members for the study (Table 4). There are 28,446 people in the 10 communities. According to Krejcie and Morgan (1970), 380 respondents is an ideal representation of the population. However, in order to reduce sampling error, 478 respondents were selected. The multistage sampling procedure was used to select the 478 respondents. First, proportionate stratified sampling procedure was used to divide the study population into eight strata in accordance with the Newmont Akem operational communities. These communities are Afosu, New Abirem, Ntronang, Mamaso, Old Abirem, Adausena, Hweakwae, Amanfrom (Yayaaso, Yaw Tano and Hamlets, Adjenua). Secondly, each of the

communities were further divided into clusters using the main principal streets. For instance, Afosu and New Abirem were divided into 10 strata whilst Ntronang and Mamaso were divided into 8 strata. The remaining communities were divided into 6 strata each. Five strata were randomly selected from Afosu and New Abirem and 4 from Ntronang and Mamaso.

Table 4: Sample Size Determination for the Survey

Community	Population	# of Houses	# of clusters	# of clusters selected	# of Houses selected	Sample size selected
Afosu	6,165	1,253	10	5	96	96
New Abirem	6,123	1,028	10	5	86	86
Ntronang	4,578	666	8	4	66	66
Mamaso	3,434	596	8	4	50	50
Old Abirem	2,887	534	6	3	40	40
Adausena	1,815	403	6	3	59	59
Hweakwae	1,803	331	6	3	34	34
Amanfrom (Yaayaaso, Yaw Tano and Hamlets)	1,641	276	6	3	47	47
Total	28,446	5089	60	30	478	478

Source: Field data, Acheampong (2019)

Three strata each were selected from the remaining communities. Systematic random sampling was then used to select 96 houses from Afosu, 86 from New Abirem and 66 from Ntronang. In addition, 50 were selected from Mamaso, 40 from Old Abirem, 59 from Adausena, 34 from Hweakwae and 47 from Amanfrom. Proportionate stratified sampling procedure was used to determine the

total number of houses selected from each community. Finally, simple random sampling was used to select one respondent from each house. Only respondents who have lived in the community for more than 5 years and are more than 18 years were selected.

Data Collection Instruments

Questionnaires, structured interview schedules, interview guides and focus group discussion guides were the instruments used for data collection. According to Creswell, (2014) and Sarantakos (2005), interview and focus group discussion guides are useful tools to complement questionnaires and structured interview schedules in a study that involved the assessment of people's perception on the implementation of a project. Also, Greene (2007), Mathews and Ross (2010) and Strauss and Corbin (2004) recommend the use of questionnaires, structured interview schedules, focus group discussion guides and interview guides in mixed research method approach.

Eleven sectioned set of questionnaires and structured interview schedules were used to collect quantitative data from the respondents. The questionnaires and structured interview schedules had the same kind of questions to elicit data from the respondents. The only difference between the two instruments is the mode of application. Thus, the questionnaires were self-administered whilst the structured interview schedule required someone to interpret the questions to the respondents. Section A of the instruments used 18 open and closed ended questions to elicit data on the socio demographic background of the respondents. Section B focused on

respondents' perception on the drivers of SRA in the mining community. Eight items were used to measure this construct. First, respondents were asked to answer yes or no to indicate whether the items presented drives mining companies to enter SRAs with local communities. Those who answered yes were then asked to indicate the extent to which they perceived the items presented to influence mining companies SRA on a scale of 1=Very low extent, 2= Low extent, 3= Moderate extent, 4= High extent and 5= Very High extent. Section C of the instrument looked at respondent's perception on the achievement of the objectives of the SRA using 10 items. Again, respondents answered yes or no first and then indicated perception on the extent of achievement of the objectives of the SRA on a five-point Likert type scale where 1= Very least extent, 2= Least extent, 3= Moderate extent, 4= Large extent and 5 = Very large extent.

Furthermore, Section D used 9 items to assess respondents' perception on the effectiveness of SRA governance. The governance structure of the agreement was divided into sub-sections, namely, social responsibility agreement forum (3 items), sustainable development committee (5 items) and complaint resolution committee (1 item). First respondents answered yes or no to the questions, after which five-point Likert type scale was used to indicate the effectiveness of the SRA governance. The items were based on a scale of 1= very less effective, 2= Less effective, 3= Moderately effective, 4= Very effective and 5 = Very much effective. On section E, respondents were asked to indicate the extent at which principal stakeholders have performed their SRA roles. Eighteen items were used to measure this construct on a five-point Likert type scale where 1= Very least extent, 2= Least

extent, 3= Moderate extent, 4= Large extent and 5= Very large extent. The focus of Section F was on perception on effective participation and transparency management in SRA. Nine items were used to measure this construct on five-point Likert type scale where 1= Very less effective, 2= Less effective, 3= Moderately effective, 4= Very effective and 5= Very much effective.

Twenty-five items were used to assess respondent's perception on mining companies SRA in terms of economic, legal, ethical and philanthropic responsibilities in Section G. The perception of the respondents was captured on a five-point Likert type scale of 1= Very less agree, 2= Less agree, 3= Moderately agree, 4= Much agree and 5= Very much agree. Section H looked at the perception of SRA contribution towards sustainable community development. This was measured using 32 items on a five-point Likert type scale where 1= Very less agree, 2= Less agree, 3= Moderately agree, 4= Much agree and 5= Very much agree. Respondents perception on the contribution of the implementation of the SRA agreement on socioeconomic status was captured in Section I. Six items measured on a five-point Likert type scale was used to measure the construct. The Likert scale was defined as 1= Very less agree, 2= Less agree, 3= Moderately agree, 4= Much agree and 5= Very much agree. The socioeconomic status was measured using the following indicators: access to education, transportation, housing, portable water, health facilities and well-paid job. Section J focused on respondents' perception on the contribution of SRA towards livelihood outcome. This construct was measured using food security, shelter, family support, acquisition of household gadgets, investment, and means of transport as indicators. Again, six items were used to

measure the construct on a scale of 1= Very less agree, 2= Less agree, 3= Moderately agree, 4= Much agree and 5= Very much agree. The last section of the instrument asked the respondents to indicate their level of satisfaction of the SRA implementation on a five-point Likert type scale where 1= very less satisfied, 2= less satisfied, 3= moderately satisfied, 4= very satisfied and 5= very much satisfied.

According to Rooney (2011), not all aspects of assessment of phenomenon can be captured quantitatively. Some aspects involve describing the feelings of people. Moreover, blending qualitative and quantitative data collection ensures triangulation (Bhattacharjee, 2012). Again, the use of different data collection tools tends to make results more accurate and convincing (Creswell, 2014). According to Bowen (2009) and Zohrabi (2013), the use of different data collection tools makes interpretation of data more dependable and trustworthy. In this sense, focus group discussions and interview guides were used as additional tools for data collection.

Focus group discussion guide, as a qualitative tool in data collection, involves the use of group interview with the aid of a moderator (Creswell, 2014). It enables the researcher to interview group of people who have common interest in the subject under investigation. In addition, it provides the researcher the opportunity to synthesize information from varied opinions of participants (Breen, 2006; Creswell, 2014; Mathews and Ross, 2010). Another strength of focus group discussion is its ability to provide holistic understanding of a phenomenon through probing (Kendall, 2008; Creswell, 2014). The issues discussed during the focus group discussions include the nature of operations of social responsibility

agreement in mining, the outcomes of the social responsibility agreement in terms of sustainable community development, socioeconomic status and livelihood outcomes. In addition, the challenges of implementing SRA in mining, roles and responsibility of various stakeholders, and level of participation in project initiation, design, implementation, monitoring and evaluations were discussed.

Furthermore, for additional validation of data, personal interviews were conducted among key informants in the study area to complement data collected through focus group discussions, questionnaires and structured interviewed schedules (Babie, 2004; Creswell, 2014; Bhattacharjee, 2012). Personal interview enables the researcher to dig deeper into the opinions, perceptions and attitudes of respondents to obtain more information on the subject under investigation (Creswell, 2014). The content of the interview guides was the same as that of the focus group discussions above.

In addition to the focus group discussions and key informant interviews, the content of three Newmont SRA documents were analyzed. The documents are relationship, development funding and local employment agreements. The contents of these documents were thoroughly reviewed to identify themes and sub-themes to understand the nature of operations of Newmont Akyem SRA development process.

Data collection instruments were designed taking cognizance of the research questions and objectives. Literature was systematically reviewed to identify variables that are related to the research questions. Supervisors reviewed the data collections instruments on many occasions to ensure that layout, wording

and contents were appropriate. In addition, issues of ambiguity, threatening questions, and repetition of items were addressed during the revision. Also, supervisors assisted in the proper ordering of the questions and also ensured that all questions were mutually exclusive.

Pre-testing of Data Collection Instruments

According to Kankam (2012), pre-testing is done to achieve three objectives. First, it ensures the suitability of the instruments to collect appropriate response. Second, it enables the researcher to check for clarity of the items to ensure that it is free from ambiguity and third, pre-testing enables the researcher to ensure that all relevant administrative protocols are followed. The instruments were pre-tested on 40 respondents at Techire in the Tano North District of Ahafo Region. Techire is one of Newmont Ahafo mining community. Newmont has implemented a number of SRA projects in the community and as such the respondent share similar characteristics in terms of operations of SRA with that of Akyem. The pre-testing resulted in the redesigning of the data collection instruments in terms of re-wording, deleting and re-arrangement of some questions.

Validity and Reliability of the Data Collection Instruments

According to Petty, Brinol, Loersch and McCaslin (2009), validity measures the degree at which measurement scores are able to represent the variables they intend to measure. Field (2005) simply defines validity as ability of a variable to measure what it intends to measure. In addition, Taherdoost (2016)

explains validity as the degree at which data collected is able to cover the subject matter under investigation. Thus, validity assesses the extent at which a variable measures what it is supposed to measure (Bolarinwa, 2015). Validity could be broadly classified as internal and external validities. Internal validity looks at how well the variables are able to measure what they intend to measure whilst external validity measures the extent at which the results from the sample taken could be generalized for the population within which it was taken from. Thus, external validity for this study was ensured by taken a representative sample of respondents from the local communities within the Akyem mines (Kember & Leung, 2008). Internal validity could be achieved by ensuring face validity, content validity, construct validity (Bolarinwa, 2015).

Face validity is a subjective assessment of the ability of measurement variables to represent the construct under investigation (Taherdoost, 2016). It assesses appearance of data collection instrument in terms of its feasibility, consistency in formatting style and clarity of language (Taherdoost, 2016). According to Oluwatayo and Ojo (2016), face validity is the researcher's subjective assessment of data collection instrument to ensure that it is well presented, the items are relevant and the items on the instrument are easy to understand and free from ambiguity. In order to ensure face validity of the data collection, the researcher read through the instrument severally to correct anomalies. In addition, the instrument was given to two supervisors and two postgraduate students for review. Content validity on the other hand measures the ability of the instrument to adequately measure the construct of interest (Bolarinwa, 2015; Petty, Briñol, Loersch, &

McCaslin, 2009; Taherdoost, 2016). Extensive literature was reviewed to identify all the relevant variables of the main constructs of the study (Bolarinwa, 2015). Again, the instruments were reviewed by supervisors to ensure that the content thoroughly measures the constructs being researched. Finally construct validity measures how meaningful the instrument is during its use. Thus, it assesses the relevance of the instrument to the target audience (Bolarinwa, 2015). This was achieved during the pre-testing of the instruments. The pre-testing enables the researcher to modify difficult and unclear items and also deletes irrelevant items.

Reliability measures the ability of the data collection instrument to produce the same or similar results when the instrument is used on similar respondents over time. (Bolarinwa, 2015). Again, it measures the degree of consistency of scores among respondents on given items (Petty *et al.*, 2009). Thus, reliability is about the stability and repeatability of results (Taherdoost, 2016). In addition, reliability measures whether an instrument is free from error. Error free instrument produces high reliability scores while instrument with error produces low reliability scores (Teddlé & Tashakkori, 2009). Unreliable instrument has the potential of producing unexpected results.

According to Taherdoost (2016), reliability could be classified into two groups, namely internal and external reliability. Internal reliability is about the consistency of the instrument whilst external reliability deals with the ability of instrument to produce the same or similar results over time. Cronbach Alpha coefficient is the most commonly used to assess the internal consistency of items measured on a Likert type scale (Taherdoost, 2016; Whitley, 2002; Robinson &

Gary, 2011). Although there is no agreement on internal consistency score, most scholars agree that a score of 0.7 and above is ideal (Whitley, 2002; Robinson & Green 2011). For pilot study, Straub, Boudreau, & Gefen, (2004) recommend a score of 0.6 and above. Hinston, Brownlow, McMurray, & Cozens (2004) on the other hand, categorized the internal consistency scores into four groups. A score of 0.9 and above is excellent, 0.7-0.9 is high, 0.5-0.7 is moderately and 0.5 and below is low. The reliability analysis on all the variables indicates that all the constructs are reliable as shown in the Table 5. The reliability of the qualitative data was ensured by collecting data from multiple sources to ensure that data collected is consistent. In addition, trustworthy respondents were selected for the key informant interview and the focus group discussions.

Table 5: Cronbach Alpha Reliability Test

Variables	Cronbach's Alpha	Number of items
Drivers of Social Responsibility	0.70	8
Objectives of the Social Responsibility Agreement	0.92	10
Governance of the Social Responsibility Agreement	0.91	12
Company-Community Roles and Principles	0.88	31
Company Community participation and transparency	0.81	13
Perception on the Social Responsibility Agreement	0.93	46
Sustainable Community Development	0.91	41
Improved socio-economic condition	0.87	12
Improved livelihood	0.94	20

Source: Field data, Acheampong, 2019

The respondents selected have in-depth knowledge on the SRA in mining. In addition, the results of the key informant interviews were compared with each other to identify points of convergence and divergence. The same comparison was done with focus group discussions and the key informant interviews (Mertler & Charles, 2008).

Data Collection Procedure

Due to the extensive nature of the data collection, the researcher recruited and trained seven research assistants to assist in the data collection. The following criteria were used to select the research assistants; educational background, level of understanding of the local language in the study area and previous knowledge in social science data collection. All the research assistants had at least first degree and could also speak twi which is the local language in the study area. In addition, they have all participated in social science research data collection before. One of the research assistants was a postgraduate student, two were national service personnel and the rest were past University students who were working in the Eastern Region at the time of data collection.

The data collection instruments were thoroughly discussed during the training. The researcher took time to explain the necessary protocols and formalities in data collection such as community entry strategies and human relation skills to the research assistants. Again, each item on the instrument was well explained in English and Twi to the research assistants. This provided an opportunity for equal understanding of all the items. Furthermore, it offered the research assistants the

chance to ask questions and seek clarification on items that were not clear to them. Each research assistant was given the opportunity to engage in a mock data collection. The data collection exercise lasted from February 2019 to June 2019.

The researcher and the assistants visited the respondents at mutually agreed locations to administer the questionnaires and structured interview schedules. Face to face interviews were conducted among the respondents who could not read and write in the local language and the responses were then translated into English and recorded on the data collection instrument. The questionnaires were distributed among the literate respondents to fill. With respect to the key informant interview, the researcher contacted each respondent to book an appointment for the interview at the day, time and place convenient to them. During the key informant interview, the researcher asked the questions whilst two assistants helped in writing down the responses. In addition, the responses were tape-recorded and later transcribed.

All the focus group discussions were conducted at a mutually agreed time and location between the participants and the researcher. The participants were arranged in circle so they could see and hear from each other. The focus group discussion was done by three persons; one as the moderator and two as note takers. The researcher who was the moderator guided the discussion and ensured full participation of all respondents. The note-takers captured what was said and expressed, noting the tone of discussion, the order in which people spoke (by participant number or name), as well as phrases or statements made by each participant. Non-verbal expressions, such as facial expressions or hand movements were also noted by the note's takers. Each focus group discussion lasted for a period

of one hour. All group discussions were tape-recorded and subsequently transcribed.

Data Processing and Analysis

Data processing and analysis are considered as very important in any credible research and for that matter must be considered before data collection (Cohen, Manion & Morrison, 2004). This is because wrong analysis would lead to wrong interpretation. Data processing is the series of steps taken to verify, organize, transform and integrate the data into appropriate form for further analysis. Data analysis on the other hand, involves systematic process of describing facts, patterns and explanations from the data set (Anagnostou *et al.*, 2015). The data collected were edited for spelling mistakes and inconsistencies. This exercise was done each day after data collection with the research assistants. This enabled the researcher to deal with issues that could influence data analysis as early as possible. In addition, simple frequencies were run for the data set to determine missing and unusual entries for the necessary corrections. Moreover, assumptions of parametric data were explored. First of all, histograms and p-p plot were used to test for skewness as part of normality test (Field 2011). Also, Q-Q plots and Kolmogorov-Smirnov test were used to test for normality (Field 2011). The results of the normality test showed that data collected was normally distributed and could be used for parametric analysis. The intent of using parametric indices was not to generalize the findings to mining companies but to understand the entire community views on issues. However, it was expected the findings would have some practical and

theoretical implications for SRA development and practice for mining companies with similar context to that of Newmont Akyem Mines.

The data analysis was guided by mixed method research approach adopted for the study (Creswell, 2014). The qualitative and quantitative data were analyzed separately and the results were integrated during the discussion of the findings (Schoonenboom & Johnson, 2017; Morgan, 2014). The quantitative data was analyzed with the help of Statistical Product and Service Solution (SPSS) version 21. Tables were used to present the results. The qualitative data was manually analyzed using track changes and new comments functions under the review panel in Microsoft Word software. The SRA document, key informant interviews and focus group discussions were analyzed together because according to Treloar, Champness, Simpson, and Higginbotham (2000), the process of analyzing data from these sources are the same. The data from the Newmont SRA documents, focus group discussion and key informant interviews were analyzed using narratives and content.

The analysis of qualitative data started in the field during notes taking. First of all, the entire key informant interview and focus group discussion recordings were verbatim transcribed by translating from the local language (Twi) to English for easy analysis on daily basis in order to avoid missing salient information. The daily transcription enabled the researcher to take decision on which questions to pay more attention to in the subsequent interviews. The complete transcript was then compared with the handwritten notes taken by the note-taker to fill in the gaps. The SRA documents from Newmont was analyzed together with data from the key

informant interviews and the focus group discussions. The SRA documents and the interview transcripts were thoroughly read to be abreast with the contents in order to facilitate coding. Coding process involves assigning short expressions to capture portions of the data for easy retrieval of pieces of data (Straus & Corbin, 2004). The data was then coded using track changes and new comments in the review panel of the MS word. The coding was done in line with the research questions and the conceptual framework of the study.

The first part of the coding process involved open coding where data bits relating to the study were all identified. After this the identified data bits were put under broad themes and appropriate words and phrases were used to name the identified themes. This process is referred to as axial coding. At this stage, similar and related categories were put together, whereas other categories were subdivided and some cases new categories emerged.

The identified categories met the proposed criteria by Merriam and Tisdell, (2016) categories were mutually exclusive in the sense that, each code belongs to only one category; the categories related to the objectives of the study; every code created fitted into a category (categories were exhaustive); the name of each category fully reflected the codes in that category and finally, all the categories were at same level of abstraction. The analysis continued under the various objectives of the study.

Research Objective 1: Describe the nature and operations of SRA of Newmont Goldcorp Ghana Limited in mining communities. Narratives, content analysis, frequencies, percentages, means and standard deviations were generated to describe

the process, content, drivers, objectives, governance, company-community roles and responsibility, company-community participation and transparency management of the SRA.

Research objective 2: Analyze mining communities' perception of economic, legal, ethical and philanthropic dimension of SRA

This objective was analyzed using means, standard deviations, frequencies and percentages to describe the economic, legal, ethical and philanthropic dimensions of SRA.

Research Objective 3: Determine the perceived SRA outcomes among community members in the mining community

Frequencies, percentages, means and standard deviations were generated to describe the perception of respondents on sustainable community development, socioeconomic status and livelihood outcomes of the SRA.

Objective 4: Ascertain the determinants of satisfaction of SRA by mining communities

Frequencies and percentages were used to describe the levels of satisfaction. Pearson product moment correlation was used to establish the relationship between level of satisfaction, Nature of SRA (achievement of objectives of the SRA, effectiveness of the SRA governance, performance of roles of principal stakeholders of the SRA and level of effective participation and transparency management in the SRA), dimensions of SRA (economic, legal, ethical and philanthropic responsibilities) and perception on sustainable community

development, socioeconomic status and livelihood outcomes. In addition, Ordinary Least Square (OLS) regression was used to assess the determinants of satisfaction.

The OLS is specified as follows:

$$y = \beta_0 + \beta_1X_1 + \beta_2X_2 + \beta_3X_3 + \beta_4X_4 + \beta_5X_5 + \beta_6X_6 + \beta_7X_7 + \beta_8X_8$$

Where y is the dependent variable, X_1 to X_8 are the independent variables and β_0 to β_8 are the estimates to be determined.

The dependent variable for this equation is the level of satisfaction which was measured on a five point Likert type scale.

X_1 = extent of achievement of SRA objectives

X_2 = performance of roles of principal stakeholders

X_3 = effectiveness of SRA governance

X_4 = effective participation and transparency management in the SRA

X_5 = perception of the dimensions of the SRA

X_6 = livelihood outcomes

X_7 = socioeconomic status

X_8 = sustainable community development

All the independent variables were measured on a five point Likert type scale. It was expected that all the independent variables will have a significant effect on the level of satisfaction (dependent variable) at 95% confidence intervals.

Objective 5: Find out the perceived challenges in the implementation of SRA in mining communities. Each respondent was asked to state three main challenges facing the implementation of SRA. The three responses from each of the

respondents were put together. Then thematic analysis was used to categorize the responses into five major themes. Each major theme was divided into sub-themes.

Ethical considerations

This section is dedicated to the norms and standards followed to achieve the objective of the study. Specifically, the study was guided by the integrity and quality, informed consent and voluntary participation, confidentiality and anonymity.

Ensuring integrity and quality: To ensure integrity and quality of the research, an extensive literature search was conducted to properly situate theoretical and empirical contexts of the study. The extensive literature search assisted the researcher to design the research instruments taking cognizance of all the relevant variables of the study. The works of other authors were properly acknowledged in text and in the reference section.

Informed consent and voluntary participation: The consent of all the respondents in the research was secured before their participation. No individual or group of individuals were forced or induced to be part of the study. Respondents were given the opportunity to exit at any point in the study and also were given the opportunity to answer questions deemed comfortable to answer.

Confidentiality and anonymity: Confidentiality and anonymity are very critical due to the legal implications. Therefore, names of the respondents were not associated with responses during data collection. The data collected was not shared by the researcher with anyone and was used for academic purpose only.

Chapter Summary

Research methods used in the study are presented in this chapter. Concurrent non-dependent mixed method research approach was used for the study. The study adopted qualitative exploratory case study design to gain concrete, contextual and in-depth knowledge of the Newmont Akyem SRA. In addition, due to the complexity of the SRA development and its operations, a descriptive survey design was used within the case study in order to gather quantitative data to better understand the concept under study. The study population was made of all relevant stakeholders in the Newmont Akyem operational area. Multi-stage sampling procedure was used to select 478 respondents from the eight catchment communities and were interviewed using questionnaires and structured interviewed schedules. Also, four focus group discussions sessions and 17 key informant interviews were conducted. Thematic analysis was used as the qualitative analytical tool whilst percentages, frequencies, means, standard deviations, Ordinary Least Square regression and Pearson product moment correlation were used as quantitative analytical tools and the results were presented in the form of tables and figures.

CHAPTER FOUR

THE NATURE AND OPERATIONS OF NEWMONT AKYEM SOCIAL RESPONSIBILITY AGREEMENT IN MINING COMMUNITIES

Introduction

The focus of this chapter is to address the first specific objective on the nature and operations of Newmont Akyem Social Responsibility Agreement. Specifically, it presents the results and discussions on the SRA development process, drivers of the SRA, achievement of objectives of the SRA, effectiveness of the SRA governance, performance of roles of principal stakeholders of the SRA and level of effective participation and transparency management in the SRA. These are presented and discussed in the following sections.

Newmont Akyem SRA Development Process

The Newmont Akyem SRA was developed through a 5-stage interconnected process of pre-negotiation, consultation and deliberations, formalization, implementation and evaluation and review (Figure 4).

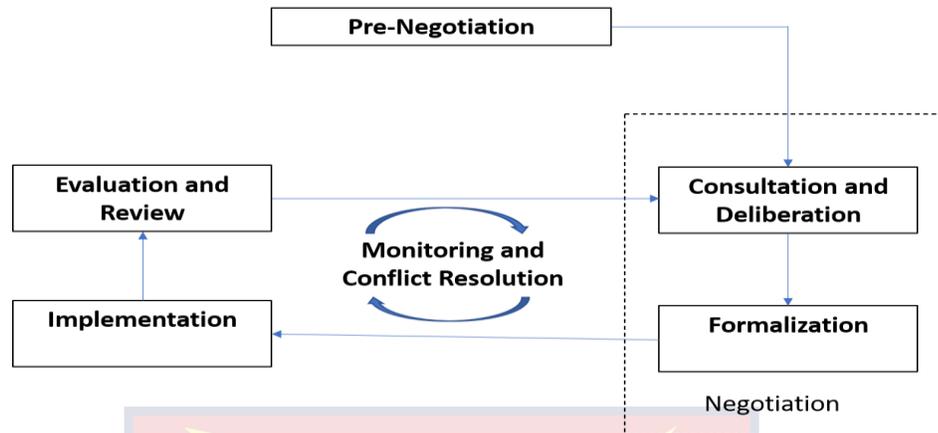


Figure 5: SRA Developmental Stages

Source: Field Data, Acheampong (2019)

The pre-negotiation process involves awareness creation, building of rapport and signing of MoU with key stakeholders with the aim of securing the support of the local community. Consultation and deliberation and formalization are the actual negotiation stage of the SRA development process. It entails interaction with stakeholders on the expected effect of mining operations on the community and the plans Newmont Akyem Mines has put in place to ameliorate the expected effects. This process is aimed at securing inputs from the local communities on their expectations and also contribute towards the development of programmes and projects that will meet the needs of the community. At the formalization stage, the necessary structures for the establishment of the SRA are put in place to ensure smooth and effective implementation. The implementation stage mainly centres on modalities for project execution which include initiation and selection of projects and resource allocation. Finally, the evaluation and review involve periodic assessment of the SRA to modify it to meet the emerging needs. It is worth noting that the SRA considers monitoring and conflict resolution as critical part of the whole SRA development process. Thus, monitoring goes on

throughout the SRA development process to determine possible deviations for quick remedies. At every stage of the SRA development process stakeholders take stock to see whether the process is going on as planned or there are deviations that would require remedies. As human institution, conflict is inevitable as such stakeholders were encouraged to report issues of misunderstanding to the moderator of the SRA development process for redress. Again, stakeholders were encouraged to tolerate the views of each other. Religious, political and tribal discussions were forbidden during the SRA development since it is the possible source of conflict during group discussions.

The five-stage process identified in this study is in line with the assertion of O’Faircheallaigh (2013) that the development of SRAs goes through four stages: stakeholder engagement; capacity building and representation; roles and responsibility; and implementation, monitoring and feedback. The stakeholder engagement in this study has a broader meaning, starting with pre-negotiation to gain community support, and consultation and deliberation to ensure that the SRA meet the needs of the community. Further, decisions from the earlier processes are formalized through documentation and endorsement. The finding is similar to that of Loutit, Mandelbaum and Szoke-Burke (2016) who categorized the SRA process into three stages of pre-negotiation, research and consultation; and negotiation and endorsement. However, Newmont SRA process considers research as part of the whole process; from pre-negotiation, deliberation and consultation, implementation, and evaluation and review. It is not limited to only a particular stage of the process. Similarly, the process of consultation and formalization are

aimed at seeking endorsement of stakeholders for commitment to the agreement. The Newmont Akyem SRA process is similar to the one described by Mireku-Gyimah and Gyamfi (2013) which goes through a process of deliberation, consultation and negotiation, implementation, monitoring and evaluation.

Pre-negotiation Stage

The pre-negotiation stage of the Newmont Akyem SRA process is very critical because it forms the basis for the other stages of the SRA development process. Pre-negotiation stage of the SRA development employed by Newmont involved three main activities: 1) awareness creation, 2) building of rapport with key stakeholders and 3) signing of MoU (Figure 5).



Figure 6: Key Activities in the SRA Negotiation Process

Source: Field Data: Acheampong (2019)

The pre-negotiation stage starts with creation of awareness through which the mining company announces its presence and intended activities in the community. Newmont did this through community durbar of chiefs and people of the prospective mining community. This offered the company the opportunity to introduce itself and its impending activities to the people. Again, it offered the

mining company the avenue to outline the expected benefits of the project to the community. A key principle of the company at this stage was to be realistic to the communities to avoid over-expectation of the agreements, which is a recipe for conflict. The main purpose of the awareness creation by the company was to seek answers to pertinent issues about projects expected in the SRA. It also offers the community the opportunity to receive the necessary assurances that the project will commence as planned. These assurances were very important because there had been instances of failed promises in the past by some mining companies.

The next main activity of the pre-negotiation stage is the building of rapport with power brokers in the community. It involves courtesy call on local authorities including assemblies and traditional leaders of the various communities to have further discussions on the expected projects for building of rapport and trust. This aspect of the process is very important because it demonstrates the company's show of respect to the local authorities as partners in development. It also offers the company the opportunity to identify possible threats and potential conflict issues for possible redress. The awareness creation and rapport building led to the last stage of the pre-negotiation process, which is the signing of MoU. MoU is signed between the representatives of the local authorities on one side and officials of the mining company on the other side. The aim of the MoU is to demonstrate the willingness and commitment of each party towards the success of the project. According to Loutit, Mandelbaum and Szoke-Burke (2016), signing of MoU and agreeing on framework is foundation to a successful SRA negotiation process.

Consultation and Deliberation

The next important aspect of Newmont Akyem SRA development process is the consultation and deliberation stage. This stage involves consultations, which involved research, decision-making and implementation of five main activities, which include: selection of stakeholders and communities, needs assessment, payment of compensation, plans for resettlement, and re-establishment of livelihoods (Figure 6). In order to ensure efficient and effective deliberation the stakeholders were taken through negotiation skills, conflict resolution and participation. The training on negotiation was meant to equip the stakeholders with the necessary skills so they can effectively take part in the SRA negotiation process. Since conflict is inevitable in any group settings, they were taken through the process of using dialogue to resolve conflict. In addition, they were taken through the process and importance of participation in order to encourage them to actively take part in the SRA development process.

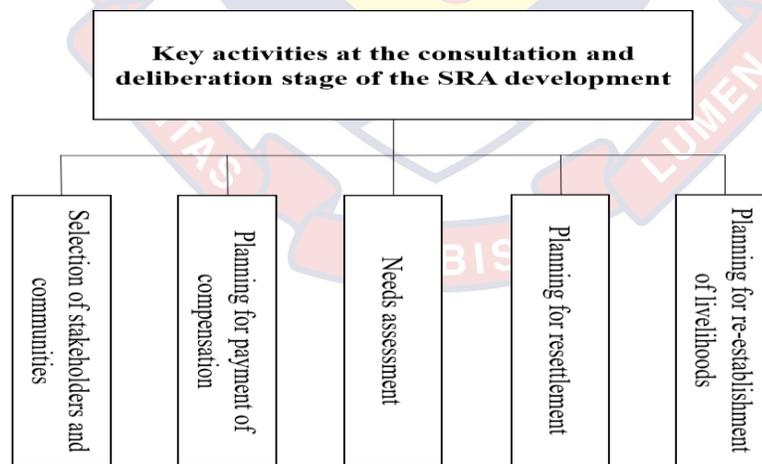


Figure 7: Key Activities in the Consultation and Deliberation Stage of the SRA Development

Source: Field Data, Acheampong (2019)

The consultation and deliberation stage of the SRA process was coordinated by an external moderator. The external moderator was an expert used to ensure smooth discussions, effective management of group process and dynamics and raising relevant issues for discussions. In choosing the moderator, the factors considered by the company included skills in time management, group facilitation, project management, managing diversity, as well as conflict prevention, management and resolution. Besides the moderator, a consultant was also engaged to collate views from all the relevant stakeholders, as well as experiences from similar SRAs from other part of the world to help plan possible projects that would meet the needs of the communities. The key activities in the consultation and deliberation stage of the Newmont Akyem SRA are discussed in the following sections of the thesis.

Selection of Stakeholders and Communities

From the study, one key activity that had to be researched through consultation and deliberation is the selection of key stakeholders and communities for the development and implementation of the SRA. This process was undertaken to ensure that relevant stakeholders are not left out in the SRA development process. Thus, an extensive stakeholder analysis was conducted to identify the primary and secondary stakeholders as well as their level of participation, interest and influence. The composition of the stakeholders could be categorized into three, namely; the mining company, local assembly and the community (Figure 7).

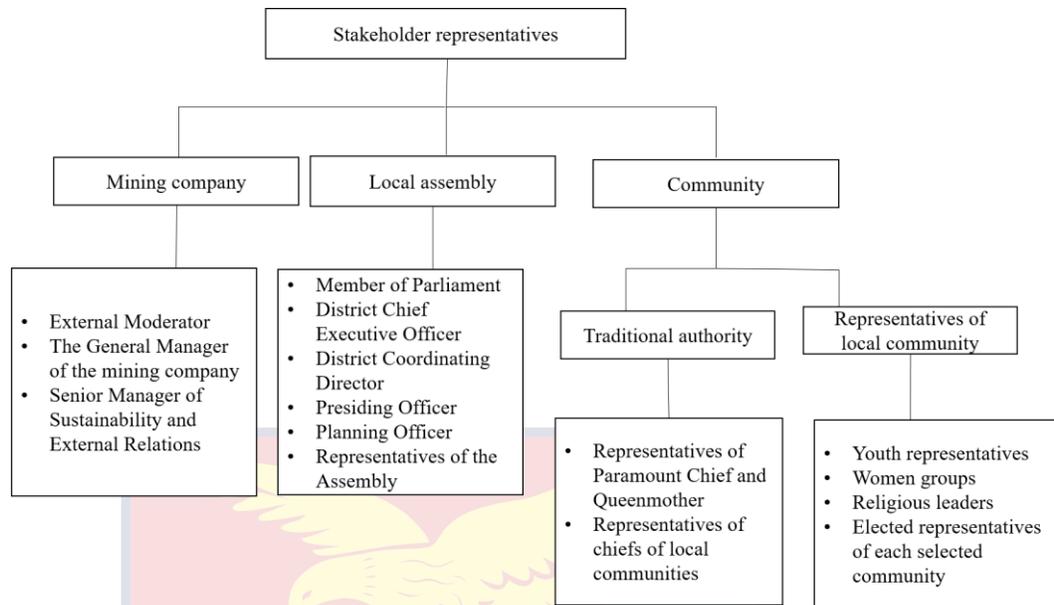


Figure 8: Representatives of Stakeholders at the Consultation and Deliberation Stage of the SRA Development Process
Source: Field Data, Acheampong (2019).

The representatives from the mining company were made up of an External Moderator to steer the affairs of discussions, the General Manager of Newmont Akyem Mines to promote the interest of the mining company and also to have a general overview of the agreement, the Senior Manager of Sustainability and External Relations to promote effective linkage between the company and other stakeholder groups.

The representative of the local assembly was made up of the Member of Parliament of New Abirem to represent the interest of the community and the mining company in parliament and also to promote local development, District Chief Executive (DCE) to promote the inclusion of local development issues in the agreement at the local level and also ensure that there is adequate security to enable smooth mining operation, District Coordinating Director to compliment the DCE to ensure that the interest of the local assembly is well represented in the SRA,

Presiding Member to ensure that issues on mining and community development are properly tabled for discussion during the assemblies meetings, the Planning Officer to assist in the planning of projects to meet the required standards and also prevent duplication of project in the community and two representatives of Birim North District Assembly. The last stakeholder group is the local community. Because Newmont Akyem operations span across 10 communities, the consultant ensured that each community was adequately represented. This was done to ensure that community specific issues were brought to bear in the development of the SRA.

The local community stakeholder group was further divided into traditional authority and representatives of the ten local communities. The traditional authorities were made up of the representatives of the Paramount Chief and Queenmother of the Akyem Kotoku paramountcy and one representative each for the chiefs of the ten local communities. The role of the representatives of the traditional authorities was to address issues relating to land availability for developmental projects. Representatives of the traditional leaders were included instead of the traditional leaders themselves so that whenever there was conflict that was beyond the moderator, they could be call upon to intervene. Finally, religious leaders, youth and women groups as well as elected representatives from the catchment communities formed the stakeholders from the local communities. These groups ensured that issues affecting the constituents they represented are adequately taken care of in the SRA development

The diverse stakeholder group was meant to ensure that the SRA had representative view of stakeholders as much as possible. This practice of

inclusiveness in the development of the SRA is in line with stakeholder theory of corporate social responsibility which emphasized that, it is always necessary to include relevant stakeholders when taking decision that affects them (Michelon, Beosso & Kumar, 2013). Laplure *et al.* (2008) affirm that the stakeholder theory could be used as a managerial tool to isolate the most important stakeholder groups for greater attention. Mitchell, Agle and Wood (1997) assert that it is important to consider the urgency, legitimacy and power of these stakeholders when selecting for SRA process.

Settling on the communities to be included in the SRA development process was very important in the consultation and deliberation stage. The key criterion for the selection of the communities is proximity to the mining site. First of all, communities that had land within the mining concession were considered, followed by those closer to the concession. Based on this, 10 communities were selected to be part of the SRA negotiation process. The communities were Ntronang, Hweakwae, Ahausena, Yayaaso, Yaw Tano and Helments, Adjenua, Old Abrem, Mamanso, New Abirem and Afosu, all located in the Akyem Kotoku Paramountcy in the Eastern Region of Ghana. The inclusion of all the local mining communities is to ensure that all their views are fairly represented in the agreement. This finding agrees with the assertion of Otto (2010) that clearly defined inclusion and exclusion criteria should be used to ensure that all relevant communities are captured during SRA development process since poorly defined scope could be a source of conflict (O’Faircheallaigh, 2013).

Needs Assessment and plans for compensations, re-settlements and livelihood support.

The next activity in the consultation and deliberation stage of the SRA development process is needs assessment which also covers issues of compensation and re-settlement. As part of the needs assessment process, a consultant was hired to assist in gathering data on socioeconomic status on all households within the catchment community. The data collected provided the company with an overview of the needs of the various category of people in the community. From the socioeconomic data, Newmont was able to isolate the most vulnerable people in the community for a tailored support. Again, the needs assessment came out with the expectations of the community which formed the basis for the mining company's SRA. The idea of consulting the community about their expectations and also making them aware of the potential benefits of the project was meant to afford the company the opportunity to include issues that were pertinent to the local communities in the SRA. This practice, is in line with the Enuoh and Eneh (2015) assertion that needs assessment is very necessary in mining SRAs because it allows the mining company to factor the actual developmental needs of a community in its social programmes. In addition, Ako, Obokoh and Okonmah (2009) reiterated the role of needs assessment in addressing challenging issues confronting a local community. Mireku-Gyimah and Gyamfi (2016) added that SRA that is based on the actual needs of the local community has a high potential of success.

The needs assessment at this stage offered the mining company (Newmont) the opportunity to identify modalities for compensation and re-settlement of people

whose farms, farmlands and habitats had been affected by the mining activities. Similarly, because mining activities have the potential of destabilizing the livelihood of people in mining catchment communities the needs assessment also helped in identifying modalities for the re-establishment of livelihoods of affected individuals in the mining community. To compensate the people for their affected properties three key factors became evident; 1) the use of a professional valuer, 2) a consultant to manage the compensation process, and 3) clear criteria for the award of compensation.

To compensate the affected people, the mining company had to engage the services of an evaluator, here, the Land Valuation Division of the Lands Commission of Ghana was engaged to value the properties to be affected by the mining activities for compensation. Also, a consultant was hired by the mining company to liaise between the company and the local communities to determine the appropriate compensation for the affected individuals based on the valuation report. After series of meetings, an agreement was reached between the community and the company on the compensation package based on set of criteria. For the farms, the criteria included the type of economic crop on the land and the total acreage involved. In addition, the traditional leaders who are the custodians of the farmlands were also to be compensated. Payment of compensation has become a very critical issue and a source of conflict in mining communities (Mireku-Gyimah & Gyamfi, 2016). It is therefore key for mining companies to have an extensive deliberation with local communities in order to reach an acceptable level of compensation (Mireku-Gyimah & Gyamfi, 2016).

Regarding re-settlement of affected families, the key criteria were the size of each household, the type of accommodation occupied by the affected household and the number of rooms involved. Relocation from a place one has spent the entire lifetime to new location is a very painful experience, thus, as a general compensation, the company promised the affected people the provision of roads, water, toilet facilities, schools, and chief palace in the resettlement community.

To manage possible livelihoods disruptions, the stakeholders had an extensive deliberation on how the lost livelihood could be restored. The mining company, though was obliged by law to pay for the assets within its concession, they felt it was important to put in place measures to ensure that people in the local communities are not worst off after the compensation. In this regard three categories of community members in the following areas were identified and targeted for support: 1) crop farming, 2) livestock and non-farming and 3) the vulnerable (Figure 8).

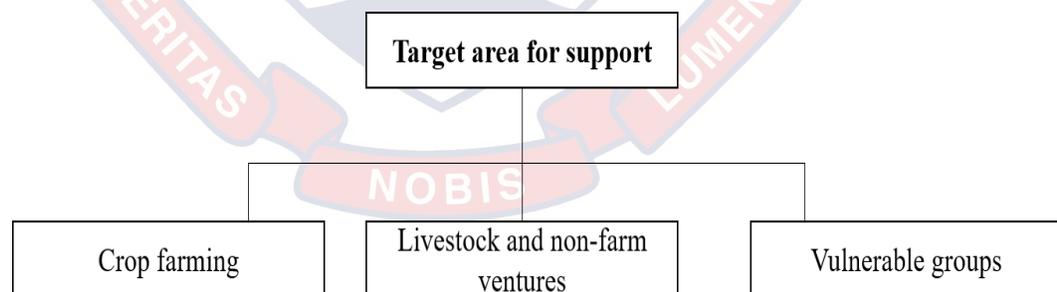


Figure 9: Target Areas for Newmont's Support

Source: Field Data, Acheampong (2019)

Those who lost their crop farms were to be supported to acquire land in the nearby communities for the cultivation of either cocoa, oil palm or citrus with

intercropping with food crops under a special programme called Agricultural Improvement and Land Access Programme (AILAP). The programme was designed in such a way that farmers were to be assisted to cultivate up to 2 acres of land. Those who lost less than 2 acres of land were to be supported to cultivate the same acreage and those who lost 2 acres and above were supported to cultivate 2 acres. Certified planting materials, fertilizers and agrochemicals were to be made available to the farmers. In addition, they were to be provided with extension services to guide their operations. The support was for one farming cycle.

Furthermore, the mining company was to support people in the community who opted for livestock and non-farming activities, through a programme termed as Accelerated Livelihood Programme (ALP). This programme was aimed at supporting existing businesses in terms of livestock production, agro-processing, and other local trade areas through provision of seed capital and skills development. The unique aspect of this programme was that it was opened to all persons in the local community whether directly affected by the mining activity or not. It was aimed at helping existing local businesses to expand their capacities, as well as to improve the capacities of the people for employment in the community.

Finally, the mining company was to have a special programme to support the vulnerable in the community. Vulnerable groups identified through the socioeconomic survey were those not capable of engaging in farming or non-farming activities due to old age or incapacitation as the result of sickness and were without any good family support. They were to be supported with monthly food

basket comprising of rice, dry fish, red oil and some amount of money until their living condition improves.

Formalization Stage

The next stage in the SRA development process is the formalization stage which involves the documentation and endorsement of the decisions from the earlier processes. In the Newmont SRA process, the formalization stage led to the development and approval of three key agreements namely; relationship, development funding and local employment agreements (Figure 9).

The relationship agreement entailed measures agreed on to ensure smooth operations of the SRA. The development funding agreement involved sources of funds and its disbursement as agreed on by stakeholders to champion sustainable economic and social development in the mining community. The local employment agreement contained agreed upon modalities concerning the mining company offering employment to people in the mining communities.

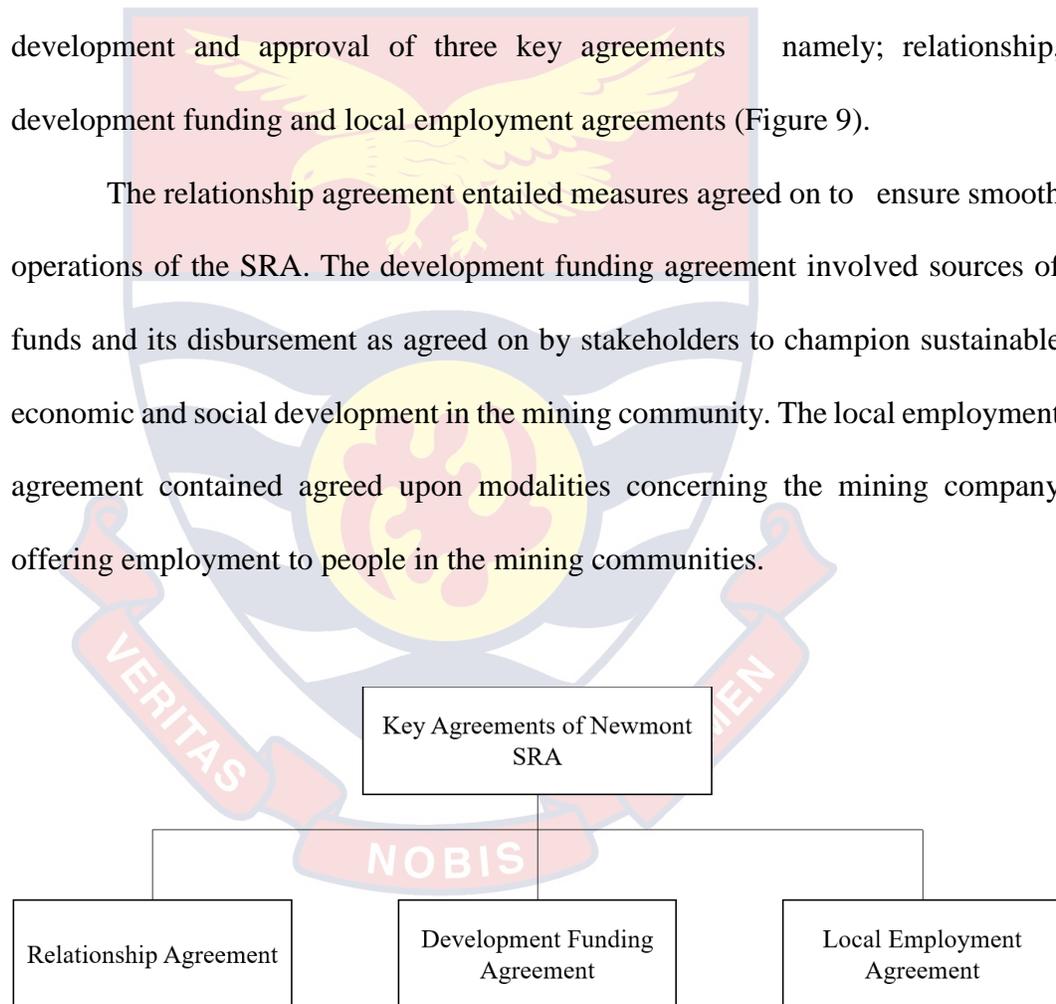


Figure 10: Key Agreements of Newmont Akyem SRA

Source: Field Data, Acheampong (2019)

Relationship Agreement

The relationship agreement spelt out 1) objectives of the agreement, 2) governance of the agreement 3) roles and responsibilities of key stakeholders in the agreement, 4) participation and transparency management by the key stakeholders and signatories to the agreement. The first objective of relationship agreement is to communicate the commitment of Newmont Akyem mines in clear and precise manner to the various stakeholders in order to prevent any form of misunderstanding. This was done by defining keys issues the company intend to address in the community and also setting out principles on how Newmont and the local communities could work together towards a mutual benefit. According to O'Faircheallaigh (2013), community development agreements prevent potential conflict in mining communities when its objectives are stated in clear and unambiguous terms. In addition, stating the commitment in clear, simple and very transparent manner ensures easy understanding and also enables the local communities to demand their entitlement.

Additionally, the relationship agreement seeks to ensure the sustainable development of the local communities through resource mobilization, building of strong linkages between the company, the local communities and ensuring gender-mainstreaming in developmental interventions in order to ensure that gender issues are adequately addressed. Finally, the relationship agreement provides a forum for deliberation on issues of mutual interest. This forum provides the members of the community and the mining company an opportunity to have a common platform to talk about issues that border on mutual interest.

The relationship agreement of the SRA is governed by the social responsibility forum, the standing committee and complaint resolution committee. (figure 10) The Social Responsibility Forum (SRF) has the oversight responsibility for the implementation of the Newmont SRA with local communities. The oversight role of the SRF covers three main areas: (a) ensuring fair compensation for all affected persons and communities, (b) facilitating the creation of business opportunities through legacy visioning and sustainable community development and (c) building productive and supportive relationships and networks to ensure effective collaboration, dialogue and mutual trust among the parties.



Figure 11: Governing Structure of Relationship Agreement

The composition of the SRF is made up of all the key stakeholders that took part in the consultation and deliberation stage of the SRA development process (Figure 7) in the catchment communities. These stakeholders were included due to their involvement in the SRA development process. It is worth noting that religious leaders were omitted from the SRF so that they could act as mediators in conflict resolution. Again, the Executive Secretary of Newmont Akyem Development Foundation was added to SRF to ensure efficient and effective implementation of projects to enhance the living conditions of the people in the local communities (Figure 11).

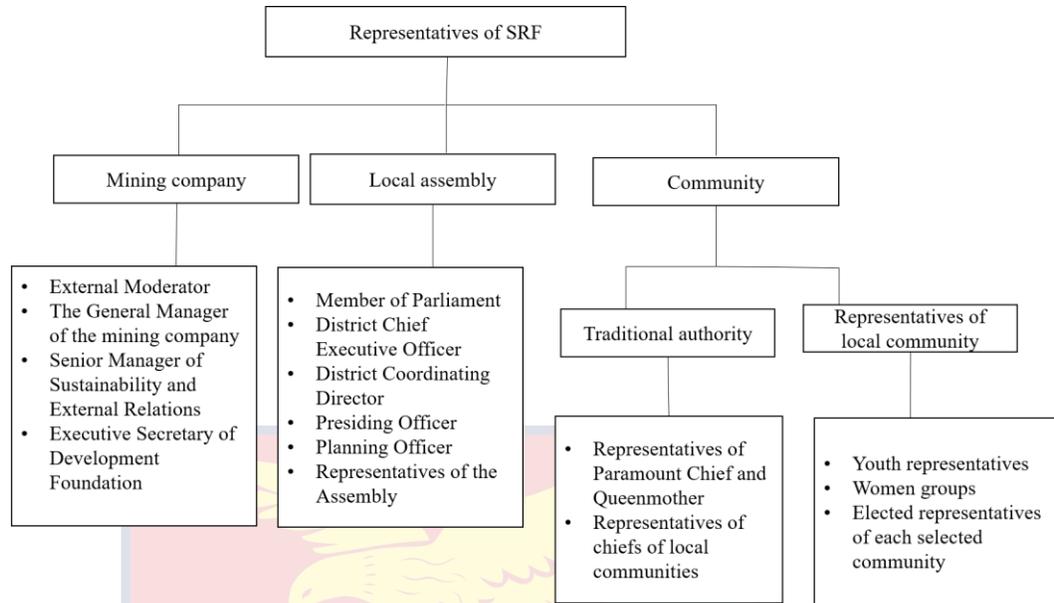


Figure 12: Representatives of the Social Responsibility Forum

Source: Field Data, Acheampong (2019)

In order to achieve the objectives of the SRA, the SRF has put in place committees and boards with assigned functions to ensure smooth implementation of the agreement. Committees and boards are very effective tools for implementing programmes (Otto, 2010). Again, the SRF has put in place rules, regulations and bylaws to govern the implementation of the SRA. This is to ensure that all parties are able to work within the regulated framework.

The second leg of the governing structure is the standing committee of the forum. The standing committee act on behalf of the SRF when they are on recess. It performs and reports all their activities to the SRF when they are back from recess. The standing committee has a similar structure like that of the SRF. Conflict is inevitable in any human institution and as a result, complaint resolution committee has been included as the last leg of the governing structure of the SRA. The complaint resolution committee is made up of the moderator of the SRA who

acts as a chairman, four members from the standing committee (two from the company and two from the community) (Figure 12). The persons appointed are supposed to have enough experience in the nature of the complaints. This committee is responsible for resolving conflicts that have to do with the implementation of the SRA.

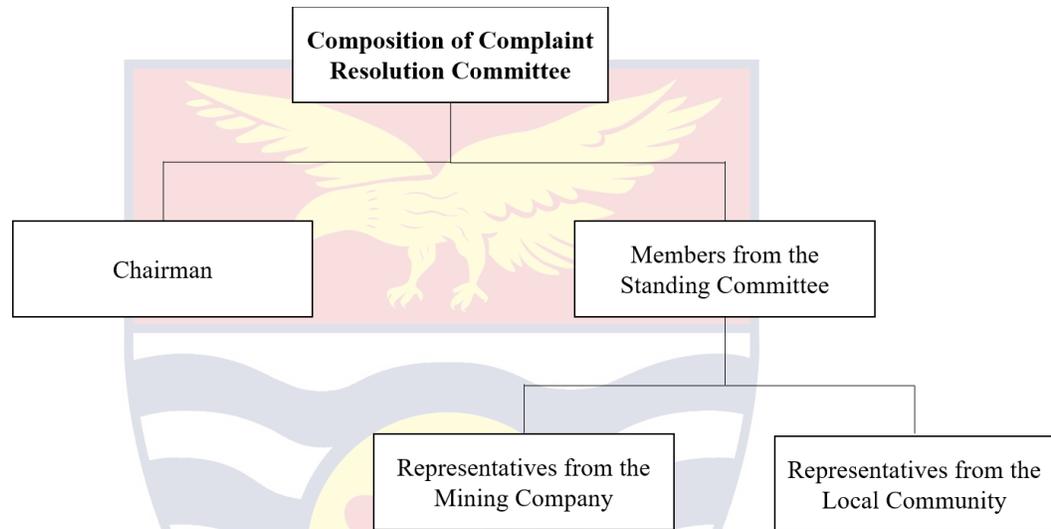


Figure 13: Composition of Complaint Resolution Committee

Source: Field Data, Acheampong (2019)

It must be emphasized that conflict resolution is a very complex process and as part of the process, conflict issues that cannot be resolved by the complaint resolution committee are referred to traditional leaders in the community who use their own traditional arbitration system to resolve the conflict. The believe is that because the traditional leaders are held in high esteem by the mining company and the community, they will be able to resolve more complicated conflicts. This explains why the traditional leaders are not included as the first line of action in the conflict resolution process. Any conflict resolution that is beyond the traditional leaders are referred to formal legal system (court) for resolution.

O’Faircheallaigh (2013), emphasizes the key role of complaint resolution committee in the successful implementation of SRAs and argues that every SRA must have a grievance and feedback committee so that when people have issues, they could easily refer to it for redress.

The relationship agreement has put in place specific roles and relations principles to guide the smooth implementation of the agreement. According to O’Faircheallaigh (2013), SRAs should carefully describe the various stakeholders and their representatives. Again, the role of each stakeholder must be well spelt out in order to prevent role confusion. According to the agreement, the traditional authority represented by chiefs and queenmothers are expected to assist in conflict resolution within the community and between the company and the community. Conflict resolution is a key mandate of traditional authorities in most Ghanaian communities. In addition, their roles also include receiving of visitors, advising the company on issues relating to company-community relations, assisting the company to prevent illegal mining activities and last but not the least ensuring smooth implementation of agreed projects within the community. The traditional authority is the custodian of the land, therefore according to them such important roles signify the respect they command in the community.

Apart from the traditional authority, the agreement expects people in the community to use existing channels and protocols to address issues of mutual concern. Again, the community and its citizens are expected to patronize the established information centres to seek for the necessary information and also attend meetings to receive feedback from various committees. Newmont Akyem

Mines on the hand is expected to honour promises made to the local communities in terms of developmental projects and job creation. Again, the company is to ensure effective community development through a very transparent process. Moreover, the SRA charges the company also to use the existing protocols and procedures to address issues of mutual interest. Finally, the District Assembly which is the government representative at the local level is mandated to assist in complaint resolution, prevention of illegal mining and assist the local community to plan, manage and implement sustainable development projects.

The agreement has also put in place a mechanism to ensure company-community participation and transparency management. Warner (1997) opined that it is important to include project beneficiaries in the planning, design, implementation, monitoring and evaluation of developmental projects. The participation of project beneficiaries in projects tends to increase transparency and accountability. According to Tikare *et al.*, (2001), participation enables stakeholders to influence and exert control over priority setting, policymaking, allocation of resources and access to public goods and resources. In this direction, the company, Birim North Municipal Assembly and the community have agreed to use dialogue and negotiation to resolve conflict and in the process all parties are supposed to remain tolerant to each other's views in order to maintain a good working relation. Again, the agreement enjoins the company to liaise with the SRF to build the capacity of various committees on human right, gender-mainstreaming, conflict identification, management and resolution. Lyons, Smuts & Stephens (2001) and Holcombe (1995), are of the view that capacity building is key to ensure

effective participation by stakeholders. In order to ensure confidence and trust among the parties, the agreement emphasizes information/communication management to ensure smooth flow of information among the parties. Also, the agreement has put in place sustainable community development planning and management unit to spearhead all developmental projects within the local communities. Furthermore, the agreement has put in place environmental/social participatory monitoring management to enable the community and BNM to take part in the company's environmental/social impact monitoring programmes. The agreement has also put in place measures to adhere to laws of Ghana governing access to land and fair compensation. This is to ensure that the livelihoods of affected farmers are restored.

The final component provides the signatures of the various stakeholder representatives in order to give a legal backing to the agreement (O'Faircheallaigh, 2013).

Development Funding Agreement

The second outcome of the Newmont SRA development process is the establishment of development funding agreement. The development funding agreement just like the other agreements came out of extensive research, negotiations and decision making at the consultation and deliberation stage of the SRA development process. As part of the agreement, the mining company has established a development foundation, called Newmont Akyem Development Foundation to manage funds that will come from the company for the purpose of community development. Development foundations have been touted as a more

sustainable way of funding community projects due to its governing structure (Louit & Mandelbaum, 2016). For instance, foundations have trusted board of directors, a well-structured decision criterion, dedicated sources of funds which ensure its smooth operations

The development foundation has a secretariat that is headed by an Executive Secretary (Figure 13). The Executive Secretary is the chief administrative officer of the development foundation. The Executive Secretary together with the board appoints staff for day-to-day administration of the foundation. The appointed staff are Project Coordinator, Financial Controller and Communication Officer who work directly under the Executive Secretary. The project coordinator provides technical assistance to the sustainable development committees of the various communities in the areas of project proposal development.

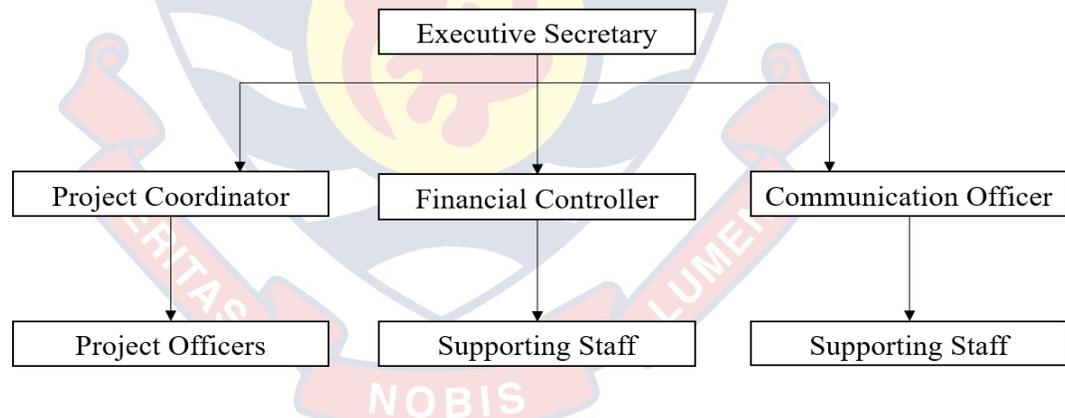


Figure 14: Organizational Structure of Newmont Akyem Development Foundation's Secretariat

Source: Field Data, Acheampong (2019)

In addition, the Project Coordinator liaises with the local assembly in the areas of project execution. This is to prevent duplication of projects. Again, the Project Coordinator is in charge of providing updates on project implementation to the board of trustees. Due to the enormity of the Project Coordinators' job, he/she

together with the executive secretary recruits project officers. The Financial Controller is in charge of all financial matters of the foundation; including budget preparation and management of the foundation's finances. The Communications Officer prepares and disseminates timely information to inform both internal and external stakeholders in the foundation's activities. The communication officer is also in charge of all media relations of the foundations.

Each community has a Sustainable Development Committee (SDC) that is in charge of initiating projects at the community level. The SDCs are assisted by the project coordinator to prepare project proposals for onwards submission to the board of trustees for approval. Because of funds limitation, each SDC is expected to present project proposals in order of priority. Moreover, project proposals are supposed to be within the defined sustainable development criteria as stated in the development foundation's agreement. In this direction, sustainable development has been defined in the agreement to encompass any form of development that lasts from generation to generation, has the backing of the majority of the people in the community, based on actual needs of the people, has long term benefit and can be maintained within the available resources. Based on this sustainable development has been categorize into agriculture, health, water and sanitation, enterprise development and promotion, natural resources conservation and preservation, youth and sports, safety and security and support for cultural heritage.

The foundation per the agreement has board of trustees to manage the funds. The board is composed of nine members; comprising the chairperson, three representatives of Newmont, four representatives of the local community, one

female member nominated by Newmont (Table 6). At least one of the community nominees is expected to be a woman. This is to ensure gender balance and mainstreaming of women and children needs. The Executive Secretary of the development foundation acts as the secretary to the board.

Table 6: Composition of Newmont Development Foundation Board of Trustees

Composition of the Board	Remarks
Chairperson	Nominated by Newmont together with the local authorities
Three Newmont representatives	From Newmont Akyem Mines
Four local community representatives	Two members from the West and East communities. At least one community member should be female
One Newmont female nominee	Non-Newmont female member to ensure gender balance
Executive Secretary of Newmont Akyem Development Foundation	Serves as the secretary to the board

Source: Acheampong, 2019

The board manages and controls funds of the foundation and also evaluates and approves projects for implementation. In addition, the board monitor the progress of sustainable economic and social development projects. Having a governing board has been cited by Bain and Band (1996) as a key factor for managing organizations. Properly constituted board members ensure that appropriate procedures are followed and also right decisions are reached for the betterment of an organization's development (Lam, 2002). Lam (2002) continues that the board of organizations steers strategic planning and direction in order to achieve the goals of the organization.

Another, key aspect of the development founding agreement was the sources of funds and its distribution to the communities. On sources of funding

for the project, Newmont Akyem Mines agreed to contribute \$1 on each ounce of gold mined and also 1% of its profit before tax. The total fund was distributed as follows; 2% for the SRA board of trustees to use to finance discretionary projects, 10% for administrative expenses, 2% to Akyem Kotoku paramountcy to fund cultural and sustainable projects of the paramountcy’s interest, 1% to cover near-mine community emergency fund, 20% for an endowment fund for future generations and 65% for community specific developmental projects (Figure 14). The community’s share of the funds was distributed using four criteria: population factor, equity factor, stool land impact and social and economic impact of the project. The population factor takes into account the number of people in each local community. Thus, community with largest population receives the greater share because development is about people (Bongaarts, 2009).

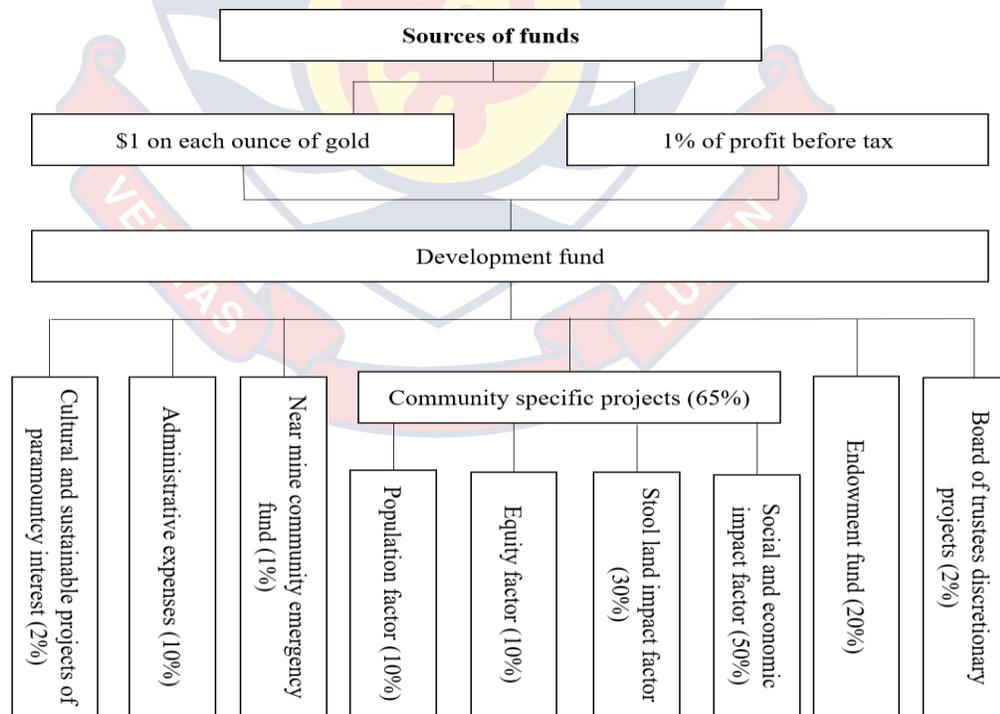


Figure 15: Sources and Distribution of Funds
 Source: Field Data, Acheampong (2019)

The equity factor deals with proportion of the funds that is shared equally among the communities. This was done because using the other factors alone some communities would have received almost nothing. The stool land impact factor assesses the size of each town's stool land. The community with largest stool land receives the largest share. Finally, the social and economic impact factor assess the pre-mining social and economic interest of each town. Communities with highest pre-mining social ties and economic interest score receives the largest share. This is to ensure that community that suffers most from the project are given the greater proportion of the funds so that they can implement projects to sustain livelihoods. Using the aforementioned criteria, 10% was allocated to population factor, 10% for equity, 30% was allotted to stool land impact factor and 50% to social and economic impact factor.

Community fund management is very critical in SRA process. If it is not well handled, it could result in community conflicts (Mireku-Gyimah & Gyamfi, 2016; O'Faircheallaigh, 2013). It is therefore important to agree on appropriate mechanisms and procedures that meet the expectations of all stakeholders. The agreement did not provide any formular for the allocation of funds towards the various sustainable development thematic areas. This was left to the various communities through the sustainable development committees to decide on which project to invest in.

Local Employment Agreement

The final output of the Newmont SRA development process is the local employment agreement. The Local Employment Agreement set forth the guidelines

for engaging the local people as workers of the mining company. According to the agreement, all unskilled labour are reserved for the people within the mining catchment communities. This is because unskilled labour requires no educational qualification, it is easy to source it from the local community. Again, reserving unskilled labour for the local community is a surest means to ensure that most local people are able to secure job within the mining company. However, skilled and semi-skilled labour is opened for every Ghanaian to apply. It is worth noting that the agreement has made provision for preference to be given to people in the local community when they have the required skills for a particular job.

The agreement defined citizens who qualify for unskilled labour as people who hail from the community or someone whose father or mother comes from the community. A person who lives in the community and has immovable properties also qualifies as a citizen as well as persons who have lived in the community for at least one year and contributes to community development. In order to prevent non-citizens from taking up non-skilled labour which is reserved solely for local people, a citizen validation committee was formed during the consultation and deliberation stage of the SRA development to ascertain the citizenship of applicants before they are offered jobs. Each local community has its own citizen validation committee to verify the citizenship of people from their locality. The citizen validation committee is made up of representative of the traditional authority, an assembly member, unit committee chairperson, youth leaders and elected representatives of the youth (Figure 15).

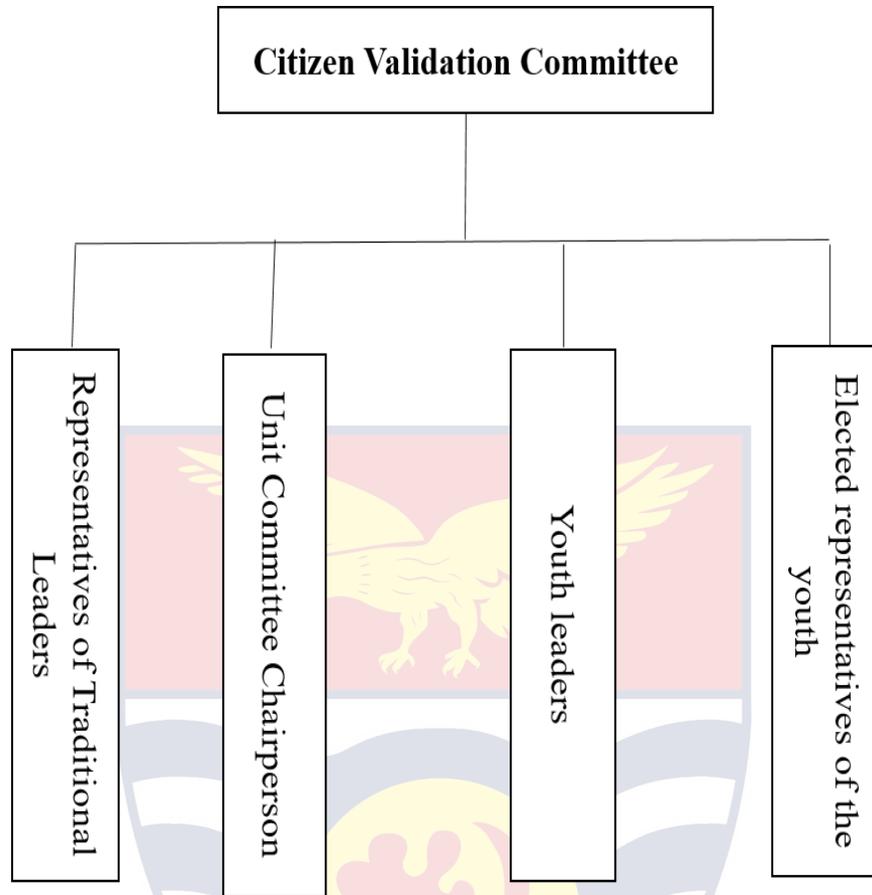


Figure 16: Composition of Citizen Validation Committee

Source: Field Data, Acheampong (2019)

A citizen applying for job has to complete a citizen validation form that bears the signature or thumbprint of the citizen seeking employment, and members of the citizen validation committee as well as a serial number that relates and identifies the citizen's community. Employment is a very critical issue in mining communities, as such, all these measures have been put in place to ensure that reasonable number of the persons within the community are able to secure job at the mines. In addition, the large number of signatories is meant to deter outsiders from applying. Local Employment Agreement is very important in community

development agreements since it ensures that there is local content in the employment portfolio of the company (Otto, 2010).

Implementation Stage

The next stage of the SRA development process is the implementation stage. This process consists of development of project proposals, selection of projects for funding, resource allocation and supervision of projects. Sustainable development committees of each community, through the assistance of the project coordinator of Newmont Akyem Development Foundation, develop project proposals for each community. In order to prevent duplication of projects, the SDCs work with planning officer of the local assembly. It is worth noting that each project proposal is expected to be in line with the sustainable development requirements as stated in the development funding agreement. The projects proposals are then forwarded to the development funding board for selection. The selection is based on the relevance, urgency and availability of funds. The projects that are selected for funding are referred to a tender committee that was formed during the consultation and deliberation stage. The tender committee then advertise the project for prospective contractors to bid for it. The project coordinator and the financial controller of the development foundation are in charge of developing the tender document and also prepare the necessary payment voucher to the contractor. As part of the implementation process, quarterly meetings are held in the community, during which various committees and representatives give accounts of their stewardship. The members in the community are offered the opportunity to ask duty bearers questions and seek clarification on issues that are not clear.

Evaluation and Review Stage

The final stage of the Newmont Akyem SRA process is the evaluation and review of the agreement to meet the emerging needs of the community. The evaluation and review stage involve research, consensus building as well as negotiation process to assess the processes, activities, outputs and outcomes, as well as making decisions for changes to improve the SRA process. The Newmont SRA evaluation process involved engagement with stakeholders through focus groups, personal interviews and community durbars to assess the success of the SRA and also to identify areas for modification to reflect the current needs, wishes and aspirations of the local people. The report from the evaluation allows the organization to review its activities and make the needed changes which may involve conflict resolution.

Research, consultation and deliberation played a key role in the evaluation and review of the SRA. The research, consultation and deliberations process assisted in identifying emerging needs of the community. According to Deegan *et al.*, (2000), societal expectations are transient; it keeps on changing over time. This calls for organizations to be in tune with the exigencies of the current situation so they could come out with appropriate programmes and projects to respond to the needs of society (Loutit, Mandelbaum & Burke, 2016; Mireku-Gyimah & Gyamfi, 2016; O’Faircheallaigh, 2013). Some changes were made during the review to reflect new interests and new directions toward community-based projects as opposed to individual communities. During the review process it came to light that, pulling resources will result in projects that will have a lasting legacy and also

provide benefits for more people; both present and future generations. Because the fund allocated to some of the communities at the beginning of the agreement was too small, such communities were unable to come up with major projects. The study found out that the new direction of the agreement is to establish modern agro-based industries and first class technical and vocational institute in the local community. The benefits of these kind of projects are not limited to one community but all catchment communities and beyond could also benefit. The agro-based industries will provide job and ready market for farmers while the vocational and technical institute will produce graduates who can employ themselves. This will go a long way to deal with unemployment issues in the mining community with its threat of demonstration to go down. Again, the Technical and Vocational Institute will build the capacity of the youth so they could create jobs for themselves and others.

It stands to reason that building of agro-based industries and vocational and technical institute requires lot of capital. Therefore, achieving the goals of the project required some changes in the formula for sharing resources. For example, the evaluation process which involved information gathering and analysis, and negotiations, the parties agreed to review the sharing formula for the development funding board from 2% to 27%. Whereas, that of the local communities was reduced from 65% to 50%, and the endowment fund from 20% to 10%. The 50% was left to implement community specific projects since each community has its own peculiar challenges.

Drivers of Social Responsibility Agreements in the Mining Communities

Drivers of SRAs are the extrinsic and intrinsic factors that influence a firm’s decision to engage in corporate social responsibility activities. A firm’s driver determines how its corporate social responsibility activities are carried out. There are several factors that drive the social responsibility agenda of many companies. Respondents from Newmont Akyem mining communities were presented with nine factors that influence SRA and were asked to indicate the ones that influence the developed SRA of the Newmont Akyem Mines.

Table 7: Respondents’ Perception on Drivers of Social Responsibility Agreement

Drivers	F	%	Means	SD
Benefit of improved community support for a project	314	65.7	3.26	1.57
As a means to obtain social license to operate	322	67.4	3.22	1.52
National regulatory requirement for corporate social responsibility	260	54.4	2.88	1.65
Added value that good stakeholder relations can have on reputation	253	52.9	2.75	1.55
Demand from shareholders wanting evidence of socially responsible practices	229	47.9	2.56	1.50
Demand from shareholders wanting evidence of environmentally responsible practices	228	47.7	2.56	1.53
Increased pressure on mining industries by local communities to share benefit	186	38.9	2.30	1.55
Increased pressure from civil society groups	187	39.1	2.29	1.50

Source: Field Data, Acheampong (2019) n= 478

Means were calculated from a scale of 1=Very low extent, 2= Low extent, 3= Moderate extent, 4= High extent and 5= Very High extent

The results of the drivers are presented in Table 7. The results show that more than half of the respondents perceived to moderate extent (mean= 3.26, SD=

1.57) that SRAs of mining companies are aimed at improving the living standard of the people in the community. This finding is in line with Heugens, Kaptein and van Oosterhout (2008); Menon, (1997) and Prothero (1990) that the main driver for SRA in mining is the internal conviction of the management of mining companies to improve the living conditions of people in the catchment communities. According to Yeboah and Akenten (2015), targeting SRA towards standard of living of affected people of community makes the mining company as corporate entity a good corporate citizen. Haigh and Jones (2009) add that firm's internal motivation to sign SRA with local community is occasioned by anticipated benefits and as a risk mitigation factor. An improved community will benefit the mines in the sense that it will provide conducive atmosphere so they could carry out their mining activities in peace (Brew *et al*, 2015). Moreover, improved community is likely to provide active workforce for the company. The mining staff and their dependents could also benefit from improved facilities such as hospitals/clinics, schools and roads. The findings confirm the studies by Brew *et al*. (2015), Fadun (2014) and Sagar (2004) that firms sign SRA in order to improve standard of living of people in their catchment communities. Hsieh (2004) is of the view that mining companies benefit directly from the community within which they operate and as such have the responsibility to assist. Hsieh (2004) further asserts that the presence of corporations put a lot of burden on local communities in terms of pollution, rising cost of living, loss of livelihoods, social vices, health problems and pressure on limited infrastructure. Corporations are therefore responsible to lessen the effect of their operations on local communities through implementation of SRA. In addition,

Heizig and Moon (2013) posited that SRA enables businesses to deal with the negative effects of business activities on people, improves on the welfare of people, ensure probity and accountability and also improves the management of business-society-interface. This assertion is in line with the following comment by a key informant from the mines:

The mine is operating in a defined geographical area and wants to undertake projects to support the development of the area. We are not doing it because people are agitating or because we are impacting their communities negatively. We are doing it as a responsibility because we are with them and could benefit as well in order to sustain our support to the community, we have established a foundation through which we share benefits with them (Mining Official 1, personal communication, March 7, 2019).

The finding is contrary to the view of some critics of CSR that companies do not necessarily engage in corporate social responsibility activities to the benefit of the local community but to their own benefit (Herz, 2007).

Another factor that drove the SRA agenda of the mining company, according to two-thirds of the respondents, was for the mining company to obtain the social license to operate. That is, besides the development agenda, the respondents moderately (means= 3.22, SD= 1.52) perceived the motive behind the SRA development as means used by the company to obtain social license to operate in the community. This finding agrees well with the CSR literature that mining company needs an unwritten social license from the local community before any

successful operation can commence and be sustained (Deegan *et al.*, 2002; Deegan, Rankin & Voght, 2000). Whereas the mining company sees this view of the respondents as part of the process of legitimizing their operation in the mining area, the respondents perceived the signing of the SRA as promise of support by the company to operate for mutual benefit and peaceful coexistence. The SRA literature by Slack (2012), and Wijerathna and Gajanayake (2013) have argued that community consent is very critical for any corporate social responsibility-based businesses in the extractive industries. Clarifying the importance of social license, a key informant made the following statement:

Newmont is going to mine gold and that it understands that they can only mine here thanks to the support giving them by the chiefs and the people. The second thing is that they are going to make value out of the mine and that they will share the value with the communities and they are doing that because they want the communities to give them peace to function (Chief 1, personal communication, January 1, 2019).

More than half (54.4%) of the respondents perceived to a moderate extent (mean=2.88, SD= 1.65) that mining companies go into SRA in response to national regulatory requirements. This is expected as state agencies require mining firms to develop appropriate policies and programmes to deal with negative effects of their operations (Mzembe & Meaton, 2014). For instance, the Minerals and Mining Act, 2006 (Act, 703) and Minerals and Mining regulations 2012 (L.I. 2173) regulation 20 enjoins mining companies to conduct mining operations in accordance with

approved programmes and also comply with terms and conditions in the mining lease.

In line with the stakeholder theory of CSR, Mitchell, Agle and Wood (1997) opined that the Minerals Commission has power to compel mining companies to relocate affected communities to an appropriate location devoid of any threat to their livelihood. Moreover, in situations where the property such as crops and houses of the people are destroyed as the result of mining, the company is mandated by law to pay an appropriate compensation to the affected households. In addition, the national regulation as stipulated in the Minerals Act requires mining companies to provide an alternative source of water to the local community if their activities make source of drinking water unwholesome. Mzembe and Meaton (2014) argued that weak enforcement of policy regulations on mining in most African countries has resulted in the deterioration of livelihoods in mining communities. This later thinking might have influenced the views of the respondents highlighting national regulations as key drivers of the SRA. As such, the finding is corroborated by the following statement in a focus group discussion held at Hweakwae.

Mining activities lead to the distraction of the natural vegetation and also displacement of wildlife. Some activities of the mining companies also result in the pollution of water bodies. Again, some mining activities lead to a total relocation of an entire community. As the results of these effects of mining activities on the environment, national regulations have been enacted to ensure that mining companies implement programmes that can ameliorate their

environmental impact. For example, they are required by law to reclaim all degraded lands by covering all old pits and also engage in afforestation (FGD Respondent 1, personal communication, January 24, 2019).

The results also show that, more than half (53%) of the respondents perceived to a moderate extent (mean 2.75, SD= 1.55) that mining companies engage in social responsibility activities in order to protect their reputation. According to Werther Jr and Chandler (2011) a good relationship between stakeholders could provide the organization with good corporate image. They further explained that any misunderstanding with the local community can have a grave consequence on the reputation of the mining company. Thus, the respondents were of the view that the development of the SRA was to win the support of the local populace. This view is justifiable vis-à-vis the way some mining companies are engaging in all sort of media publicity to show their contribution to the society in order to enhance their public image (Herz, 2007).

The results in Table 7 further indicate that about 48% of the respondents perceived to a moderate extent (means= 2.56, SD= 1.50) that mining companies go into SRAs in response of shareholders demand for social and environmental responsible practices. In line with the legitimacy theory of SRA, mining companies are expected to perform within environmental and societal norms, values and expectations of the local community (Deegan, Rankin & Tobin, 2002). Recently, most financial institutions willing to invest in mining and extractive industries demand information on how loan applicants intend to integrate economic, social,

and environmental and risk mitigation measures into their proposals (Wright & Rwabizambuga, 2006). The shareholders believe that they are getting some benefits from the community and as such are also required to give back to the society. Moreover, some of the shareholders believe that it is ethically wrong to extract mineral resources from the community and leave them in a deplorable state. In some cases, potential shareholders are only willing to invest in a company that has a proven track record of social and environmental responsible practices. Notwithstanding, some shareholders who ascribe more to the economic dimension of social responsibility will want to support activities that have the potential to improve on their dividends in the long run (Carroll, 1991).

About 40% of the respondents perceived that mining companies sign SRAs as the result of pressure from community and civil society groups to share benefit with local communities. Civil Society Organizations are mostly made up of people who are knowledgeable in the area they champion and as such firms are very careful when dealing with them (Mzembe & Meaton, 2014). An empirical study by Mzembe and Meaton (2014) found that civil society organizations have contributed greatly in shaping the CSR agenda of Paladin Mines. The findings indicated that confrontational strategies by NGOs and CSOs put a lot of pressure on mining companies to come out with detailed blue print to support local communities. Similar findings of CSOs influencing multinational companies to respond to the needs of society has been found by (Doh & Guay, 2006; McIntosh, Thomas, Leipziger & Coleman, 2003; Zadek, 2007).

The results on drivers generally show that multiple factors drive mining companies to engage in corporate social responsibility activities (Hemingway & Maclagan, 2004). It shows that signing SRAs by mining companies is an indispensable component of their operations. Contributing to the life of the local populace through SRA practice will provide the conducive working environment for the mining firm to operate. It can therefore be inferred that the motive of signing SRA by private firms such as mining companies goes beyond the bottom line of profit making (Hemingway & Maclagan, 2004).

Extent of Achievement of Objectives of the Social Responsibility Agreement

Table 8 presents the results on the perceived achievement of the objectives of the Newmont Akyem Social Responsibility Agreement. The respondents were asked to state the extent to which the objectives set in the mining company's social responsibility agreement has been achieved. In general, the respondents perceived to a moderate extent (mean= 3.38, SD= 1.43) the objectives of Newmont Akyem SRA have been achieved. Close to 75% of the respondents perceived to a large extent (mean = 3.70, SD = 1.38) that members of the community are given the opportunity to participate in the company's decision that affects the community.

Table 8: Respondents’ Perception on Extent of Achievement of the Objectives of SRA

Objectives	F	%	Means	SD
Provision of community with opportunity to participate in the company’s decision that may affect the community.	357	74.6	3.70	1.38
Provision of clear statement of the commitments of the parties	350	73.2	3.53	1.43
Provide for the establishment of a forum to deliberate on issues of mutual interest	337	70.5	3.51	1.40
Set out the key principles on how the company-community will work together for mutual benefit	341	71.3	3.45	1.38
Build strong communication ties between the parties	324	67.8	3.44	1.43
Define the key issues that the company-community intend to address	342	71.5	3.42	1.41
Ensure the sustainable development of the community	337	70.5	3.33	1.43
Provide for a local employment per the agreement	210	43.9	2.67	1.57
Overall means			3.38	1.43

Source: Field Data, Acheampong (2019) n=478

Means were calculated from a scale of 1= Very least extent, 2= Least extent, 3= Moderate extent, 4= Large extent and 5 = Very large extent.

The study found that leaders of the community are always consulted whenever Newmont took decision concerning projects. The decision is further communicated to the people in the community through a forum. This is important as it ensures that community members are kept abreast on relevant issues in the mining company and to offer relevant suggestions to activities/programmes the company plans to undertake. This is crucial, as involving local community in projects ensures their adoption, ownership and sustainability (Hilson & Banchirigah, 2009). Participation enables stakeholders to influence and exerts

control over priority setting, policymaking and allocation of resources (Hilson & Banchirigah, 2009). Lane (1995) asserts that in order to court support of local community, there is the need to involve them at all levels of project development process. A key informant accordingly made this profound statement:

The people in the community are always consulted in terms of needs assessment, in terms of how they see the project and what their expectations are. During the consultation members are made aware of the potential benefits of the intended projects (Sustainable Development Committee Member, personal communication, January 25, 2019).

Burnside-Lawry (2016) had confirmed in a study that giving community members opportunity to participate in the implementation of programmes that affect their lives is one of the critical success factors in the execution of any developmental programme. Similar conclusions were made by McKeever (2013) that participation in decision making increases public support for community projects.

The results show that, 73% of the respondents perceived to a large extent (mean = 3.53, SD = 1.43) that the company has provided a clear statement of its commitment to the various stakeholders (the company and its workers, chief and elders, district assembly, and the general public). The agreement specifies the role for each of the stakeholders to ensure smooth implementation of the agreement. This helps to prevent role confusion in the implementation of the social responsibility agreement (O'Fairchealaigh, 2013). In addition, 70.5% of the respondents perceived to a large extent (Mean = 3.51, SD = 1.40) that the company

has provided a forum that allows for deliberation on issues of mutual interest. This forum gives the community members the opportunity to raise issues that concern them about the activities of the mining company. The forum also offers the company the opportunity to clarify issue with the community. This also prevents the generation of unnecessary and sometimes unfounded rumors before they generate into conflicts. As indicated by Burnside-Lawry (2016), when people are not given the opportunity to express their views on issues affecting their life, they tend to harbour some bad feelings which serves as a recipe for disaster when least provoked.

The results show that, about 71% of the respondents perceived the company's objective on setting out key principles on how the company-community could work together for mutual benefit has been moderately (mean = 3.45, SD= 1.38) achieved. This objective implicitly shows that the activities of the mining company benefit both parties and for that matter they should all work together to ensure that they both achieve their objectives. This therefore calls for team work, mutual understanding and cooperation between the parties.

Another objective of the agreement is to ensure strong communication ties between the parties. On this objective 67.8% are of the view that it has been moderately (mean = 3.44, SD= 1.43) achieved. Establishment of strong communication ties between any company and its catchment community is very paramount for effective interpersonal relationship (Mensah & Enu-Kwesi, 2018). Strong communications ties open doors for people to share their view on matters of interest. It gives both parties the opportunity to deliberate on issues of mutual

interest. A member of focus group discussion at Akyem Amanfrom corroborated the point:

Newmont Akyem has established information centers in all its catchment communities where people can walk in to present any petition or issue affecting them for onward submission to relevant agencies. Moreover, members in the community can channel their grievances through their community leaders. Notwithstanding, occasionally they organize a forum where people are given the opportunity to air their views. Above all, the company has a unit fully in charge of community relations. The only challenge is that sometimes, it takes a longer time to receive feedback on issues that are reported through the information centers (FGD Respondent 2, personal communication, February 19, 2019).

About 72% of the respondents perceived to a moderate extent (mean = 3.42, SD = 1.43) that the company has defined all the issues that it intends to address in the various communities in the SRA document. This objective, when clearly articulated, will prevent misunderstanding in terms of project execution. It will make everybody aware of the projects the company intend to implement and this will serve as a guide for the community members to monitor the company's SRA activities.

Again, the company has set for itself in the social responsibility agreement an objective to ensure sustainable community development. About 71% of the respondents perceived that this objective has been moderately (mean = 3.33, SD =

1.43) achieved. This objective enjoins the mining company to ensure that they make the necessary investment in the mining communities to ensure that future generations are not short-changed in terms of their ability to meet their own needs. Since gold is non-renewable resource, it is important that while current generation are benefiting from it, they should make conscious effort to invest in other sectors of the economy that will serve as a spring board to catapult future generations to meet their needs too (Brereton, 2003; Dubiński, 2013; World Business Council for Sustainable Development, 2000).

The objective that most respondents least agreed on has to do with the provision of local employment for the local people. Less than half of the respondents (43.9%) perceived to a moderate extent (mean = 2.67, SD = 1.57) that the company comply with the provision of local employment for the people in the local community. The respondents were of the view that the company does not adhere to the tenets in the agreement. They claim most of the people employed by the mines are not from the local community. However, the company's records prove otherwise.

The SRA further stipulates that the company will source 35% of its workers from the mining communities. Current records, however, indicate that 50% of the workers at the mines are from the catchment communities. The company has reserved all unskilled labour for the local communities while skilled and semi-skilled labour are opened to every Ghanaian as stipulated in the local employment agreement. A key informant confirms that the local people who go through the company's skills and apprenticeship programme stand a high chance of securing

skilled and semi-skilled jobs from the mining company. Thus, the seemingly low agreement of achievement of the employment agreement expressed by community in contrast to the records is as a result of high expectation of the local people for employment. The fact is, the mine is the only company in the community hence demand for employment is always huge and daunting. Notwithstanding, the records show that the mining company has created a number of indirect jobs in the community.

Effectiveness of Governance of the Social Responsibility Agreement

Table 9 present the results on the effectiveness of the governance of the SRA. The result has been divided into social responsibility forum, sustainable development committees and complaint resolution committees. On SRF, the respondents perceived to moderate extent (mean= 3.36, SD= 1.40) that it has been effective in its operations. Additionally, the results show that the majority of the respondents (74.7%) perceived that the social responsibility forum has been moderately effective (mean = 3.40, SD = 1.40) in discharging its oversight responsibility of steering the implementation of the SRA. Few respondents were of the view that the Social Responsibility Agreement Forum has failed to ensure that mine affected persons are adequately compensated. These are typified by the following comments by some members of Newmont Affected Farmers Association captured during the focus group discussions:

Farmers were compensated and displaced communities have been resettled, but the compensation was woefully inadequate. Again, the

resettled communities lack access to land for farming activities. They have to travel for about 10km to access land which poses a lot of stress on them. It will interest you to know that most of the people in the resettled community ended up using all the money paid them as compensation for transportation, and when the money finished, they could not continue the farming. The Social Responsibility Agreement Forum has failed us (NAFA1, personal communication, February 6, 2019).

Now, when we started the farm, they gave us a little amount of money. Later, they brought us some fertilizers to be used and that was all, we never heard from them again. Most of our farms are left in the bush. Now when someone leaves to Nkawkaw (10 km away) to buy a land, he doesn't even get money to make full payment to owners. Moreover, those who are unable to develop their land after six years are taken over by the land owners. Our leaders have failed us. They are not concerned about our welfare (FGD Respondent 3, February 6, 2019).

About 3/4 (72.6%) of the respondents perceived to moderate extent (mean= 3.32, SD= 1.42) that the Social Responsibility Agreement Forum take important decisions regarding the operations of the agreement. These important decisions include the development of the various communities and creation of opportunities for the people in the various communities. Again, 72.8% of the respondents also perceived that in terms of making rules to ensure implementation of the agreement the forum has been moderately effective (mean= 3.32, SD= 1.42) in discharging its duties.

Table 9: Respondents' Perception on Effectiveness of Governance of the SRA

Functions	F	%	Means	SD
The Social Responsibility Agreement Forum				
Oversight responsibility for implementing the agreement	357	74.7	3.40	1.40
Taking important decisions regarding the operations of the agreement	347	72.6	3.35	1.42
Making of rules to ensure smooth operation of the agreement	348	72.8	3.32	1.39
Overall mean			3.36	1.40
Sustainable Development Committee				
Initiation of project for the community	406	84.9	3.77	1.27
Properly supervising projects	349	73.0	3.48	1.41
Selection of projects that are relevant to the community	349	73.5	3.45	1.43
Collaborate with community members in selecting projects	352	73.6	3.44	1.47
Executing developmental projects in the community	363	75.8	3.43	1.37
Overall mean			3.51	1.39
The Complaint Resolution Committee				
Resolve any complaints that are referred to it	327	68.4	3.24	1.48
Mean of mean			3.37	1.42

Source: Field Data, Acheampong (2019) n=478

Means were calculated from a scale of 1= very less effective, 2= Less effective, 3= Moderately effective, 4= Very effective and 5 = Very much effective

The overall mean of 3.51 indicate that the respondents perceived that the SDCs have been moderately effective in discharging their assigned duties. About 85% of the respondents perceived that, the sustainable development committee has been very effective (means = 3.77, SD = 1.27) in discharging their role of initiating

project at the community level. Again, the majority of them answered in the affirmative that the sustainable development committee collaborate with the community members in selecting projects (73.6%) and as such they deemed most of the projects selected as very relevant to the community (73.5%). Getting the needed support is key in project implementation. When people are part of selecting the projects, they tend to own it and provide the needed support to ensure its execution (Dubiński, 2013). Also, participation in projects selection prevents unnecessary protest associated with project implementation (World Business Council for Sustainable Development, 2000). Last but not least, the respondents opined that the sustainable development committee ensures proper execution and supervision of sustainable projects in the community.

The results further show that the complaint resolution committee has been moderately effective (mean= 3.37, SD= 1.42) in its role of resolving conflict in the community. This is evident in conflict resolution regarding the dispute on compensation between the community and Newmont. In this case in question the affected persons in the community felt they were supposed to receive fifteen years compensation but were compensated for only one year whereas Newmont on the other hand believe all the necessary compensation have been paid to the farmers. This resulted in some unrest and tension within the community. In fact, this conflict was a major challenge that delayed data collection for three months due to the mistrust it generated among the stakeholders which had to be normalized before the data collection. Dealing with conflict of this nature is very complex and if not well handled it could jeopardize the long held peaceful relationship between the

community and the mining company. The complaint resolution committee was unable to resolve the conflict and was therefore referred to the traditional leaders for adjudication as the SRA process required. Interestingly, the traditional leaders could not also resolve the conflict hence had to be referred to the court. This pending issue which stretched to last resort of the conflict resolution process may have influenced the respondent's perception that the complaint resolution committee has been moderately effective in its role of conflict resolution.

The success of any economic, social and environmental project depends largely on good policies and institutions that are anchored on a well-developed governance structure that dwells on already existing structures such as one developed by Newmont Akyem mines (Department of Economic and Social Affairs, 2016; Go & Quijada, 2011).

Extent of Performance of Roles by Principal Stakeholders of the Social Responsibility Agreement

Table 10 presents the extent of performance of roles by principal stakeholders of the Newmont Akyem SRA development process. The stakeholders are categorized into Traditional leaders, community citizens, the mining company and its workers and the local municipal assembly. Overall, the respondents perceived that the traditional leaders have moderately (mean= 3.28, SD= 1.39) performed their assigned roles to the satisfaction of all stakeholders.

Table 10: Respondents’ Perception on Extent of Performance of Roles by Principal Stakeholders of the SRA

Roles	F	%	Means	SD
Roles of Traditional Leaders				
Receiving visitors enquiring about the company’s activities	429	89.7	3.94	1.12
Assisting to resolve conflict arising within the community	374	78.2	3.55	1.40
Assisting to resolve conflicts between the company and the community	338	70.7	3.33	1.48
Advising personnel from the company on issues relating to company-community relations	309	64.6	3.12	1.40
Supporting the company’s agricultural improvement programme (AILAP) through the provision of land to help restore people’s livelihood	207	43.3	2.47	1.56
Overall mean			3.28	1.39
Roles of the community and citizens				
Using community leaders as channels of communication with the company	425	88.9	4.04	1.22
Patronizing information centers to seek information	383	80.1	3.73	1.36
Attending meetings to get feedback from committees’ representatives on the various committees	384	80.3	3.67	1.39
Overall mean			3.81	1.32
Roles of the company and its employees				
Using community leaders as channels of communication with the community	423	88.5	4.01	1.19
Respecting normal protocols	372	77.8	3.65	1.35
Respecting the culture of the community	370	77.4	3.64	1.38
Honouring promises made to the local communities	189	39.5	2.28	1.41
Overall mean			3.40	1.33

Continuation of Table 10

Roles of the municipal assembly				
Assist to resolve any conflict arising within the community	312	65.3	3.03	1.44
Assist to resolve any conflict between the community and the company	302	63.2	3.00	1.46
Overall mean			3.02	1.45
Mean of means			3.38	1.12

Source: Field Data, Acheampong (2019) n=478

Means were calculated from a scale of 1= Very least extent, 2= Least extent, 3= Moderate extent, 4= Large extent and 5= Very large extent

The result in Table 10 indicates that majority of the respondents (89.7%) perceived to a large extent (means = 3.94, SD = 1.12) that traditional leaders receive visitors that enquire about the activities of the company. The visitors include government officials, foreign delegation, civil society organizations, the media, international organizations and non-governmental organizations. This is not surprising since traditional leaders are the custodians of the land, duty demands that visitors pay courtesy call on them whenever they visit their land. Customary rites in most communities in Ghana require that visitors seek permission from traditional leaders before they can carry out any activity in the local community (Crook, 2005). Failure to pay homage to traditional authority is considered an affront and would be dealt with severely by most communities.

Another important role of any traditional leader is conflict resolution. As human institution conflict is bound to occur. Traditional leaders are therefore, been tasked by the agreement to resolve all conflicts arising within the community and between the community and the mining company. About 78% of the respondents perceived to a large extent (mean = 3.55, SD = 1.41) that traditional leaders have

been very active in resolving conflict within the community. This is very positive since it will create a calm atmosphere for the mine to operate. In addition, peaceful environment promotes investment and development. Mining activities serve as catalyst for many developmental activities and these activities only thrive in a peaceful and conflict free environment (Bartra, 2007; United Nations, 2008).

About 70% of the respondents attest to the fact that the traditional leaders help to resolve conflict between the community and the mining company. They rated the performance of this activity as moderately effective (mean = 3.33, SD = 1.48). This probably was due to recent conflict between the company and the community which led to some injuries of some community members. Some of the respondents are of the opinion that traditional leaders have been disappointing them by always siding with the mining company. They claimed that instead of the traditional leaders leading them to fight for their right, they have neglected them. Most of the project affected persons and communities are of the view that the company has shortchanged them in terms of the compensation they received for their properties. Some also claim their buildings have developed cracks and the company is unwilling to fix it for them. This situation has created some tension within the community and this has led to most community members unwilling to attend Newmont Akyem related activities. Currently, the affected farmers have taken Newmont to court to demand what they call their due compensations. It is, however, gratifying to note that some attempt is being made to have the issue settle out of court. The Chief and other opinion leaders are in talks with the relevant factions in order to find an amicable solution to the problem at hand.

Out of the 478 respondents, 309 representing 64.6% perceived to moderate extent (means = 3.12, SD = 1.40) that traditional leaders advise the personnel from the mining company on issues relating to company-community relations. Since the chief and elders are within the community, they are the first point of call when an issue bothers any member of the community (Crook, 2005). The complaint received are used as the basis to advise the mining company on the appropriate steps to take to deal with the issue in order to foster peace and unity within the community.

Less than half of the respondents (207, 43.3%) moderately perceived (Means = 2.47, SD = 1.56) that traditional leaders support the company's agricultural improvement programme (AILAP) through the provision of land to help restore people's livelihood. This is especially so because the greater proportion of the community's land is in the mining concession thereby putting a lot of pressure on the few available acres of land. As one of the traditional leaders said during an interview: *we are willing to support the programme but there is no available land and so we are helpless* (Chief 2, personal communication, February 28, 2019).

Apart from the traditional leader, the community and its citizen have also been assigned special role to play in order to ensure peace and harmony within the community. Generally, the respondents perceived that the community and citizens have been very effective (mean= 3.81, SD= 1.32) in discharging the assigned SRA roles. Specifically, the community and its citizens are expected to use community leaders as channels of communication. Out of the 478 respondents interviewed, 425 representing 88.9% perceived to large extent (means = 4.04, SD = 1.22) that

community and its citizens use community leaders as channel of communication. Using community leaders as channel of communication brings some level of order in the society. It prevents confusion and its associated conflicts. The community leaders are mostly intellectually matured and are able to communicate the views of the people in such a way that the needed results will be attained. Left to some of the community members, they will attend to the issue with aggression and acrimony which can easily raise tempers and very simple issue can easily degenerate into conflict.

Furthermore, 384 respondents representing 80.3% perceived to a large extent (mean= 3.67, SD=1.39) that members of the community attend meetings to get feedback from committee representatives. This meeting is considered as very critical because it offers the general public the opportunity to seek clarification on issues bothering them. Such meetings also offer the company the avenue to inform the community members on intended programmes and activities to get their support.

Additionally, 80.1% of the respondents also perceived to a large extent (mean= 3.73, SD= 1.36) that they patronize the information centers to seek information and also send their petition to the company. The company uses the notice boards at the information centers to advertise job opportunity. Because of the teeming jobless youth in the community, they frequently visit the information centers to find out the availability of any relevant job opening. Most of the respondents attest that job opportunities are frequently posted on the notice boards at the information centers but the qualifications required are mostly beyond them,

thereby denying them the opportunity. In order to mitigate this problem, the company sponsors some of the youth to attend technical institutions to pursue training in mine related subjects in order to equip them with the relevant employable skills. Again, the company trains some of the youth in the community in the operations of heavy machinery and other mining equipment.

The agreement also specifies some roles for the company and its workers. The roles range from respecting the culture of the community, respecting normal protocols, using community leaders as channels of communication to honouring promises. Averagely, the respondents perceived to a moderate extent (mean= 3.40, SD= 1.33) that company and its employees perform their roles to the admiration of all stakeholders. The results further indicate that 423 respondents perceived to large extent (mean= 4.01, SD= 1.19) that Newmont Akyem Mines and workers use community leaders as channels of communication. In addition, 372 respondents also perceived to a large extent (mean= 3.65, SD= 1.35) that Newmont and its workers respect the established protocols that have been put in place to guide the relationship between the mining company and the local community. Respecting established protocols promote peace and mutual respect among partners in community development.

Again, 370 respondents perceived to a large extent that Newmont Akyem mines and workers respect the culture of the local communities within which they operate. Culture is very important and define the identity of a group of people. A company's failure to respect the culture of the community within which it operates can result in the withdrawal of the social license granted by the community. In line

with the legitimacy theory, companies are expected to operate within the norms, values and aspirations of the local communities in order to receive community endorsement for their operations.

Finally, 39.5% of the respondents perceived to least extent (mean= 2.28, SD= 1.41) that, Newmont Akyem Mines and workers honour promises made to the local communities. The promise has to do with employment. The community members are of the view that the company has not provided enough employment for the people in the community and that most of the jobs at the mines are given to people outside the community. However, employment statistics indicates that Newmont Akyem Mines has exceeded its target of providing employment to 35% of the community members to more than 50%. The employment agreement has it that all non-skills jobs will be given to locals whiles semi-skills and skilled jobs will be open to competitive application. This, therefore, suggests that the local people probably were not well briefed on the content of the local employment agreement. Another reason as explained by one key informant is that people were overjoyed at the presence of the company, hence failed to look for fine details in the agreement. Again, the issue of employment was not a key factor during the construction stage of the company since most the jobs at that stage required unskilled labour, hence most people from the communities were employed.

The district assembly which is government representative at the local assembly has some roles to perform. The assembly's role is in two folds: conflict prevention and resolution at the community and between the community and the company. More than half (65.3%) of the respondents moderately perceived (mean=

3.03, SD= 1.44) that the assembly has performed its conflict prevention and resolution roles to maintain peace within the community. Similarly, 63.2% of the respondents perceived to a moderate extent (mean= 3.00, SD= 1.46) that local assembly assist in resolving conflict between the local community and Newmont Akyem Mines to ensure a conducive atmosphere for mining operations. The District Chief Executive is the head of the district security which makes his role in conflict prevention and resolution inevitable. According to the respondents, the assembly has intervened on several occasions to prevent conflict in the mining communities.

The successful implementation of any agreement hinges largely on the ability of all relevant stakeholders to play their role and abide by the principles that underpin the agreement (World Business Council for Sustainable Development, 2000). Assigning roles to stakeholders is the sure way to encourage full participation, collaboration and partnership between the parties (Devas & Grant, 2003).

Effectiveness of Participation and Transparency Management in the Social Responsibility Agreement

Table 11 presents results on company-community participation and transparency management as enshrined in the Newmont Akyem Social Responsibility Agreement. According to the agreement there should be an establishment of Newmont Development Foundation to fund sustainable projects. Generally, the respondents attest that participation and transparency management

of the SRA has been moderately effective (mean= 3.29, SD= 1.37). All the respondents (94.1%) except 8 said the foundation has been established and has been very effective (means= 4.10, SD= 1.27) as an instrument for implementing sustainable projects in the various communities. Development foundations are very effective as sustainable means of funding community development projects (Sarkar, Gow-Smith, Morakinyo, Frau, & Kuniholm, 2010). Most of the respondents (83.5%) also attested that the development foundation has been very effective (mean= 3.89, SD= 1.33) in providing funds to finance projects in the various catchment communities.

Table 11: Respondents’ Perception on Effectiveness of Participation and Transparency Management in the SRA

Activities	F	%	Means	SD
Establishment of Newmont Development Foundation to found sustainable projects	450	94.1	4.10	1.27
Specification of sources of funds to the foundation to be captured in the agreement	399	83.5	3.89	1.33
Resolve conflict through dialogue	357	74.7	3.40	1.39
Build the capacity of the various committee members on conflict management	268	56.1	2.87	1.48
The community participating in the company’s social impact monitoring programmes	263	55.0	2.77	1.38
The community participating in the company’s environmental impact monitoring programmes	254	53.1	2.72	1.39
Overall mean			3.29	1.37

Source: Field Data, Acheampong (2019) n=478

Means were calculated from a scale of 1= Very less effective, 2= Less effective, 3= Moderately effective, 4= Very effective and 5= Very much effective.

The foundation has its own secretariat and its activities are totally detached from the Newmont Akyem Mines. According to the agreement, for every ounce of gold mined, one dollar goes into the account of the development foundation. Also, the company contributes 1% of its annual gross profit to the foundation. According to International Finance Corporation (2015), the success of any development foundation depends largely on identification of reliable and regular funding sources. Explaining further, Sarkar *et al.* (2010) opined that establishment of development foundation is purely voluntary and as such if funding sources are not well streamlined companies are likely to renege on their responsibility towards the development of catchment communities.

The agreement also stipulates that when conflict arises it should be resolved through dialogue. The majority of the respondents interviewed (74.7%) confirmed that using dialogue has been moderately effective (mean= 3.40, SD= 1.39) for resolving conflict between the company and the community. However, in some few instances dialogue could not be used to resolve conflict between the parties. This could possibly be due to the fact that one of the party's was not satisfied with the outcome of the various dialogues to resolve issues.

The results in Table 11 further indicate that little above half (56.1%) of the respondents perceive that training of committee members on conflict management has been moderately effective (means= 2.87, SD= 1.48). Since the committee members lived within the community, they could easily detect early warning signs and devise appropriate strategies to nip the issue before it degenerates into a potential conflict. According to Warner (2000), building the

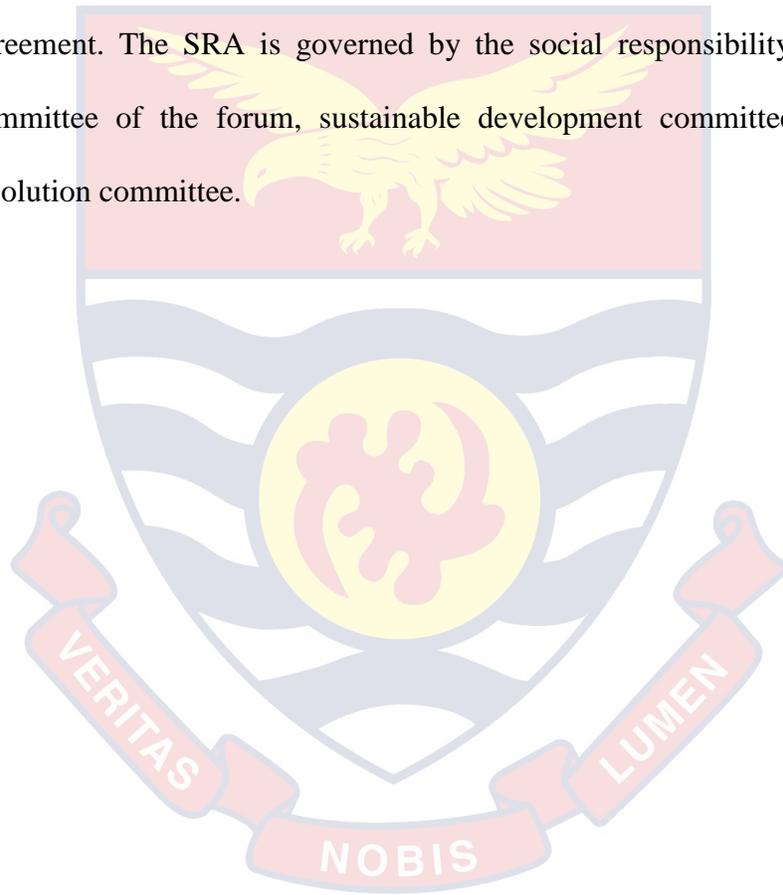
capacity of members in project committee is the surest means to deal with conflict in communities.

For the sake of transparency, the company has instituted a policy of involving the community in its social and environmental impact monitoring programmes. However, these strategies have been perceived as least effective. This result is due to the fact that Newmont Akyem impact assessment is mostly done by experts and leaders of the community and hence most people might not be aware of what goes on as far as impact assessment is concerned. One of the pillars of good governance is community participation due to its positive impact on transparency, accountability and sustainable community development (Mwiru, 2015).

Chapter Summary

The Newmont Akyem Social Responsibility Agreement (SRA) was developed through a complex process with Newmont Akyem Mines, the local authority and the affected communities as key stakeholders. The SRA went through the process of consultation and deliberation, formalization, implementation evaluation and review of the agreement. Research, conflict resolution and monitoring played key role in the SRA development process. The process was aimed to promote peace, harmony and to ensure mutual sustainable development for the mines and the community. As part of the SRA process three key agreements were developed: relationship agreement, development funding agreement and local employment agreements to guide the implementation of the SRA. The study

identified the benefit of improved community and social license to operate as the main drivers of SRA in mining communities. SRA provided opportunity for community members including the local authority to take part in decisions regarding the mining that affect the community. The roles of stakeholders such as traditional leaders, local community, the company and the local assembly has clearly been spelt out in the agreement in order to streamline the operations of the agreement. The SRA is governed by the social responsibility forum, standing committee of the forum, sustainable development committees and complaint resolution committee.



CHAPTER FIVE

COMMUNITIES PERCEPTION OF MINING COMPANY'S SOCIAL RESPONSIBILITY AGREEMENT IMPLEMENTATION

Introduction

The study used Carroll's (1991) Corporate Social Responsibility Model to examine the corporate social responsibility practice of Newmont Akyem Mines. According to Carroll (1991), corporate social responsibilities of companies could be categorized into four dimensions. These are economic, legal, ethical and philanthropic responsibilities. The following sections of the chapter present and discuss the perception of mining communities along the four dimensions.

Perception on Economic Dimension of the SRA Implementation

Table 12 presents the results on respondents' perception on the economic dimension of SRA implementation. In general, the study shows that respondents moderately agreed (mean=3.28, SD= 1.30.) that SRA makes the mining company responsible in economic dimensions. This means that Newmont Akyem Mines operate in a manner to achieve the economic benefits of the company and the local community. In details, the respondents highly agreed on three main economic issues, which are payment of royalties, reasonable salaries and making of profit for shareholders. The results showed that the greater majority (95.8%) of respondents very much agree (mean= 4.6, SD= 0.86) that the mining company pay the required

royalties to the traditional leaders of the various communities. Traditional leaders are the custodians of the land and by the regulations (Crook, 2005), the mining company is to pay them royalties. Moreover, whenever there is conflict, the company resorts to the council of the traditional leaders for resolution hence they cannot afford not to pay them their entitlement.

Table 12: Respondents' Perception on Economic Dimension of SRA Implementation

Economic Responsibilities	F	%	Means	SD
Newmont pay royalties to traditional leaders	458	95.8	4.63	0.86
Newmont workers receive reasonable salary to maintain reasonable quality of life	438	91.6	4.16	1.08
Newmont is committed to making profit for shareholders	360	75.3	3.62	1.48
Newmont makes investment to create a better life for future generations	248	51.9	2.78	1.52
Newmont has improved the lives of the community members	263	55.0	2.76	1.34
Newmont makes investments to create employment opportunities for future generations	241	50.4	2.71	1.53
Newmont employs members of this community	182	38.1	2.33	1.28
Overall mean			3.28	1.30

Source: Field Data, Acheampong (2019) n=478

Means were calculated from a scale of 1= Very less agree, 2= Less agree, 3= Moderately agree, 4= Much agree and 5= Very much agree

Out of the 478 respondents, 438 of them representing 91.6% much agree that the company pays reasonable salary to its workers in order to maintain quality

of life. Adequate compensation to workers is very critical for any organization. When workers perceive that they are not remunerated well they can adopt many kinds of behaviour to thwart the effort of the company (Vance, 2006). Mining is a very technical enterprise and very capital-intensive venture as a result, mining companies try as much as possible to remunerate workers appropriately in order to keep them motivated so they can continue to give off their best (Kuranchie-Mensah & Amponsah-Tawiah, 2016).

About three quarters (75.3%) of the respondents much agree (mean= 3.61, SD= 1.48) that the mining company is much committed to making profit for its shareholders. Profit making is the foundation of every organization because it supports all other activities and efforts of the organization (Carroll, 1991). Again, profit remains the principal motive for most people to invest in a company. This is corroborated by the assertion of Michelin *et al.* (2013) that profit motive is the primary incentive for most entrepreneurs. In supporting this point, Kemper, Schilke, Reimann, Wang, & Brettel, (2013) are of the view that businesses should be able to maintain high level of operating efficiency so that shareholders can be remunerated accordingly. A study by Fadun (2014) in Nigeria Niger Delta also found profit for shareholders as the main economic reason for the existence of extractive industries. Again, Mzembe and Downs (2014) study on Paladin Mines in Malawi confirms that profitability remains the principal economic motive for most mining firms. However, Barnett (2007) warned that business should not focus too much on making profit for their shareholders at the expense of the community within which it operates.

About half (51.9%) of the respondents moderately agree (mean= 2.77, SD= 1.51) that the company makes some investment to create a better life for future generations. Mineral resources are non-renewable hence proceeds from it should be invested well so that future generations can also benefit (Dubiński, 2013). Mining companies provide public service in the area of education, health, afforestation, infrastructural development, business support among others in order to make the life of future generation better (Kolk 2016).

The least agreed area was the provision of employment by the company. About 50% of the respondents moderately agree (mean= 2.71, SD= 1.53) that the company has made some investment in the community to create employment opportunities for future generation. Furthermore, considerable percentage (38.1 %) less agree (mean.2.33, SD= 1.28)) that they get employed by the company. As presented and discussed in chapter five, the mining company has invested in local businesses such as oil palm processing, training of some youth in apprenticeship (dressmaking, hairdressing, auto mechanic and operation of heavy-duty machines among others). All these were supposed to equip them with some skills which they could depend on in the absence of the mines. An interview with an opinion leader in the community indicated that during the construction phase of the company many people from the community were employed since such works required unskilled labour. However, as the company entered into actual production phase which requires high skilled labour most of the local people were laid off. The company always advertised new job openings at the community information centers in its catchment area. The company policy was to give the local people the first

opportunity if they qualify. Unfortunately, most of them lacked the relevant skills to take advantage of the opportunities that come up.

These results on the economic responsibilities generally agree with the findings of Mzembe and Downs (2014) that responsible mining companies make more profits, pay taxes and royalties, provide employment to local people and stimulate indigenous businesses. Barnett (2007), however, warned that firms should not over-concentrate on economic performance at the expense of stakeholders since this could spell doom for the organization. Thus, Dandago and Arugu, (2014) cautioned mining firms to balance economic responsibility with other responsibilities, as failure cause cause serious economic and social damage to the company.

Perception of Legal Dimensions of the SRA Implementation

Table 13 presents the results of the respondents' perception on legal dimensions of the SRA implantation. Generally, the respondents moderately agreed (mean=3.12, 1.46) that SRA makes the mining company legally responsible. This means that the mining company adheres to the legal requirements in its operations. In more detail, the results indicate that 73.4% of the interviewees moderately agree (mean= 3.4, SD= 1.4) that the company performs in a manner that protects plants and animals. Forestry Commission enjoins mining companies to protect plant and animals. To protect wildlife, they are forbidden from using chemicals and avoid activities that will endanger their life. They also have to scare the animals away during blasting so they can spare their life. Moreover, the mining company has

some buffer zones in its concession purely reserved for wildlife. Hunting and fishing are also prohibited in the mining concession. The company also engages in tree planting and other activities to reclaim degraded land.

Table 13: Respondents’ Perception on Legal Dimension of SRA Implementation

Legal Responsibilities	F	%	Means	SD
Newmont performs in a manner that protect plant and animals	351	73.4	3.43	1.42
Newmont comply with the mining regulations	349	73.0	3.36	1.33
The company observing the laws of Ghana regarding access to land.	339	70.9	3.33	1.47
Newmont is a law-abiding corporate citizen	329	68.8	3.13	1.43
The company observing the laws of Ghana regarding compensation	304	63.6	3.07	1.52
Newmont provide equal opportunities for all its workers	285	59.6	3.04	1.43
Newmont protect the water bodies	283	59.2	3.02	1.57
Overall Means			3.12	1.46

Source: Field Data, Acheampong (2019)

Means were calculated from a scale of 1= Very less agree, 2= Less agree, 3= Moderately agree, 4= Much agree and 5= Very much agree.

The findings from the study also showed that 73% and 70.9% respectively of the respondents moderately agreed that the mining company’s operations is consistent with mining regulations and laws of Ghana regarding access to land and compensation. About 70% also moderately agreed (mean= 3.13, SD= 1.43) that the

company is law abiding corporate citizen and also protects water bodies by preventing spillage of harmful chemicals into water bodies. Respondents at focus group discussions at Amanfrom unanimously attested that they have not experienced contamination of water bodies since the operations of the company. Some of the respondents, however, expressed concerns of the possible pollution of underground water. They testified that sometimes when they fetch water from boreholes it looks dark which in their opinion may be a possible contamination of the underground water. This assertion of dark underground water was also confirmed by an official of Newmont Akyem Mines but was quick to add that a consultant has been hired to research into the problem and recommend possible remedy.

Close to 60% of the respondents moderately agreed (Mean= 3.04, SD= 1.43) that the company adheres to the laws of National Labour Commission by giving equal opportunity to everybody in terms of employment. They continue that the company did not discriminate between tribes, sex, nationality nor disability. People were selected purely based on merit. Newmont is a multinational company and issues of human right especially discrimination against people can have a dire consequence on their operations globally. It can easily affect the interest of shareholders in the company. These findings are in line with other studies (Dobers & Halme, 2009; Falck & Heblich, 2007; Fombrun, Gardberg, & Barnett, 2010; Michelon *et al.*, 2013) which state that businesses should always comply with legal regulations in order to have a peaceful environment to operate. Mining activities pose threat to the social and environmental aspects of the society and as such

require some laws for effective regulations (Enuah & Eneh, 2015; Mzembe & Dawns, 2014). According to Mzembe and Dawns (2014), firms meet their legal obligations when they operate within the ambient of the laws and regulations governing their activities.

Perception of the Ethical Dimension of the SRA Implementation

The perception of the respondents on the ethical responsibility of the company was elicited as presented in Table 14. Generally, the respondents barely moderately agreed (Mean 2.90, SD= 1.47) that SRA makes the mining company ethically responsible. This means that the company operates in a manner that is expected by the society. Specifically, the results show that 70.1% of the respondents moderately agree (mean= 3.19, SD= 1.39) that the company sees it as their ethical responsibility to help government in solving social problems. This shows that the company recognizes its role as a development partner hence, beyond its economic and legal obligations they are also committed to assisting the state to meet the teeming needs of the society.

An interview with an opinion leader in the community revealed that government contribution to the social needs of the community has dwindled since Newmont started its operations. Additionally, 306 respondents representing 64% moderately agreed (mean= 3.15, SD= 1.55) that the company is highly respected and is also trustworthy. They argue that the company has earned the trust and respect of the community due to its contribution to the needs of the society. Unfortunately, recent misunderstanding between the community and the company

put the trust and respect for the company in jeopardy. It is the ethical responsibility of the company to use appropriate mechanisms to tackle the issue at hand before their trust and respect is completely eroded. Trust and respect are intangible assets for every organization and must do whatever it can to protect it (Gaultier-Gaillard & Louisot, 2006).

Table 14: Respondents’ Perception on Ethical Dimension of the SRA Implementation

Ethical Responsibility	F	%	Means	SD
Newmont tries to help the government in solving social problems	337	70.1	3.19	1.39
Newmont is respected and trustworthy	306	64.0	3.15	1.55
Newmont targets sustainable growth which considers future generations	266	55.6	2.90	1.51
Newmont treat stakeholders with respect	254	53.1	2.84	1.43
Newmont is living peacefully with the community	256	53.6	2.80	1.57
The mine is concerned with the protection of wide range of stakeholders’ interest	203	42.5	2.54	1.34
Overall Means			2.90	1.47

Source: Field Data, Acheampong (2019) n=478

Means were calculated from a scale of 1= Very less agree, 2= Less agree, 3= Moderately agree, 4= Much agree and 5= Very much agree.

The company is mindful of the needs of the future generation; hence it is their ethical responsibility to make the necessary investments that will supports them. To this end, more than half (55.6%) of the respondents positively responded that the company is investing in education, health, culture among others which will benefit both current and future generations. Interview with the management of the

company indicates that, they are going to establish a technical institute and fruit processing factory to serve as a lasting legacy in the community.

The respondents also answered that the company treat stakeholders with respect and it is more concerned with the protection of wide interest of the various stakeholders. The wide interest of stakeholders poses a lot of challenges to companies.

According to Crane and Matten, (2010) and Ghillyer (2012), businesses have some rights and responsibilities and should perform their activities in a manner that is consistent with the expectations of the community. Moreover, Carroll and Shabana, (2010); Neville and Menguc (2006) opined that businesses should recognize the present and emerging needs of the society and design proactive programmes to responds to such needs. They continue that while businesses are pursuing the economic goals of their organizations, they should not compromise their ethical norms. Compromise on the ethical norms can eroded all the economic gains of the organization (Carroll & Shabana, 2010).

Perception of Philanthropic Dimension of the SRA Implementation

The results of the respondent's perception of the philanthropic responsibility of Newmont Akyem Mines are presented in Table 15. Generally, the respondents moderately agreed (mean= 2.56, SD= 1.37) that SRAs make mining companies philanthropically responsible to the society. Philanthropic responsibility of companies involve making voluntary contribution in kind and cash towards the good cause of society. Specifically, the results show that the majority of the

respondent (77.4%) moderately agreed (mean= 3.41, SD= 1.27) that Newmont Akyem Mines willingly contributes resource to help in the development of the community. It came to light during an interview with an officer of mines that, the company makes donations to support projects that are not within the remit of the agreement. According to the officer, the New Abirem Government Hospital has received tremendous support from the mines. In addition, the company occasionally supports developmental projects of neighbouring communities.

Table 15: Respondents’ Perception on the Philanthropic Dimensions of SRA Implementation

Philanthropic Responsibility	F	%	Means	SD
Newmont contribute resources to the community	370	77.4	3.41	1.27
Newmont voluntary support projects that enhance community’s quality of life	275	57.5	2.90	1.55
Newmont performs in a manner consistent with the philanthropic expectations of the society	249	52.1	2.67	1.42
Newmont supports nongovernmental organizations	238	49.8	2.53	1.28
Newmont is responsive to the needs of the community	244	51.0	2.53	1.34
Overall Means			2.56	1.37

Source: Field Data, Acheampong (2019) n=478

Means were calculated from a scale of 1= Very less agree, 2= Less agree, 3= Moderately agree, 4= Much agree and 5= Very much agree.

Again, more than half of the respondents (57.5%) moderately agreed (mean=2.90, SD= 1.55) that the company voluntarily support projects that enhance community’s quality of life. This hinges on the premise that the company also

benefits from supporting such projects. For instance, if they support road project, they also use their cars on such roads. This implies that their willingness to support such projects is not only based on the benefits the community members seek to obtain, but they also consider their own benefit.

About half of the respondents moderately agree (mean= 2.67, SD= 1.42) that the company performs in a manner that is consistent with the philanthropic expectations of the society. The communities believe that the company commands a lot of resources and for that matter financial resources and as such are expected to make enough philanthropic contributions towards the benefits of the society. This philanthropic gesture of the company comes in the form of donations to schools, hospitals and churches during fund raising activities. It is also seen in the areas of donations to the orphanages and children homes, organizing health screening exercise for the community, paying the hospital bills for the needy among others. Notwithstanding, this philanthropic gesture improves the image of the organization as it helps to win more public support.

About half of the respondents moderately agrees (mean= 2.53, SD= 1.28) that the company supports Non-Governmental Organizations to carry out their developmental activities. There are several needs of the community and the company alone cannot respond to such needs. They therefore see the activities of NGOs as complementing their efforts hence merit their support.

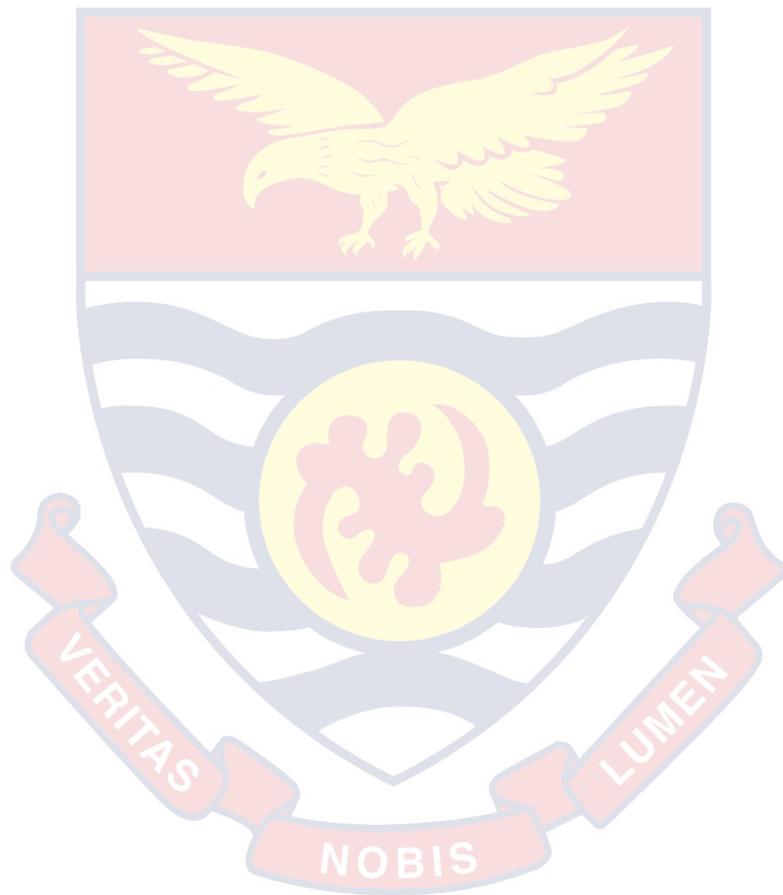
Comparing the overall means of 3.28, 3.12, 2.90 and 2.56 for economic, legal, ethical and philanthropic responsibilities respectively for SRA, it shows that respondents perceived the company to be paying more attention to the economic

responsibility than the others. This is probably because that is the core mandate of all businesses. From the results, it is clear that less attention is given to the philanthropic responsibility of businesses. Philanthropic responsibility is not obligatory for business hence it is not surprising that it is the least supported among the four dimensions. These results corroborate the findings of Fadun (2014) where respondents perceived that extractive industries pay more attention to their economic goals than their philanthropic responsibility. In order to meet the philanthropic responsibility of companies, Fadun (2014) encourage mining firms to voluntarily contribute resources to promote the wellbeing of society. Thus, mining companies meet their philanthropic obligations by willingly supporting social and community projects (Carroll, 1979, 1991; Blowfield & Frynas, 2005; Mutti *et al.*, 2012; Mzembe & Dawns, 2014).

Chapter Summary

The results of this chapter showed that Newmont Akyem Mines is perceived by the catchment communities as fairly committed to economic, legal, ethical and philanthropic dimensions of SRA implantation. The company's adherence to the economic dimensions of the SRA is manifest in the areas of payment of royalties, fair compensation to workers and creation of investment opportunities. Legally, the company operates within the mineral commission's regulations regarding mining. On ethics, the company partners with government to improve the conditions of mining communities. The company makes voluntary contributions to support

activities and programmes that have impart on social and economic lives of the people in the local community.



CHAPTER SIX
PERCEIVED SOCIAL RESPONSIBILITY AGREEMENT OUTCOMES
AMONG MEMBERS IN THE MINING COMMUNITIES

Introduction

This chapter presents the perceived outcomes of the Newmont Akyem Social Responsibility Agreement in terms of its perceived contribution to sustainable community development, improvement in socioeconomic status and improvement in livelihood outcomes. The contribution of the SRA towards sustainable community development has been categorized into education, health, environment, water and sanitation, youth and sports, agriculture, cultural heritage and business support.

Support for Improvement in Education

Table 16 presents the results of education related projects by Newmont that is aimed at improving education in the study area. The results show that 446 respondents representing 93.3% much agree (mean= 4.36, SD= 1.01) that the mining company provides scholarship opportunities to students in the community. The scholarship scheme provides support to students in the secondary and tertiary institutions. This is aimed at building the capacity of future generation in the relevant fields so they could confront whatever challenge that comes their way. Some of the respondents were worried that candidates who score aggregate 24 and

above are not rewarded with scholarship. They were of the view that the poor people who really need this scholarship are unable to access it because they cannot afford the fees of private schools where candidates always perform better.

The scholarship is mostly given to wards of people who are capable of paying at the neglect of the needy. Since not all people are endowed with the intellectual capability to go through formal classroom education, 84.9% of the respondents much agreed (mean= 3.96, SD= 1.26) that the company has instituted programmes to train those who are unable to go through formal education through apprenticeship training. The study found out that a number of people in the community have benefited from apprenticeship programme in dressmaking, hairdressing, auto mechanic and operation of heavy-duty machines. All these activities are aimed at giving the people the necessary skills so they can create job for themselves in the future.

More than 70% of the respondents much agree that the company has invested in the provision of educational infrastructure through the renovation of old school blocks, building of new school blocks (mean= 3.65, SD= 1.48) as well as providing materials such as cement and iron sheets for construction of school blocks (mean= 3.63, SD= 1.44). Proper educational infrastructure provides the conducive and very supporting atmosphere for proper academic work to thrive.

Table 16: Respondents’ Perception on Support for Improvement of Education

Educational Support	F	%	Means	SD
The company provides scholarship beneficiaries to students in the community	446	93.3	4.36	1.01
The company runs apprenticeship programmes to train local people each year	406	84.9	3.96	1.26
The company has renovated old school blocks in this town	364	76.2	3.65	1.48
The company provides material assistance for construction of new schools and renovation old school blocks	365	76.4	3.64	1.44
The company provides the community new schools blocks	352	73.6	3.61	1.54
The company donates learning materials such as books to schools in the community	267	55.9	2.86	1.58
The company provides schools with computers and accessories to promote computer literacy in the community	235	49.2	2.65	1.50
The community has benefited from construction of teachers’ bungalows	79	16.5	1.66	1.27
The company has constructed a library for the community	47	9.8	1.36	0.93

Source: Field Data, Acheampong (2019) n= 478

Means were calculated from a scale of 1= Very less agree, 2= Less agree, 3= Moderately agree, 4= Much agree and 5= Very much agree.

A little above half (55.9%) of the respondents moderately agree (means= 2.86, SD= 1.58) that the company provide teaching and learning material such as books, pens, pencils and mathematical sets to the schools in the community. Teaching and learning materials are very critical in ensuring effective teaching and learning and as such infrastructure provision without the needed teaching learning materials cannot promote effective teaching and learning. It must be stated that these facilities are occasionally donated to the schools to support teaching and learning. It is not something that is done every academic year so parents and guidians still have to support their kids by providing them with the required teaching and learning materials.

Close to half (49.2%) of the respondents moderately agree (mean= 2.65, SD= 1.60) that the company provides schools with computers and accessories to promote information communication literacy in the community. Information communication technology education is the order of the day. Any educational support without the incorporation of ICT education is incomplete and will lead to training of graduate who will find it difficult to match with their peers elsewhere.

Only few respondents answered in the affirmative that the company has contributed towards provision of accommodation for teachers (16.5%) and construction of libraries for schools (9.8%). Accommodation for teachers is very paramount in educational support. Without good accommodation teachers will not be in the right frame of mind to impact positively on their students. Again, library facilities are required in order to develop reading habit in the school children which in the end helps to improve on their comprehension, composition and vocabulary.

It was found that the mining company does not want to take all the responsibility of the government by providing all the education needs of the communities. To confirm this point, an opinion leader interviewed indicated that government, through the district assembly, has constructed a number of teachers' accommodations for some communities. He continues that some communities have also benefited from the construction of library facility. The study further found out that the educational facilities are not located in all the towns but are provided for communities who urgently need them. These findings were corroborated by a statement during focus group discussion and key informant interviews.

The company has put up school building in almost every community. Had it not been the company we had no proper school in our District. As a result of the company's scholarship programme many children in this community have been able to attain secondary and tertiary education. Through Newmont, our district has been ranked among the top performing district in the Region. Their support for education is very monumental (Farmer 2, personal communication, February 28, 2019).

These findings are in line with Kolk (2016) view that mining companies provide public services in the areas of education, health, social amenities and support for culture and recreation. In terms of social support, mining companies contribute towards the provision of educational and health facilities, support sporting and cultural activities in their catchment communities (Brew *et al.*, 2015; Fadun, 2014; Mzembe & Dawn, 2014; Viveros, 2016). The findings, however, contradict that of other authors Auty & Warhurst (1993); Gamu *et al.* (2015) and

Sachs & Warner (1999) who reported that there is a negative correlation between mining and economic growth. They argue that artisanal mining contributes to economic growth at the local level while large scale mining increase poverty in mining communities. A careful analysis indicates that in such instances those mining companies do not have any plan policy such as establishment of development foundations to champion sustainable development projects.

Support for Health Improvement

The results of health-related activities of the company are presented in Table 17. About 56% of the respondents interviewed moderately agree (mean= 3.00, SD= 1.67) that the company has contributed to the promotion of quality healthcare delivery through building of healthcare centres in the catchment communities. The provision of the healthcare facility is not only to the benefit of the community but to the benefit of the company and its workers and their relatives. Apart from this, about half (49.2%) of the respondents moderately agree (mean= 2.67, SD= 1.55) that the company supports in the areas of organizing routine health screening for the members in the community. Similarly, 207 representing 43.3% of the respondents less agree (Mean= 2.42, SD= 1.48) that the company supports the communities in controlling malaria.

Table 17: Respondents’ Perception on Support for Improvement of Health

Health Support	F	%	Means	SD
The company has built healthcare centres in the community to promote healthcare delivery	267	55.9	3.00	1.67
The company organizes routine health screening for the members of the community	235	49.2	2.67	1.55
The company provides malaria control programmes to fight malaria in this community	207	43.3	2.42	1.48
The company has constructed nurses/doctors’ quarters for the community	139	29.1	2.10	1.59
Some members of the community have benefited from free health insurance registration	126	26.4	1.81	1.26
The company occasionally pay medical bills for the needy	39	8.2	1.32	0.79

Source: Field Data, Acheampong (2019) n=478

Means were calculated from a scale of 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree

The routine health screening is very relevant in the mining communities since some of their activities are injurious to human welfare. Especially the dust from the mining operations is a potential source of lungs and other respiratory related diseases (Aragón & Rud, 2016; Rau, Loreto, & Sergio, 2013; von der Goltz & Barnwal, 2014). The routine health screening has the potential of revealing health warning signs for early treatment. This result is at variance with Brew *et al* (2015) who reported in their studies the frustration of their respondents for lack of routine health screening by mining companies. They reported that those who live close to the mining operations are the ones who complain most about lack of routine

health screening by mining companies. The results of this study could be as the results of the appropriate mechanisms that have been put in place by both the community and the mining company as enshrined in the social responsibility agreement. Malaria seems to be a major problem in many mining communities (Brew, *et al* 2015) as a result of the open mining practiced by most mining companies. Because mining activities seem to contribute to breeding of mosquitoes and for that matter malaria, the onus lies on the company to assist in its control. The company's malaria control programme lies in the areas of educating the people, provision of mosquito treated nets and support of the various health facilities' malaria control programmes.

Twenty nine percent of the respondents less agree (mean= 2.10, SD= 1.59) that the company has contributed in the area of construction of nurses/doctors' quarters for the community. Accommodation for health workers has become a major headache for a number of healthcare facilities. Decent accommodation puts health workers in the right frame of mind to deliver quality services to people. About a quarter of the respondents acknowledge that the company contributes in registering people on national health insurance scheme. Again, only 8.2% of the respondents attest to the fact that the company occasionally pays medical bills for the needy. This is not surprising since paying of medical bills is not done publicly and as such most people might not be aware, except those who receive such assistance and their close acquaintances.

Further interrogation during key informant interviews and focus group discussions showed that the healthcare facilities are not necessarily located in all

the towns but are mostly placed in a central location where most people can access. For instance, the company has constructed a healthcare facility at Adausena which can conveniently serve people from Hweakwae, Ntronang and Amanfrom. They have also done a lot of expansion work at New Abirem Hospital so it can take care of the health needs of the people of Old and New Abirem, Mamanso and Afosu. The finding of the company's health support is evident in the following statement of respondent:

Newmont has contributed to upgrading of New Abirem health center to a district hospital. Now most major surgeries are done at the New Abirem Government Hospital with few referrals to Nkawkaw Government Hospital. When you go to New Abirem Government Hospital, most of the buildings and machines were provided by Newmont (Health Personnel, New Abirem Government Hospital, personal communication, January 25, 2019).

Support for Improvement of the Environment

Table 18 presents the respondents opinion on the contribution of the company toward the sustainability of the environment. The results show that out of the 478 respondents interviewed, 257 representing 53.8% moderately agree (mean= 2.88, SD= 1.64) that the company embarks on afforestation programmes in order to restore the natural ecology of the community.

Table 18: Respondents’ Perception on Support for Improvement of the Environment

Environment Support	F	%	Means	SD
The company embarks on afforestation programmes	257	53.8	2.8766	1.64050
The company is concerned with environmental issues in this community	268	56.1	2.7071	1.31990
The company reclaimed degraded lands	140	29.3	2.2322	1.49017

Source: Field Data, Acheampong (2019) n= 478

Means were calculated from a scale of 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree

Improvement in the environment is at the heart of ensuring sustainable development (Philip & Pittman, 2009). Planting of trees reduces the negative impact of noise, fumes and dust on the health of the people of the community. It also restores the aesthetic appeal of the environment (Salmond *et al.*, 2016). It is also worth noting that embarking on afforestation is legal requirement imposed on mining companies by the Forestry and the Minerals Commissions. The results also indicate that 56.1% of the respondents indicated that the company is concerned about the environmental issues in the community. This is clearly seen in the support for clean-up campaigns, protection of water bodies, conservation of natural flora and fauna by the mining company. Environmentally, mining activity is very destructive to the flora and fauna and can also contaminate both surface water and underground water (Viveros, 2016). This therefore requires mining companies to deliberately put up measures to lessen their negative environmental impact. About

30% of the respondents less agree (mean= 2.23, SD= 1.49) that the company reclaimed degraded lands. The mining sites is security zone and not accessible to many people hence most of them are unable to confirm whether the degraded lands are reclaimed or not.

Support for Community Water and Sanitation

Table 19 presents the results of the mining company’s activities in the areas of community water and sanitation improvement. Out of the 478 respondents, 275 representing 57.5% moderately agree (means= 2.94, SD= 1.50) that the company provides the communities with good drinking water. Mining activities has the greatest potential of polluting source of drinking water. Mining companies are obliged to provide good drinking water for the people in operational communities in order to prevent them from drinking from contaminated source of water. Although the company is doing its best to protect water bodies, they are also conscious of the possibility of spillage into water bodies. Moreover, the company and its staff also benefit from the provision of good quality source of drinking water.

Table 19: Respondents’ Perception on Support for Community Water and Sanitations Programmes

Water and sanitation support	F	%	Means	SD
The company provides good drinking water to the community	275	57.5	2.94	1.50
The company has provided a place of convenience for the community	196	41.0	2.35	1.56

Source: Field Data, Acheampong (2019) n= 478

Means were calculated from a scale of 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree

The findings also indicate that 41% of the respondents less agree (means= 2.35, SD= 1.56) that the company has provided them with place of convenience. This has been provided in order to prevent open defecation with its associated diseases such as cholera and diarrhea. A key informant from the Birim North Municipal Assembly summed up the contribution of the company in community water and sanitation this way:

The company has been assisting the local assembly in the areas of waste collection. For some time now, they have been providing fuel for the waste collection trucks. Again, Newmont has been very supportive in the development of dumping site. Currently, the company is assisting the local assembly to develop a modern waste recycling plant. In terms of water supply, the company has enabled most communities in the district to have access to good drinking water (BNM Respondent 1, personal communication, April 10, 2019).

Support for Youth Programmes and Sports

The results in Table 20 show that 75.1% of the respondents much agree (mean= 3.66, SD= 1.48) that the company supports sporting activities in the communities. Newmont Akyem Mines recognizes the strategic role of the youth in its operations and has formalized the support of youth activities in its social responsibility agreement. The support comes in the form of development of football fields, donating sporting wears and football, providing special cup and prizes during the youth annual games. The company considers this role very important for the

success of its business, as dissatisfied youth can engage in all manner of activities to frustrate activities of a company. Apart from supporting sporting activities, 71.8% of the respondents said the company also supports other youth activities such as concerts and musical shows.

Table 20: Respondents’ Perception on Support of Youth and Sports

Programmes

Support for Youth and Sports	F	%	Means	SD
The company support sporting activities in this community	359	75.1	3.66	1.48
The company sponsors youth development programmes	343	71.8	3.26	1.34

Source: Field Data, Acheampong (2019) n= 478

Means were calculated from a scale of 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree

Support for Agricultural Programmes

The results in Table 21 show that 249 representing 52.1% of the respondents moderately agree (mean= 2.79, SD= 1.52) that the company supports in the supply of agricultural inputs to farmers in the communities. The company devised a special programme whereby they provided agricultural inputs to the most vulnerable in the community. About half of the respondents acknowledged that the company provided them with some form of extension support. The extension service is meant

to assist the farmers to adhere to recommended farming practices in order to obtain high yields.

Table 21: Respondents’ Perception on Support for Agricultural Programmes

Agricultural Support	F	%	Means	SD
The company supply agricultural input to farmers in this community	249	52.1	2.79	1.52
Farmers in this community benefit from the provision of extension services by the company	240	50.2	2.65	1.49

Source: Field Data, Acheampong (2019) n=478

Means were calculated from a scale of 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree

Agriculture is the mainstay of the Ghanaian economy and employs the greater majority of the people in the country (Ghana Statistical Service, 2014). Moreover, the principal occupation for most people in the study area, according to the 2010 population and housing census, is farming (Ghana Statistical Service, 2014). It is therefore logical that the company has included agriculture in its social responsibility agreement with local communities.

Support for Cultural Heritage

The company’s support for cultural heritage is presented in Table 22. Half of the respondents moderately agree (mean= 2.73, SD= 1.45) that the company provides support to promote cultural heritage in the traditional communities within the mines enclave.

Table 22: Respondents’ Perception on Support for Cultural Heritage

Support for cultural heritage	F	%	Means	SD
The company provide support for cultural heritage	239	50.0	2.73	1.44
The company has constructed a community center for the community	225	47.1	2.65	1.69
The company has renovated/constructed the chief palace for the community	203	42.5	2.50	1.56

Source: Field Data, Acheampong (2019) n= 478

Means were calculated from a scale of 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree

The supports normally come during the celebration of annual festivals and are in the form of cash donation, provision of cow or ram and also supply of alcoholic and non-alcoholic beverages. This support normally eases a lot of burden from the traditional authorities. These donations enable the traditional authorities to pacify their gods and also serve visitors during festivals. It was also found during the study that the company has constructed community centers in the operational area, specifically at Hweakwae and Ahausena. The community centres are fitted with air-conditioners and accommodation facilities. The centres are used for festivals, marriage ceremonies, funerals and musical concerts to generate money for communities. About 42% of the respondents moderately agree (mean= 2.50, SD= 1.56) to the contribution of the company in the area of renovating and construction of new chief palace for the communities. The palace remains the eye of the community and hence must be in good shape. In addition, the chief palace is

the first place of call when important visitors come to the community, as such, the status of the palace speak a lot about the community.

Support for Business Development

The business support activities are in the areas of provision of market, support for local businesses, and provision of credit. The results in Table 23 indicate that less than 1/5 of the respondents (16.3%) less agree (means= 1.56. SD= 1.13) that the company provides support for local business. It was found out that the company has supported a number of small-scale oil palm processors in the community. The company has provided the processors with modern processing facilities which has resulted in increase in their output to about threefold. It has also help to expand their business. A leader of oil palm processing group at Ntronang summed the business support of the company during focus group discussion this way:

Newmont through the Organization for Livelihood Support constructed this processing facility for us. Comparing this processing facility to the old method of oil palm extraction, this gives better results. This facility is able to support so many women in the community. we are very grateful to Newmont for the Support.

Table 23: Respondents’ Perception on Support for Business Development

Business support	F	%	Means	SD
The community has been provided with a market	99	20.7	1.76	1.28
The company provides support for local businesses	78	16.3	1.56	1.13
Members in the community benefit from a credit scheme provided by the company	58	12.1	1.47	1.02

Source: Field Data, Acheampong (2019) n= 478

Means were calculated from a scale of 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree

The study further identified that the company has supported livestock farmers in the area of poultry production which has resulted in the expansion of their farms. The study revealed the company supported some farmers into mushroom production but lack of regular market brought the project to an abrupt end. About 1/5 of the respondent less agree (mean= 1.76, SD= 1.28) that the company has provided market stalls for selected communities to enable them have a conducive place to sell their farm produce. In addition, 12.1% of the respondents less agree (means= 1.47, SD= 1.02) that company has put up credit scheme to give micro loans for business expansion.

An interview with an official of the mining company showed that the company through Newmont Akyem Development Foundation gave micro loans to some people in the community to expand their businesses but failed to pay back the loan. As a result the company could not continue the loan scheme. At the moment, they are repackaging the loan whereby people have to contribute some amount consistently for three months before they could qualify for a loan. To ensure payment, a contributor has to guarantee before one can access the loan.

Perceived Contribution of Social Responsibility Agreement on Socioeconomic Status

The results in Table 24 show that 385 respondents representing 80.5% much agree (mean= 3.72, SD= 1.31) that they are able to access education facilities for their wards as a result of investment in SRA. They attributed this to the positive change in the financial conditions as well as the scholarship opportunities the company offers. This finding is in line with Aryee & Dumisa (2014) and World Bank (2015) that corporate social responsibility of mining companies has contributed immensely in the access to education in the mining communities. In addition, 73% of the respondents much agree (mean= 3.55, SD= 1.39) that SRA of the mining company has improved access to transportation in the catchment communities. The study found out that, a number of people have been able to buy cars, motor bicycles and tricycles as a result of the investment in SRA. Supporting this argument, World Bank (2015) indicates that mining operations open up an area to commercial activities due to the influx of many people to the mining communities. As such businesses such as transportation, banking and finance, food vending among others always boom in the mining communities.

Close to 71% of the respondents moderately agree (mean= 3.34, SD= 1.39) that investment in SRA by the company has enable them to construct their own houses with concretes and iron sheets with toilet facilities. Moreover, about 2/3 of the respondents moderately agree (mean= 3.32, SD= 1.43) that the company's investment in SRA has improve access to portable water in the community. The study found out that most of the mining communities have access to community water system. Assess to portable water is very important since it has potential of

reducing water borne diseases. Again, 65.3% of the respondents moderately agree (mean= 3.32, SD= 1.54) that the company’s investment in health has improve access to healthcare in the local communities. About a quarter (27.2%) of the respondents less agree (mean= 1.97, SD= 1.33) that they have access to well-paid job as a result of the company’s SRA programmes in the local communities.

Table 24: Respondents’ Perception on Contribution of SRA on Socioeconomic Status of the Respondents

Perceived improvement in socioeconomic status	F	%	Means	SD
CSR has improved access to education	385	80.5	3.72	1.31
CSR has improved access to transportation	349	73.0	3.55	1.39
CSR has improved access to housing	341	71.3	3.34	1.39
CSR has improved access to portable water	317	66.3	3.32	1.43
CSR has improved access to health facilities	312	65.3	3.32	1.54
CSR has improved access to well-paid job	130	27.2	1.97	1.33

Source: Field Data, Acheampong (2019) n= 478

Means were calculated from a scale of 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree

Access to job is a major problem in most mining communities in developing countries and it is always a source of tension between mining communities and locals. It is, however, gratifying to note that employment statistics at the mines shows that more than 55% of the workers at the mines are from the local communities. This findings is in line with World Bank report of 2015 which indicates that most mining companies in developing countries source most of their workers from the local communities (World Bank, 2015).

The report indicates that most of the people living around mining communities do not have the most relevant skills to be employed as high skilled labour. Most of the local indigenes are employed as low skilled labourers. Again, the mining activity has generated indirect employment in the community. Strangely, those who are not directly employed by the company consider themselves as unemployed. Meanwhile the study findings showed some of them have more than 100 acres of oil palm plantation. During a focus group discussion one participant retorted *it is only Newmont workers and those who work in the assembly who are well paid; as for us we only get something small.*

Perceived contribution of Social Responsibility Agreement on Livelihood Outcomes of the Respondents

The results of the contribution of the SRA towards livelihood are presented in Table 25. The results showed that 171 representing 35.8% of the respondents moderately agree (mean= 3.34, SD= 1.50) that, there has been an improvement in their income due to SRA investment of the company. Increase in income is the most important expected outcome of most community development programmes. An increase in income has the multiplier effect on other aspect of the community.

The results further showed that 252 respondents representing 52.7% moderately agree (mean= 2.94, SD= 1.22) that there has been some improvement in their food security situations. They indicated that they are able to meet the nutritional needs of their family. This finding confirms a study by Viveros (2016) that through corporate social responsibility the food security situation in many mining communities has improved. He attributes this to the fact that mining

activities provide a lot of direct and indirect employment to the local people as a result they are able to generate enough income to meet the nutritional, health and other needs of their family.

Table 25: Respondents’ Perception on Contribution of Social Responsibility Agreement on Livelihood Outcomes of the Respondents

Livelihood outcomes	F	%	Means	SD
Increase in income	171	35.8	3.34	1.50
Food security	252	52.7	2.94	1.22
Shelter	261	54.6	2.89	1.33
Family support	223	46.7	2.77	1.09
Asset accumulation	185	38.7	2.58	1.25

Source: Field Data, Acheampong (2019) n= 478

Means were calculated from a scale of 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree

About 55% of the respondents moderately agreed (mean= 2.89, SD= 1.33) that they are able to afford good accommodation for their family. Some of them indicated that as a result of the opportunities the company gave to them, they have been able to put up their own houses. Others said they have rented decent accommodation for their family. Another category of the respondents’ said they have been able to renovate their existing houses. In addition to the above, 223 representing 46.7% of the respondents moderately agree (mean= 2.77, SD= 1.09) that, Newmont’s activities in the community has helped them to support their family in terms of education, health and social support. The results further revealed that 38.7% of the respondents moderately agree (mean= 2.58, SD= 1.25) that there

has been improvement in asset accumulation in term of household gadgets, electrical appliances, expansion of farms and purchase of building plots. The findings of the study further revealed that some respondents have been able to make some investments in the areas of savings for their children future, non- farm activity such as operation of provision shops and transport business. This shows that a number of the respondents have diversified their source of income so that in case there is a problem in one business they can easily fall on the other business. This finding is in line with World Bank, (2015) that asset accumulation is an indication of an improvement in livelihood outcome.

Diversification is a key strategy individuals and households employ to achieve livelihood goals (Brown *et al.*, 2006). According to Scoones (2009) and DFID (2000) livelihood outcome of an individual or household manifest itself in the form of improvement in income, health, nutrition and accumulation of household assets. Large scale mining results in loss of land and displacement of communities which results in loss of livelihoods (Hilson & Banchirigah, 2009). Mining companies engage in programmes and projects that have the capacity to restore the livelihoods of local communities (Hilson & Banchirigah, 2009).

Chapter Summary

The findings from this chapter showed that Newmont Akyem SRA has contributed to an improvement in education, health, environment, water and sanitation, youth and sports, agriculture and culture in the local communities. In addition, the study revealed that the SRA has resulted in perceived improvement in the livelihood outcomes and socioeconomic status of the local communities.

CHAPTER SEVEN
DETERMINANTS OF SATISFACTION OF SOCIAL RESPONSIBILITY
AGREEMENT BY MINING COMMUNITIES

Introduction

This chapter presents the determinants of community satisfaction of the SRA based on perceptions of the nature of SRA (achievement of objectives of SRA, effectiveness of SRA governance, performance of role by stakeholders of SRA, effective participation and transparency management in SRA), perception on dimension of SRA, perception on sustainable community development, socioeconomic status and livelihood outcomes the SRA. To do this requires the determination of the 1) level of community satisfaction of the SRA, 2) correlates of the community level of satisfaction, and 3) factors influencing the community level of satisfaction of the SRA.

Level of Community Satisfaction of Social Responsibility Agreement

Table 26 presents the results on the level of community satisfaction of the SRA by respondents. The results showed that about one third of the respondents (31.2%) are less satisfied with the implementation of Newmont Akyem SRA. The results further indicate that 142 representing 29.7% of the respondents are moderately satisfied while 19% are very less satisfied. The findings indicate that 14% and 5.4% are respectively very satisfied and very much satisfied. The overall

mean of 2.55 (SD= 1.12) indicates that generally the respondents are moderately satisfied with the implementation of the SRA.

Table 26: Respondents Level of Satisfaction of Newmont Akyem SRA

Levels of satisfaction	Frequency	Percentage
Very less satisfied	93	19.5
Less satisfied	149	31.2
Moderately satisfied	142	29.7
Very satisfied	68	14.2
Very much satisfied	26	5.4
Total	478	100
Mean (SD)	2.55 (1.12)	

Source: Field Data, Acheampong (2019) n= 478

Correlates of Community Level of Satisfaction

Table 27 presents the Pearson Product Moment correlation results of respondents of level of satisfaction of the SRA. All the results in table 27 supports the alternative hypothesis that, there is significant relationships between satisfaction and all the other variables except performance of roles by key stakeholders. The results show positive and significant correlation ($r= 0.097$) between level of satisfaction and the achievement of objectives of the SRA. This result implies that as the company meets the objectives as set in the corporate social responsibility agreement the more satisfied the community members. The main

objective of the social responsibility agreement is to ensure that there is an improvement in the living conditions of the people in the mining community. Thus, meeting the objectives gives the members of the community some comfort that there will be an improvement in their current socioeconomic status. The results further indicate a positive and significant correlation ($r=0.142$) between satisfaction and effectiveness of SRA governance. This results also support the alternative hypothesis. This indicates that an effective governance of the SRA makes community members more satisfied. As such the community members are satisfied with the operations of the forum agreement, the sustainable development committee and the complaint resolution committee as the governing structure of the company's social responsibility agreement. An effective governance of SRA leads to judicious use of resources and implementation of projects that are more relevant to the community (Yeboah & Akenten, 2015).

Table 27: Correlates of respondents perceived level of satisfaction of Newmont Social Responsibility Agreement

Correlates	Correlation Coefficient
Achievement of objectives of SRA	0.097*
Performance of roles of principal stakeholders	0.089
Effectiveness of SRA governance	0.142**
Effective participation and transparency management in the SRA	0.187**
Perception of the dimensions of SRA	0.409**
Livelihood outcomes	0.296**
Socioeconomic status	0.213**
Sustainable community development	0.229**

Source: Field Data, Acheampong (2019) n=478

*= correlation is significant at $p= 0.05$ alpha level

**= correlation is significant at $p=0.01$ alpha level

The results further reveal a positive and significant relationship ($r= 0.187$) between satisfaction and effective participation and transparency management in the SRA. This implies that community members level of satisfaction goes up as they have the opportunity to participate in the company's activities that has direct impact on them in a more transparent manner (Devas & Grant, 2003). When members of the community are involved in activities of the company that impact them directly, they feel more relevant (Tikare *et al.*, 2001). The community's perception of the various components of the corporate social responsibility agreement also has a positive and significant relationship ($r= 0.409$) with the level of satisfaction. Thus, as the company plays its economic, legal, ethical and philanthropic role to the society the more satisfied the community members (Carroll, 1991; Fadun, 2014). The findings from the study again indicates a positive relationship between level of satisfaction and perceived livelihood outcomes ($r= 0.296$), socioeconomic status ($r= 0.213$) and sustainable community development ($r= 0.229$). The core mandate of the agreement is to ensure that the living conditions of the people in the mining catchment communities are improved, hence any positive development in that direction will satisfy the community members. On the other hand, the results showed a positive and non-significant relationship between the performance of roles by principal stakeholders ($r= 0.089$) and the level of satisfaction. This implies that the community's members are not too enthused about the manner the various stakeholders have been playing their roles in the implementation of the agreement. For instance most of them are of the view that the chiefs do not represent their interest. Others were of the view that the mining

company is more committed to their profit-making activities than that of the community. This therefore calls for a balance between meeting the profit objective of the company and social objective of the community in order to ensure a harmonious and supportive working environment.

Determinants of Community Level of Satisfaction

Since correlation does not establish causality, there was the need to conduct regression analysis to identify the factors that influence community's level of satisfaction. The results of ordinary least square multiple regression in Table 28 show that the independent variables have significant effect on respondents perceived level of satisfaction, $F(8, 469) = 18.113$, $p < 0.001$ with $R^2 = 0.236$. Thus the study reject the null hypothesis that there is no significant effect of the independent variables in table 28 on level of satisfaction. This implies that, the independent variables are able to explain 23.6% of the variance of the respondents perceived level of satisfaction.

The findings indicate that livelihood outcomes ($\beta = 0.205$) and perception on the dimensions ($\beta = 0.737$) of social responsibility agreement positively influence the community's perceived level of satisfaction of Newmont Akyem SRA. Thus, as the company implements projects that improved on the livelihood outcomes of the people, the more satisfied, they are (Hilson & Banchirigah, 2009). Again, as the community perceived that the company is adhering to its economic, legal, ethical and philanthropic dimensions of the agreement the more satisfied they are. The results from Table 28 further show that sustainable community

development ($\beta= 0.100$) and effectiveness of SRA governance ($\beta= 0.056$) positively influence the level of satisfaction. However, the effect is not significant. This could be due to the fact that the effect of sustainable community development manifest itself in the improvement in the livelihood of the people. Again, governance does not necessarily influence level of satisfaction, it is rather a process that leads to implementation of projects that ultimately influence the livelihood of the people.

Table 28: Determinants of Community Perceived Level of Satisfaction

Independent Variables	B	Sts. Error	Beta	t-value	P-value
Constant	.955	.242		3.949	.000
Sustainable community development	.100	.106	.052	.942	.347
Livelihood outcomes	.205	.055	.174	3.737	.000
Socioeconomic status	-.002	.066	-.001	-.025	.980
Dimensions of SRA	.737	.090	.531	8.206	.000
Performance of roles of principal stakeholders	-.268	.097	-.186	-2.760	.006
Participation and transparency management in the SRA	-.185	.076	-.152	-2.444	.015
Effectiveness of SRA governance	.056	.102	.041	.553	.580
Achievement of the objectives of SRA	-.055	.054	-.056	-1.014	.311
R	0.486				
R ²	0.236				
Adjusted R ²	0.223				
F-Statistics	18.113				0.001

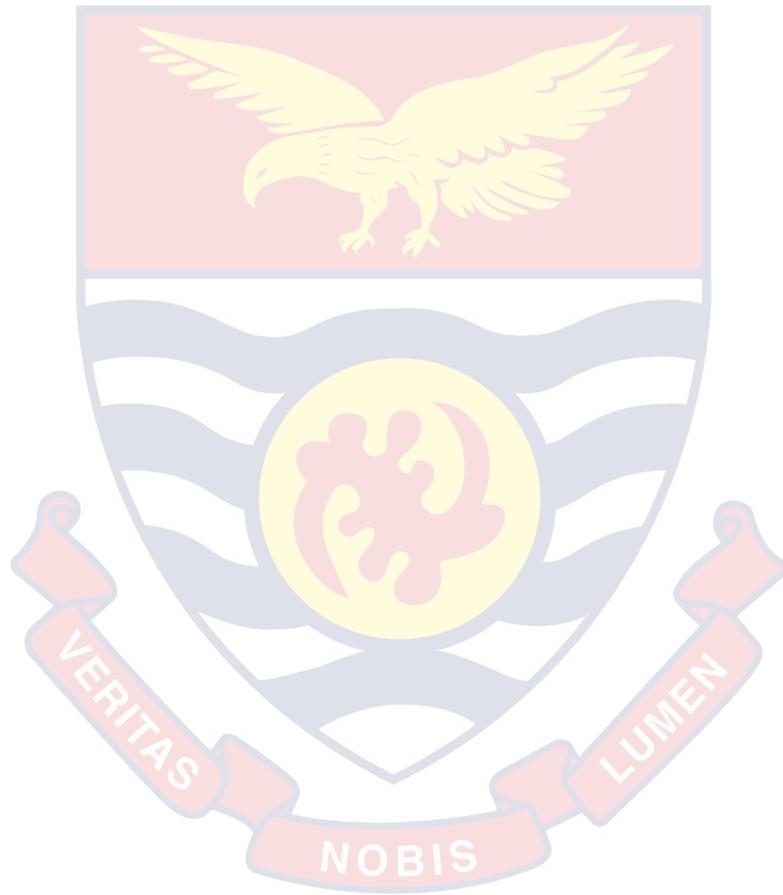
Source: Field Data, Acheampong (2019) n= 478

Furthermore, the results show that socioeconomic status ($\beta = -0.002$), performance of roles by key stakeholders ($\beta = -0.268$), effective participation and transparency management in the SRA ($\beta = -0.185$), and achievement of objectives of the SRA (-0.055) have negative effect on level of satisfaction. Ordinarily, one would expect a positive effect of the above variables on level of satisfaction. The non-significant effect of socioeconomic could be due to the fact that respondents might not necessarily attribute the improvement in their socioeconomic situation directly to the implementation of the SRA. Again, the negative effect of the other variable on satisfaction could be due to overconcentration of process rather than output which could result in loss of focus. In addition, it could also be as the result of the high expectation of community members from the mining company. Unmet high expectation could result in dissatisfaction.

Chapter Summary

The results of the Pearson Product Moment Correlation indicate that there is a positive and significant relationship between level of satisfaction and achievement of objective of SRA, effectiveness of SRA governance, effective participation and transparency management in the SRA, dimensions of SRA, livelihood outcomes, socioeconomic status and sustainable community development. However, no significant relationship was found between level of satisfaction and performance of roles of stakeholders of the SRA. In addition, the result of the ordinary least square regression found that livelihood outcomes, dimensions of SRA and performance of roles by principal stakeholders have a

significant effect on level of satisfaction. On the other hand, sustainable community development, socioeconomic status, effective participation and transparency management in the SRA, effectiveness of the SRA governance and achievement of objective of the SRA have no significant effect on level of satisfaction. Notwithstanding, the independent variables were able to explain 23.6% of the variance in the respondent's perceived level of satisfaction.



CHAPER EIGHT

CHALLENGES IN THE IMPLEMENTATION OF MINING SOCIAL RESPONSIBILITY AGREEMENTS

Introduction

This chapter presents the challenges in the implementation of SRA by a mining company. The challenges are grouped under five themes, which are poor application of compensation, conflict of interest situations, mistrust among stakeholders, poor representation of community interest by representatives and inadequate funding for implementation of projects. According to Sun and Price (2017), corporations faced a lot of challenges in the implementation of their corporate social responsibility programmes.

Misapplication of Compensation

The study found that despite the measures put in place by the SRA for efficient utilization of compensations to affected persons in the mining communities, there was misapplication of the compensation package. A number of the affected persons did not apply the financial literacy and investment principles they were taught during the SRA development stage. Most of the affected persons were into crop farming and as such they were educated on how they could utilize part of the compensation package to invest in farming activities. Unfortunately, some invested in transport business of which they had little or no knowledge in its

management. Others also used their compensation package to invest in selling of provisions which were poorly managed. Some were also overwhelmed with the amount of money given them, hence had the false belief that they could depend on the compensated funds for the rest of their life without working. Strangely, others also used the compensated funds for extravagant life style such as drinking, marrying more wives, impulse purchasing, womanizing and buying of household gadgets to prove that they are worthy. This has led to hunger and poverty to most of the affected persons in the community. As a results the affected persons are still demanding that the company should pay them another compensation with the reason that the initial compensation paid them was inadequate. This has resulted in demonstrations and threat which is seriously impeding the smooth implementation of the SRA.

Conflict of Interest Situation

Issues bordering on conflict of interest also came out strongly during the interaction with the respondents as a challenge facing the implementation of the SRA. The results of the study showed that some key stakeholders in the community who have strong link with Newmont Akyem Development Foundation were themselves contractors who were wining some projects for implementation. These individuals ensure that projects they have capacity in implementing are carried out in the community. Thus, projects that will benefit the communities but does not receive the blessings of these key stakeholders are not implemented. This assertion is in

agreement with the views of Asumah (2015) who also found similar results. A statement by an opinion leader at Amanfrom corroborated this finding.

We have been talking about the need to establish sachet water industry for a very long time to raise money for the community. But none of the chiefs or sustainable development committee members who are contractors have expertise. So, the project has not been carried out (Opinion Leader 1, personal communication, January 24, 2019).

Mistrust among Stakeholders

The study found some mistrust amongst the stakeholders in the implementation of the SRA. It was found that the local community members do not trust the management of the company when it comes to the issue of employment. This mistrust was born from their false claim that there is discrimination and nepotism when it comes to the issue of employment. They claim you can only get employed by the company when you are well connected to a senior person if not no matter your qualification you will not be employed. A careful analysis of the employment section of the corporate social responsibility agreement diffused these claims. It is clearly stated in the agreement that all non-skilled labour should be given to the locals but skilled labour should be opened to other people to apply. Again, with regard to the non-skilled labour the people who applied for job go through a series of verification processes which are done by a committee which is made of people within the community. This assertion was also disagreed somehow by some of the respondents. They accused some of the members of the committee of being corrupt and often receive money from non-inhabitants of the community

in order to legitimize their applications. Other trust issues that came forth during the study include the perception that funds meant for the community are sometimes misused by the leaders; others also perceived hoarding of funds that are meant for the community. A respondent made this statement:

The leaders of the community connive with management of the company to use the funds meant for the community to benefit themselves. They give the contract to themselves with overinflated project cost (FGD respondent 4, personal communication, February 7, 2019).

Gaining the trust of the relevant stakeholders is very critical in project implementation (Karlsen, Graee & Massaoud, 2008). Trust provide a very conducive environment for effective stakeholder engagement. The people in the community are of the view that the company is not adhering to regulations governing employment. The issue of employment in the mining and other extractive industries has been a long standing issue that has been reported by several authors (Fadun, 2014; Monowar & Humphrey, 2013; Mzembe & Downs, 2014).

Poor Representation of Community Interest by Representatives

The study identified poor representation of the interest of the local community by their leaders as another challenge confronting the smooth implementation of the SRA. It came out that some leaders do not represent the interest of the community and are mostly interested in the benefits they will receive and not the interest of the members of the community as a whole. One respondent captured the sentiment of the people this way;

Our leaders are just interested in getting contract from Newmont and once they get the contract, they fail to champion our views. Another respondent put it this way; the chiefs do not encourage the company to do any development in the community, they are only interested in getting money from the company (NAFA 2, personal communication, January 23, 2019).

This situation is recipe for disaster if not well managed. The leaders are the mediators between the company and the community and when the community members perceive that their interest are not well represented, they can take any course of action to demand what they want. In most cases, such course of action is not in the interest of building a harmonious business environment. One interviewee said;

We had a massive demonstration to show Newmont that we are not cowards; we have to demand what belongs to us; our leaders are in bed with the company so the affected persons and the members in the community have to fight for our right (Farmer 3, personal communication, February 26, 2019).

This findings agrees with Maima (2012) who also cited perceived poor representation as one of the key challenges facing the implementation of SRAs.

Inadequate Funding for Implementation of Projects

Inadequate financial resources to implement projects to meet the needs of all the stakeholders was cited a key challenge facing the implementation of the SRA.

The funding source for developmental project in the communities are largely limited to the 1% profit before tax and \$1 on each ounce of gold. Thus, Newmont can only fund projects based on the amount of money that is generated from these two sources. The findings of the study indicate that the mining communities depend mainly on Newmont Akyem Mines for almost all their developmental needs. This put a lot of pressure on the mining company. For instance, Newmont development foundation could not fund all project proposals in the area of provision of healthcare facilities, educational infrastructure, business support, and support for agricultural activities and demand for road infrastructure. The inadequate funds for implementation of projects mostly result in dissatisfaction in communities in terms of provision of developmental projects.

According to Aseghehey (2018) and Jonker & Witte (2006), inadequate financial challenge has been a major challenge to many corporations due to plethora of needs of the society. The results of the study show that implementation of the SRA pose a huge financial burden on the mining company. The following were comments corroborating the finding.

People demand too much from the company, but they have to pay their workers too; so, they cannot use all their money to support the community; what they can do for us is to employ people from this community so that they can support their families (BNM Respondent 3, personal communication, January 31, 2019).

We cannot do it all; we can only support the community through the funds that have been allocated to Newmont Akyem

Development Foundation; people have invested their money into the company and are expecting some dividend so we cannot use all our earnings for community projects (Mining Official 2, personal communication, April 11, 2019).

Asumah (2015), Higgs (2006) and Maima (2012) found inadequate funding to implement projects as major challenge in the implementation of SRAs, supporting the current finding. They attest to the fact that there are several stakeholders needs that are clamoring for the financial resources of corporations. However, the resources of corporations are limited and as such cannot meet all the needs of the various stakeholders. As the shareholder view of corporate social responsibility demands, corporations are mainly accountable to their shareholders and will only invest in social projects that could enhance the benefits of their shareholders. This also constraints corporations in terms of their budgetary allocation to support community projects.

Chapter Summary

The results presented in this chapter identified five key challenges facing successful implementation of Social Responsibility Agreements in mining communities. The challenges identified include misapplication of compensation funds, conflict of interest situations, mistrust among stakeholders, poor representation of community interest by representatives and inadequate funding for project implementation.

CHAPTER NINE

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Introduction

The summary, conclusions and recommendations are presented in this chapter. It is divided into five parts. The first part covers summary of key findings from the study. The second part presents the conclusions of the study based on the key findings. Recommendations for policy implementation are presented in the third section. Theoretical implications and contribution to knowledge is the focus of the fourth section whereas the last section presents suggestions for further research.

Summary

Mining companies over past decades have been signing social responsibility agreements with operational communities in order to champion sustainable community development. However, the nature, practice and implications of these agreements is less understood. Thus, the main objective of the study was to examine the social responsibility agreement and practices in gold mining industry in Ghana based on the evidence from Newmont Ghana Goldcorp Limited. Specifically, the study described the nature of operations of the SRA of Akyem Mines. It further analyzed the perceptions of mining communities on economic, legal, ethical and philanthropic dimensions of SRA and outcomes of the SRA. Determinants of mining communities perceived satisfaction of Newmont's SRA were also

examined. Finally, the study examined the perceived challenges in the implementation of mining SRA.

The study was guided by the stakeholder and legitimacy theories of corporate social responsibility and employed concurrent non-dependent mixed method and case study design to collect data for the study. Multi-stage sampling procedure was used to select 478 community members for the study. In addition, four focus group discussions and 18 key informant interviews were conducted. Pearson Product Moment Correlation and Ordinary Least Square Regression were used to analyze the quantitative data whilst thematic analysis was used to analyze the qualitative data. The results of the qualitative and quantitative data were discussed together in the results and discussion sections of the thesis.

The key research findings are presented based on the objectives of the study.

Nature of Operations of Social Responsibility Agreement in mining

With regard to the nature of operation, Newmont Akyem Mines used pre-negotiation, deliberation and consultation, formalization, implementation and monitoring and review process to develop their SRA. Awareness creation, building of rapport with key stakeholders and signing of MoU played a key role at the pre-negotiation stage of SRA development process. In addition, consultation and deliberation stage of SRA development involved research, decision-making and implementation of five key activities in the areas of selection of stakeholders and communities, needs assessment, payment of compensation, plans for resettlement and re-establishment of livelihoods.

The study identified the mining company, local assembly and the local community as the main stakeholders in the SRA development process. The mining company stakeholders are made up of an external moderator, the general manager of Newmont Akyem mines and the senior manager of Newmont Akyem mine Sustainability and External Relations Department whereas that of the local assembly includes, the Member of Parliament, chief executive officer of the local assembly, coordinating director, planning officer and presiding member. The stakeholders from the community are selected from the representatives of traditional leaders and women and youth groups in the community. The study also found that communities that had land within the mining concession and those closer to the concession were included in the SRA.

The SRA development process came out with three key documents: relationship, development funding and local employment agreement. The study found out that Newmont Akyem mines has put in place a social responsibility forum to provide an oversight responsibility in the implementation of the SRA. The oversight role of the SRF covers three main areas: (a) ensuring fair compensation for all affected persons and communities, (b) facilitating the creation of business opportunities through legacy visioning and sustainable community development and (c) building productive and supportive relationships and networks to ensure effective collaboration, dialogue and mutual trust among the parties. The social responsibility forum was made up of all relevant stakeholders in the Newmont Akyem mines operational communities.

The study found that religious leaders and chiefs were strategically excluded from the social responsibility forum so that in case of any misunderstanding between the company and the community, they could act as mediators. Additionally, the relationship agreement spelt out 1) objectives of the agreement, 2) governance of the agreement 3) roles and responsibilities of key stakeholders in the agreement, 4) participation and transparency management by the key stakeholders and 5) signatories to the agreement. The study identified two main sources from which Newmont Akyem Mines provides funds to implement its SRA. The sources identified are 1% profit before tax and \$1 on each ounce of gold mined. The funds were distributed based on the following factors, 1) cultural and sustainable projects of paramountcy 2) administrative expenses 3) near mine community emergency fund 4) endowment fund 5) board of trustees' discretionary projects and 6) community specific projects. The following factors were used to distribute the community specific fund: population, equity, stool land impact, and social and economic impact factors.

The study discovered that Newmont Akyem Development Foundation has put in place board of trustees to ensure effective utilization of community funds. The foundation is headed by an executive secretary who oversees the day-to-day activities. The Executive Secretary is supported by Project Officer, Communication Officer and Financial Controller.

As part of the process to ensure that people from the local community secure job at the mining company, the local employment agreement has reserved all non-skilled labour for the locals. Furthermore, Citizen Validation Committee has been

constituted in each community to assist in the authentication of citizenship of job applicants. The study found out that Newmont Akyem Mines has put in place measures to train some of the youth in the local community to build their capacity so they could apply for semi-skilled and skilled jobs at the mines.

The study identified that Newmont SRA is implemented through the process of project proposals development, selection of projects for funding, resource allocation and supervision of projects. It was found that selection of projects for funding is based on the relevance, urgency and availability of funds. The evaluation and review stage of the SRA involve extensive research, consensus building as well as negotiation to assess the processes, activities, outputs and outcomes, as well as making decisions for changes to improve the SRA process.

The main drivers of the SRA between Akyem Mines and the mining community are 1) to ensure that Newmont acquire social license to operate in the community, 2) to develop communities through projects, 3) to meet national regulatory requirement, 4) to improve public relations of stakeholders, 5) demand from shareholders on environmentally and socially responsible practices and 6) an increased pressure from local communities and civil society organizations for responsible and sustainable mining.

The study found that the majority of the people in the mining community are aware of the Newmont Akyem SRA with the local communities but their understanding of the local employment component of the agreement is very limited. The communities perceived that Newmont Akyem has put up mechanism for members of the local community to take part in decision-making, initiation and

implementation of projects. Furthermore, Newmont Akyem has demonstrated its commitment to development of communities in very clear, and precise manner without ambiguity. The majority of the respondents attests to the fact that, Newmont Akyem has achieved most of the objectives as set out in the SRA except that of the provision of local employment.

The findings of the study revealed that the SRF has been moderately effective in playing its oversight role and taking important decisions to ensure smooth operation of the agreement. The SDCs has been effective in the initiation, selection and supervision of projects in the local communities. The results of the study show that the Complaint Resolution Committee has also been moderately effective in its operations.

In order to ensure that Newmont Akyem and the local communities adhere to the roles and responsibilities in the SRA; it came out from the study that traditional leaders play important role of receiving visitors and resolving conflicts. Again, the community leaders are used as channels to communicate between the local community and Newmont Akyem Mines. Members in the local community frequently visit the information center and also attend meetings to seek for information. Newmont Akyem on the other hand adhere to all established protocols in the community but respondents perceived that the company has not done enough in the area of job provision for the locals. Akyem Mines and the local community have established Newmont Akyem Development Foundation which serves as the vehicle to champion sustainable community development. The community

members or their representatives take part in the social and environmental impact monitoring programmes set up by Newmont Akyem Mines.

Community perception on the dimensions of mining company's Social responsibility Agreement

The economic responsibility of Newmont Akyem Mines includes payment of royalties and taxes, making profit for shareholders, and payment of deserving compensation to workers. In addition, Newmont Akyem Mines is committed to meeting its legal obligations such as meeting the regulations governing mining operations in Ghana. On ethics, Newmont Akyem Mines was found to partner government to improve the conditions of mining communities. Newmont Akyem Mines makes voluntary contributions to support activities and programmes that have impact on social and economic lives of the people in the local communities.

Contribution of Social Responsibility Agreement Towards Sustainable Community Development, Socioeconomic Status and Livelihoods Outcomes

The findings of the study show that Newmont Akyem Mines contribute towards sustainable development in education in terms of building schools and teachers' bungalows, provision of scholarships and apprenticeship training. On health Newmont Akyem's contribution has resulted in upgrading the New Abirem Government Hospital to a District Hospital through infrastructure expansion and provision of specialized hospital equipment. In addition, it has built two clinics for its surrounding communities. In order to mitigate the impact of climate change,

Newmont Akyem Mines has invested in afforestation programmes in the community. Also, it ensured that all degraded lands are well reclaimed. On water and sanitation, it has provided good drinking water to the community and also support the district assembly in waste collection and management. Furthermore, the findings of the study show that Newmont Akyem Mines contribute towards youth activities in the areas of providing football pitch, sporting equipment and youth development programmes. The study also show that Newmont Akyem Mines support agriculture, local business development, culture and tourism.

The implementation of SRA has improved on socioeconomic status of the community members by providing access to educational facilities, transportation, and portable water. The SRA has improved on livelihood outcomes through increase in income, improvement in food security and acquisition of assets by members of the community.

Level of Satisfaction of the Social Responsibility Agreement

Perceived livelihood outcome, performance of roles by principal stakeholders of the SRA, commitment to economic, legal, ethics and philanthropic dimensions of SRA, as well as effective participation and transparency management in SRA significantly influenced the level of satisfaction of the members of the mining communities on SRA implementation.

Challenges in the Implementation of Social Responsibility Agreement in the Mining Communities

Misapplication of compensation, conflict of interest situation, mistrust among stakeholders, poor representation of community interest by representatives, and inadequate funding for implementation of projects due to over-dependency are the key challenges facing smooth implementation of SRA in the mining communities.

Conclusions

The following conclusions are made based on the key findings of the study.

Development of mining SRA is a very complex process that involves an extensive negotiation on key issues such as compensation, relocation of displaced communities, expectations of communities and reestablishment of lost livelihoods. As such, the SRA development process requires an expert with skills in group facilitation, time management, project management, conflict prevention, management and resolution to guide the process.

Successful development of SRA in mining is anchored on extensive research, consensus building and effective collaboration between stakeholders.

Establishment of development foundations with sustainable funding source and agreed modalities of allocation of resources is paramount to champion sustainable economic, social and environmental projects in mining communities.

Development of mining SRAs require an extensive stakeholder analysis to ensure that all relevant stakeholders are included in the process. The key criterion for the selection of communities in SRA development is proximity to the mining site.

The SRA of mining companies and communities is largely motivated by the mining company's desire to meet the social and economic needs of the local community and also its quest to secure the support of the local community. Thus, effective participation of stakeholders in decision making and clear communication of mining companies' developmental commitments are key for achieving the SRA objectives of mining companies. The community members perceived that Newmont Akem Mines has been moderately effective in the implementation of its SRA.

The effectiveness of mining SRAs largely depends on the institutionalization of appropriate governing structure to have an oversight responsibility and day to day operations of the agreement. Furthermore, assigning roles and guiding principle is the surest way to ensure effective stakeholder involvement at the grassroot level. Involving key stakeholders in the social, economic and environmental monitoring and decision making is cardinal principle in ensuring accountability and transparency in mining SRA implementation.

Aside meeting tax and profit obligations, a major setback in achieving the economic responsibility in SRA development and practice is provision of employment to the people in the mining communities. Notwithstanding, SRA development and practice enable mining companies to play within the legal and ethical rules of mining while at the same time fulfilling philanthropic responsibility of investing in programmes and projects that improve the wellbeing of the community members.

Effective SRA development and implementation is a key vehicle to ensure improvement in education, health, agriculture, youth development, culture, business development and water and sanitation in the local community.

Mining SRA has contributed towards perceived improvement in socioeconomic status in the mining communities in terms of access to education, transport, housing, portable water and health facilities. On livelihood outcomes, mining SRA is perceived to have contributed moderately in the areas of food security, shelter, family support and acquisition of assets.

Local communities' satisfaction of the implementation of mining SRA interventions hinges on their perceived livelihood outcomes, perceived adherence to the economic, legal, ethical and philanthropic dimensions of SRA, proper assigning of roles and responsibilities to key stakeholders as well as ensuring accountability and transparency through the involvement of key stakeholders in social, economic and environmental decisions that affect the community.

Key challenges to mining SRA implementation are poor application of compensation funds by beneficiaries, conflict of interest in awarding project contracts, community members lack of trust in their leaders and mining officials and inadequate financial resources for project implementation.

Recommendations

Based on the findings of the study the following recommendations are made for considerations by various stakeholders with similar context to Newmont Akyem Mines in Ghana:

1. The study underscores the importance of relationship, foundation and local employment agreements in mining SRAs as very critical in achieving sustainable community development in local mining communities. It is therefore recommended that mining companies pay more attention to their relationship, foundation and local employment agreements in order to bring about the desired change in mining communities. The process of developing these agreements should be backed by extensive research and consultation with all relevant stakeholders in the mining communities.
2. Selection, consultation and deliberation with stakeholders and communities is paramount to the development of effective SRAs. As such, a mining company should ensure that all relevant stakeholders are part of the SRA development process. This should include representatives of the mining company, local assembly and the local community. For more effectiveness, the mining company should build the capacity of stakeholders in the areas of negotiation skills, conflict prevention and resolution as well as participation.
3. The role of a moderator is key to the success of SRA development. In choosing moderator for SRA development process, mining companies and community development organizations should consider settling on an expert with skills in time management, group facilitation, project management, managing diversity, and conflict prevention, management and resolution.

4. Mining companies and community development practitioners should ensure accountability and transparency by ensuring full participation of local communities in social, economic and environmental programmes and projects.
5. Effective implementation of SRAs largely depends on availability of funds. Mining industries should consider setting up development foundations with clear and regular stream of funding to champion development in local communities. In addition, stakeholders must settle on an agreed formula for the distribution of funds to the satisfaction of beneficiary communities.
6. To avoid the problem of unrealistic expectations and unrest (e.g. on employment, compensation) from communities, mining companies should continuously engage communities through durbars, local radio programmes and meetings to discuss and review SRAs where necessary.
7. Mining companies should have regulations in the SRA to check conflict of interest issues in the award of development contracts.
8. To promote sustainable community development, mining companies should give priority to education, health, water and sanitation, environment, agriculture, youth development, business support, and cultural heritage in their community projects.
9. To improve satisfaction of local communities on SRA, mining companies should concentrate on projects that meet economic, legal, ethical and philanthropic expectations of affected communities, ensure adequate participation of key stakeholders, and improve livelihood outcomes.

10. The perception of mining community can affect implementation of mining SRA. Thus stakeholders involved in implementation of mining SRAs (mining company and its workers, local community, local assembly and traditional leaders) should constantly improve on their performance and accountability to meet the expectations of their catchment communities.
11. Community leaders and representatives in mining areas should improve on their information seeking behavior by attending meetings organized by mining companies in the community to keep them abreast with current happenings.
12. The Local Authorities which are in charge of security at the local level should improve upon their intelligence gathering in order to avert any suspected crash between mining companies and their operating communities.
13. The key stakeholders in mining SRA should continue to work collaboratively to ensure sustainable community development.
14. The traditional leaders in mining operational communities should improve upon their mediation roles to forestall peace and harmony in the mining community.

Theoretical Implications and Contribution to Knowledge

The findings of the study highlight the role of the stakeholder theory and legitimacy theory in SRA development and practice for a corporate social responsibility. According to Lester (2005), research findings are said to be relevant when they are

used to modify, support or build on existing theoretical frameworks. The success of the Newmont Akyem SRA can largely be attributed to involvement of key stakeholders in the mining community which is in line with the stakeholder theory. The stakeholder theory postulates that an organization should identify its key stakeholders and incorporate their views in its decision making (Fadun, 2014, Michelon, Boesso & Kumar, 2013). The findings thus, support the stakeholder theory which requires that organizations should create the needed environment to ensure full participation of stakeholders including marginalized groups. It is therefore expected that Newmont Ghana, and other mining companies seeking to improve their SRA should continuously identify and involve their key stakeholders including minority groups (e.g., disable persons) in the SRA activities.

From the findings, an important factor legitimizing the operations of Newmont Ghana in the community is its investment in critical projects needed by the people. The Newmont Akyem SRA has led to reasonable improvement of education, health, agriculture, youth and sport, culture, water and sanitation and business development in the mining communities. Ultimately, these have helped reduced vulnerabilities, and improved livelihood outcomes. The theoretical implication, which is in line with the legitimacy theory of CSR is that, investing in projects that meets the values and expectations of an affected community is critical to obtaining the necessary social license to operate (Fernando & Lawrence, 2014). Thus, the findings validate the legitimacy theory of CRS and as such, explains the continuous operation of Newmont Akyem mines in the communities despite the challenges in the area.

Accountability mechanism also came out as a key factor in the successful implementation of the Newmont Akyem SRA. It was found that accountability mechanisms have been enshrined in the implementation of the Newmont SRA. The accountability mechanisms provide the platform for duty bearers to avail themselves to give account of their stewardship. Again, this agrees with the principles of the stakeholder and legitimacy theories. According to the stakeholder theory accountability provides the avenue for stakeholders to contribute to the process of development (Carroll & Buchholtz, 2011). Thus, continued stakeholder engagement during accountability forums will ensure that projects and programmes implementers do not deviate from expectations of the society. In line with the legitimacy theory, the larger society must have an opportunity to demand accountability from project and programme implementers (Owen, Gray & Adams, 2009; Spurgin, 2001) in order to ensure that projects meet the norms, values and aspirations of beneficiaries (Deegan *et al.* 2002).

Besides the findings, which are new to the Ghanaian context of SRA development and practice, a major contribution of the study is the development of a framework for SRA development and practice based on a Ghanaian case study (Figure 16). This has expanded and provided more details to the normative framework for SRA development and practice gathered from the literature (Figure 3). The new comprehensive SRA development and practice framework involves pre-negotiation, consultation and deliberation, formalization, implementation and evaluation and review. This model has included awareness creation and building of rapport as other key activities of the pre-negotiation stage of the SRA development

process. The awareness creation is used to sensitize the mining community about the expected benefits of the presence of the mining company. In addition, building of rapport enable the mining company to secure the support of the local community. There is the need to build rapport with the local communities to secure their support. Again, the pre-negotiation stage also entails the signing of MoU between the local community and the mining company. Further, at this stage initial consultations with chiefs and other opinion leaders are made.

The second stage involves an extensive consultation and deliberation between the local community and the mining company. This model detached the concept of research from the stakeholder engagement stage as proposed in the conceptual framework. The model argues that the whole SRA development process is anchored on extensive research and as such, research cannot be limited to only a section of the SRA process. Again, the activities at the consultation and deliberations stage have been expanded to include selection of stakeholders and communities, needs assessment, plans for payment of compensation, re-establishment of livelihoods and resettlement of displaced communities. In addition, there is the need to ensure that the various stakeholder groups at the local community are adequately represented. This therefore calls for an extensive stakeholder analysis. In order to ensure that stakeholders are able to contribute meaningfully during the negotiation process, there is the need for capacity building on negotiation skills. Again, the local community should be educated on investment strategies and financial literacy in order to ensure effective utilization of compensation package. In selecting communities, care must be taken to ensure that

all affected communities are part of the negotiation process. The model proposes that all communities that falls within the mining concession should be part of the SRA development process.

After the consultation and deliberation stage, the model proposes a shift towards formalization of the SRA. This stage was referred to as the documentation and endorsement in the conceptual framework. The formalization process entails the development and endorsement of three key agreements, namely: relationship, development funding and local employment agreements. The relationship agreement involves the setting up the necessary structures to ensure smooth operations of the SRA. Unlike the conceptual model the relationship agreement entails setting up of the social responsibility forum (SRF) to provide an oversight responsibility of the implementation of the SRA. The SRF comprise key experts and representatives of relevant stakeholders. Another key aspect of the relationship agreement is the assignment of roles and responsibilities to principal stakeholders in order to secure full participation of the stakeholders. Again, the model proposes that the relationship agreement should state the objectives of the SRA in very clear and precise language for effective implementation.

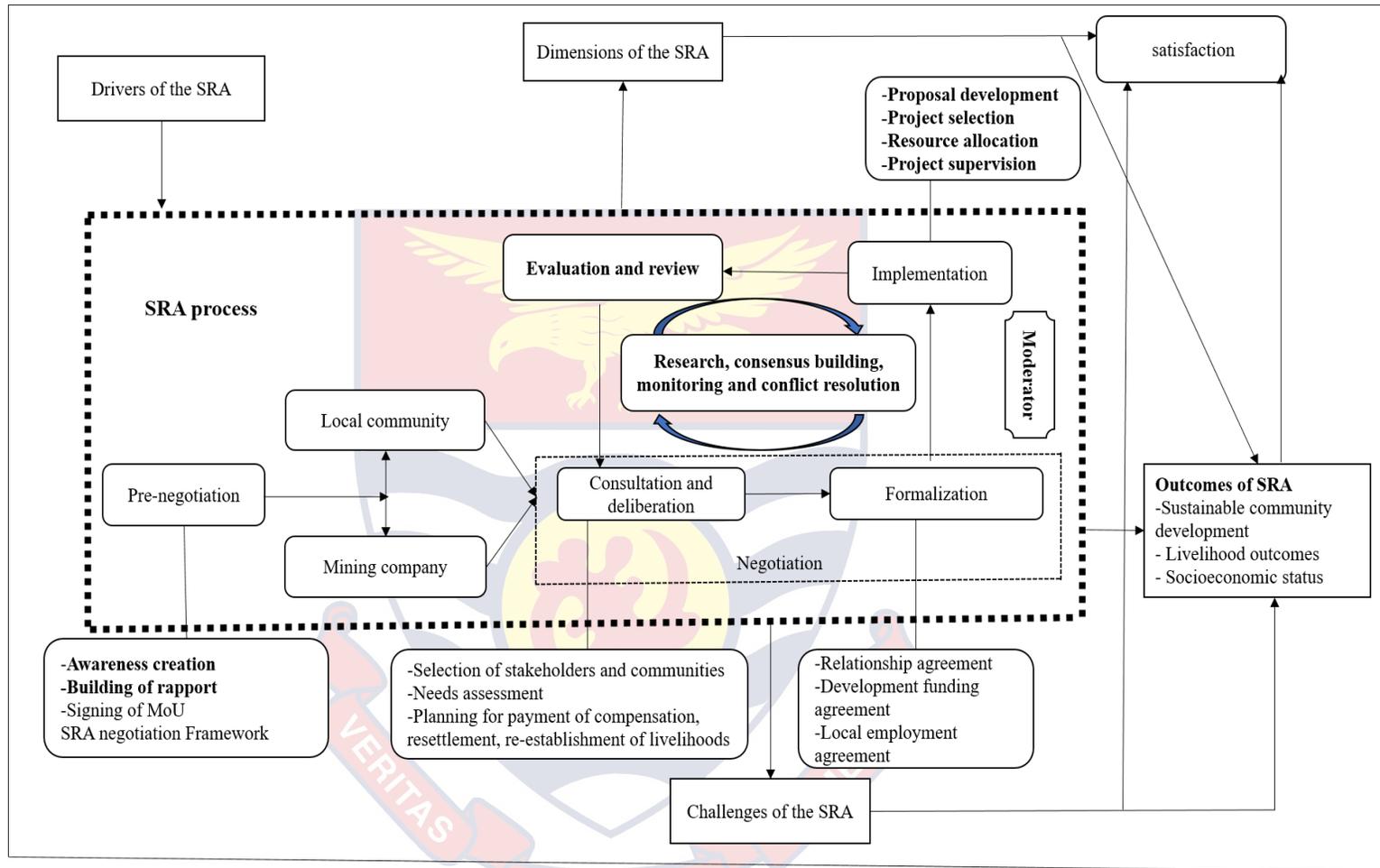


Figure 17: Practical Model for Social Responsibility Agreement Development and Practice in Mining

Source: Author's construct

The next outcome of the formalization stage is the development funding agreement to provide funds to spearhead developmental projects in the mining communities. Expanding on the previous model the study proposed that the development funding agreement should have a board of trustees to ensure effective and efficient utilization of funds accrue to the foundation. Again, there should be regular streams of funds to the development funding with very clear and agreeable formular for distribution. The final proposed outcome of the formalization process is local employment agreement to provide a guideline for the provision of mining jobs to people in the mining communities. The model add that local employment agreements should have a citizen validation committee in each mining operating community to authenticate the citizenship of local people applying for job at the mining company. Again, mining companies should agree with local communities to reserve certain jobs for only locals in order to reduce the unhealthy tension in mining communities when it comes to employment.

The next proposed stage of the SRA development process is implementation. Again, the earlier model combined implementation with monitoring and feedback. This proposed model however, separate implementation from the other two concepts. Just as research is akin to every stage of the SRA development process, monitoring and feedback is also part of the whole process of SRA development. Thus, the entire process of the SRA development entails monitoring to deal with deviations and feedback to ensure that the process is on course. The implementation stage in this model has added development of project proposals, selection of projects, resource allocation and supervision of projects. For

the purpose of accountability, meetings should be held at an agreed regular interval during the implementation to enable duty bearers the opportunity to give account of their stewardship. It also offers members of the community to seek clarification on issues that are not clear to them.

This model proposes evaluation and review as the final stages of the SRA development process. This is because needs of people keep on changing, therefore there is the need to review the agreement after a period of implementation to reflect the prevailing situation. The review process should be very comprehensive and must consider the views of all stakeholders. Thus, the evaluation and review stage should be backed by extensive research and consensus building to ensure that all relevant and accepted issues are included in the SRA. This model proposed that major review should be carried out every four to five years during which the full impact of the agreement would have manifested and the need for change would have been clearer.

The model proposed that SRA process should be coordinated by an external moderator with skills in time management, group facilitation, project management, managing diversity and conflict prevention, management and resolution. More importantly, the process of developing SRA in mining should be backed by extensive research in order to identify the key issues that need to be included in the agreement. Again, the process requires constant monitoring to ensure that deviations are quickly rectified and appropriate remedies proffered. Moreover, it requires continuous consensus building among relevant stakeholders on key

decisions. Finally, conflict prevention, management and resolution mechanisms need to be incorporated in the whole process of SRA development.

Suggestions for Further Research

The study identified the following areas for further research:

1. the nature and operations of SRAs of other mining and extractive industries to test the validity and reliability of the proposed SRA development model;
2. local content employment creation and dynamics of mining companies;
3. the impact of SRA implementation on the areas of education, health, agriculture, water and sanitation, culture, youth and business development;
4. stakeholders and community dynamics in SRA development by mining companies; and
5. sustainable funding of SRA development and implementation in mining communities.



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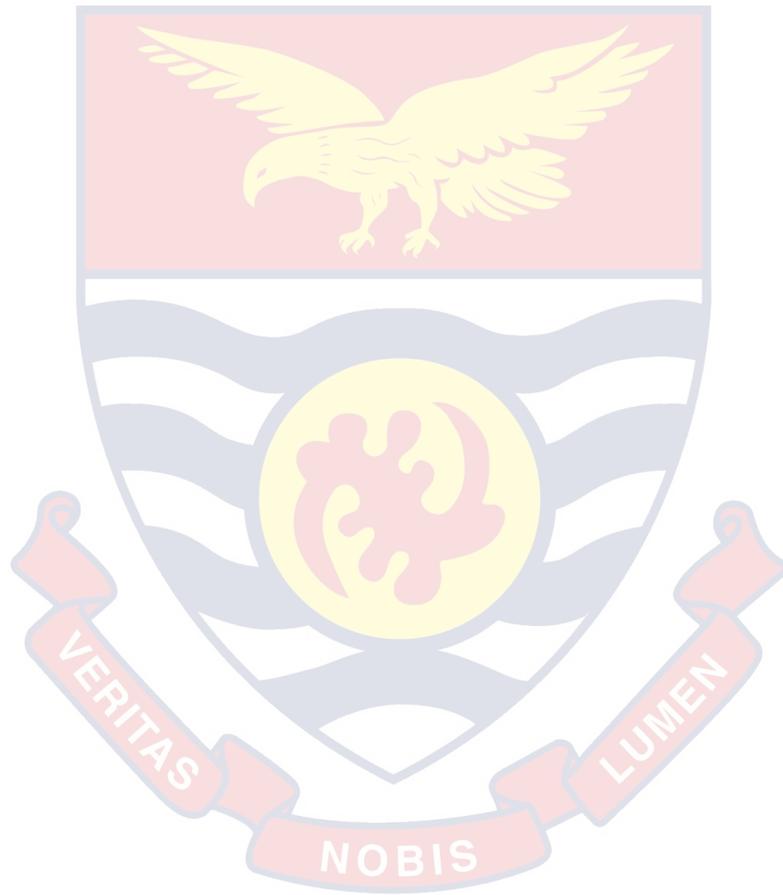
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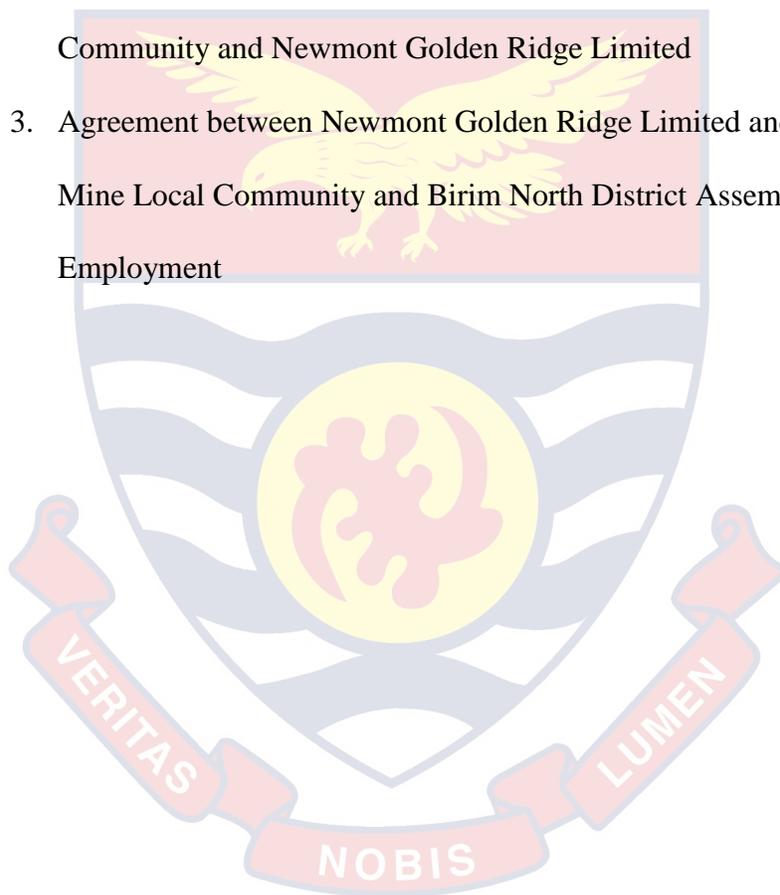


APPENDICES

APPENDIX A

List of documents

1. Newmont Akyem Social Responsibility Agreement between Newmont Akyem Development Foundation and Newmont Golden Ridge Limited
2. Akyem Social Responsibility Agreement between Akyem Mine Local Community and Newmont Golden Ridge Limited
3. Agreement between Newmont Golden Ridge Limited and the Akyem Mine Local Community and Birim North District Assembly on Local Employment



APPENDIX B:
STRUCTURES INTERVIEW SCHEDULE/QUESTIONNAIRE FOR
COMMUNITY MEMBERS
UNIVERSITY OF CAPE COAST
COLLEGE OF AGRICULTURE AND NATIRAL SCIENCES
SCHOOL OF AGRICULTURE UNIVERSITY OF CAPE COAST
DEPARTMENT OF AGRICULTURAL ECONOMICS AND EXTENSION

Structured interview guide/questionnaire for community members

Introduction and Consent

Hello, my name is _____

I am a PhD Student in NGO Studies and Community Development at the Department of Agricultural Economics and Extension, University of Cape Coast. I am conducting a research on the outcomes and related variables of Social Responsibility Agreement in Gold Mining: Evidence from Newmont Ghana Gold Limited. The aim of this research is to understand the operations of the Newmont Social Responsibility Agreement and how it is impacting on the lives of the catchment communities. Your participation in this survey will help to share more light on the topic. I would very much appreciate your participation in this study. This interview will take about an hour to complete. You are free at any stage of the session to opt out or refuse to answer some questions that make you feel uncomfortable. Your name will neither be nor will it be linked to the data that you

will provide and no other person aside the researcher will have access to the data that you will provide. The only reason for which you will be contacted again about this survey is, if we are interrupted and need to make arrangements to complete the survey at a later date and time.

Now, do you want to ask anything about the survey? Yes [] No []

If **Yes**, please ask your question:

.....

Do you [NAME:] agree to participate in the study?

Yes [] No []

If **No**, reason(s) for refusal:

.....

Signature/Thumbprint of Interviewee: _____

Date:

				2	0	1	8
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SECTION A: BACKGROUND INFORMATION OF RESPONDENTS	
Before we begin, I would like to get some brief background data about you.	
Date:	Time of Interview:
District:	Town:
1.	Name of respondent:
2.	Telephone number
3.	Sex

4.	Age at last birthday
5.	Number of years in formal education
6.	Marital Status
7.	Primary occupation
8.	Secondary occupation
9.	Position in the community
10.	Are you an employee of Newmont Golden Ridge? Yes [] No []
11.	Do you have any relative employed by the mines? Yes [] No []
12.	Number of Children
13.	Do all your children go to school? Yes [] No []
14.	If you are employed by the mines, how many years have you worked with them?
15.	Are you are aware of the Newmont Ahafo Social Responsibility Agreement? Yes [] No []
16.	Name some of the projects that has been undertaken through the SRA

SECTIONB: DRIVERS OF SOCIAL RESPONSIBILITY AGREEMENT IN THE MINING COMMUNITIES

Using a scale of 1-5 please the extent at which the following factors influence mining companies SRA agenda. Where 1=Very low extent, 2= low extent,3= moderate extent, 4= high extent and 5= very high extent

#	Drivers of Corporate Social Responsibility	1	2	3	4	5
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B1	Increased pressure on mining industry to share benefits with communities					
B2	As a means to obtain social license to operate					
B3	Pressure from civil society groups					
B4	Demand from shareholders wanting evidence of socially responsible practices					
B5	Demand from shareholders wanting evidence of environmentally responsible practices					
B6	Added value that good stakeholder relations can have on reputation.					
B7	Benefits of improved community support for a project					
B8	National regulatory requirements for corporate social responsibility					

<p>SECTION C: EXTENT OF ACHIEVEMENT OF OBJECTIVES OF THE SOCIAL RESPONSIBILITY AGREEMENT</p> <p>Using a scale of 1-5 Please indicate the extent at which the following objectives of the Newmont Akyem Mines has been achieved. Where 1 means to a very least extent, 2= least extent,3= moderate extent, 4= large extent and 5 means to a very large extent</p>						
#	Objectives of the SRA	1	2	3	4	5

C1	Provision of clear statement of the commitments of the parties					
C2	Provision of community with opportunity to participate in the company's decision that may affect the community.					
C3	Build strong communication ties between the parties					
C4	Set out the key principles on how the company-community will work together for mutual benefit					
C5	Define the key issues that the company-community intend to address					
C6	Ensure the sustainable development of the community					
C7	Provide for the establishment of a forum to deliberate on issues of mutual interest					
C10	Provide for a local employment agreement					
<p>EFFECTIVENESS OF GOVERNANCE OF SOCIAL RESPONSIBILITY AGREEMENT</p> <p>The statements below represent the governance structure of the Newmont Akyem Mines Social Responsibility Agreement. Using a scale of 1 to 5 indicate the effectiveness of the governance structure. Where 1 means very less effective, 2=</p>						

less effective, 3= moderately effective 4= very effective and 5 means very much effective						
	The agreement forum	1	2	3	4	5
D1	Oversight responsibility for implementing the agreement					
D2	Making of rules to ensure smooth operation of the agreement					
D3	Taking important decisions regarding the operations of the agreement					
	Sustainable development committee					
D4	Initiation of project for the community					
D5	Selection of projects that are relevant to the community					
D6	Collaborate with community members in selecting projects					
D7	Executing developmental projects in the community					
D8	Properly supervising projects					
	The complains resolution committee					
D9	Resolve any complaints that are referred to it					

EXTENT OF PERFORMANCE OF ROLES BY PRINCIPAL STAKEHOLDERS OF THE SOCIAL RESPONSIBILITY AGREEMENT						
Using a scale of 1-5 Please indicate the extent at which the following category of people have performed their assigned roles. Where 1 means to a very least extent, 2= least extent,3= moderate extent, 4= large extent and 5 means to a very large extent						
	Special roles of Nananom	1	2	3	4	5
E1	Assist to resolve conflict arising within the community					
E2	Assist to resolve conflicts between the company and the community					
E3	Receive visitors enquiring about the company's activities					
E4	Advise personnel from the company on issues relating to company-community relations					
E5	Support the company's agricultural improvement programme (AILAP) through the provision of land to help restore people's livelihood					
E6	Work together with the company to prevent Galamsey activities within the company's concession					

E7	Work together with the company to prevent Galamsey activities within the community as a whole					
	Role of the Community and citizens					
E8	Patronize information centers to seek information					
E9	Attend meetings to get feedback from committees' representatives on the various committees					
E10	Use community leaders as channels of communication with the company					
	Special role of the company and employees					
E11	Respect the culture of the community					
E12	Respect normal protocols					
E13	Honour promises					
E14	Use community leaders as channels of communication with the community					
	Special roles of the district assemblies					
E15	Assist to resolve any conflict arising within the community					
E16	Assist to resolve any conflict between the community and the company					
E17	Work together with the company to prevent galamsey activities within the company's concession					

E18	Work together with the community to prevent galamsey activities within the community as a whole					
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EFFECTIVENESS OF PARTICIPATION AND TRANSPARENCY MANAGEMENT IN THE SOCIAL RESPONSIBILITY AGREEMENT						
Using a scale of 1-5 indicate the effectiveness of the company-community participation and transparency management system of the SRA. Where 1 means very less effective, 2= less effective, 3= moderately effective 4= very effective and 5 means very much effective						
#	Statements	1	2	3	4	5
F1	Establishment of Newmont Development Foundation to fund sustainable projects					
F2	Specification of sources of funds to the foundation to be captured in the agreement					
F3	Resolve conflict through dialogue					
F4	Build the capacity of the various committee members on conflict management					
F5	The community participating in the company's environmental impact monitoring programmes					
F6	The community participating in the company's social impact monitoring programmes					

F7	The company observing the laws of Ghana regarding access to land.					
F8	The company observing the laws of Ghana regarding compensation					
F9	The company honouring local employment agreement					

COMMUNITIES PERCEPTION OF MINING COMPANY'S SOCIAL RESPONSIBILITY AGREEMENT IMPLEMENTATION						
Using a scale of 1-5, indicate your level of agreement to the following statements regarding the SRA. Where 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree						
#	Statements	1	2	3	4	5
G1	Newmont is committed to making profit for shareholders					
G2	Newmont employs members in this community					
G3	Newmont is a law-abiding corporate citizen					
G4	Newmont performs in a manner that protect plant and animals					
G5	Newmont protect the water bodies					
G6	Newmont performs in a manner consistent with societal expectations and norms					

G7	Newmont contribute resources to the community						
G8	Newmont performs in a manner consistent with the philanthropic expectations of the society						
G9	Newmont voluntary support projects that enhance community's quality of life						
G10	Newmont workers receive reasonable salary to maintain reasonable quality of life						
G11	Newmont provide equal opportunities for all its workers						
G12	Newmont is respected and trustworthy						
G13	Newmont is responsive to the needs of the community						
G14	Newmont complies with legal regulations						
G15	Newmont tries to help the government in solving social problems						
G16	Newmont targets sustainable growth which considers future generations						
G17	Newmont makes investment to create a better life for future generations.						
G18	Newmont makes investments to create employment opportunities for future generations						

G19	Newmont supports nongovernmental organizations					
G20	Newmont treat stakeholders with respect					
G21	The mine is concerned with the protection of wide range of stakeholders' interest					
G22	Newmont is living peacefully with the community					
G23	Newmont has improved the lives of the community members					
G24	Newmont pay royalties to Nananom					
G25	Newmont comply with the mining regulations					

<p align="center">PERCEIVED CONTRIBUTION OF SOCIAL RESPONSIBILITY</p> <p align="center">AGREEMENT TO SUSTAINABLE COMMUNITY DEVELOPMENT</p> <p>Using a scale of 1 – 5 indicate your level of agreement to the following statements as the contribution SRA to Sustainable community Development.</p> <p>Where 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree</p>						
#	Statements	1	2	3	4	5
H1	The company is the main source of employment to majority of the citizens					

H2	The company donates learning materials such as books to schools in the community					
H3	The company provides schools with computers and accessories to promote computer literacy in the community					
H4	The company provides material assistance for construction of new schools and renovation old school blocks					
H5	The company provides the community new schools blocks					
H6	The company provides scholarship beneficiaries to students in the community					
H7	The company has renovated old school blocks in this town					
H8	The company has built healthcare centres in the community to promote healthcare delivery					
H9	The company provides malaria control programmes to fight malaria in this community					
H10	The company organizes routine health screening for the members of the community					
H11	The company is concerned with environmental issues in this community					

H12	The company provides good drinking water to the community					
H13	The company sponsors youth development programmes					
H14	The company runs apprenticeship programmes to train local people each year					
H15	The company has constructed a library for the community					
H16	The community has benefited from construction of teachers' bungalows					
H17	The company occasionally pay medical bills for the needy					
H18	Some members of the community have benefited from free health insurance registration					
H19	The company has constructed nurses/doctors' quarters for the community					
H20	The company supply agricultural input to farmers in this community					
H21	Farmers in this community benefit from the provision of extension services by the company					

H22	The company provide support for cultural heritage					
H23	The company support sporting activities in this community					
H24	The company reclaimed degraded lands					
H25	The company has renovated the chief palace for the community					
H26	The company embarks on afforestation programmes					
H27	The company has provided a place of convenience for the community					
H28	The company has constructed a community center for the community					
H29	The community has been provided with a market					
H30	The community has benefited from building of a lorry stations					
H31	The company provide support for local businesses					
H32	Members in the community benefit from a credit scheme provided by the company					

SECTION I: PERCEIVED CONTRIBUTION OF MINING SOCIAL RESPONSIBILITY AGREEMENT ON SOCIO-ECONOMIC STATUS

Using a scale of 1 – 5 please indicate the extent at which the socio-economic conditions of the p people in this community has improved as the results of SRA. Where 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree

#	Statement	1	2	3	4	5
S1	CSR has improved access to education					
S2	CSR has improved access to transportation					
S3	CSR has improved access to housing					
S4	CSR has improved access to portable water					
S5	CSR has improved access to health facilities					
S6	CSR has improved access to well-paid job					

SECTION J: PERCEIVED CONTRIBUTION OF MINING SOCIAL RESPONSIBILITY AGREEMENT ON LIVELIHOOD OUTCOMES

Using a scale of 1 – 5 indicate your level of agreement to the following statements as the contribution of Newmont SRA to improvement in your livelihood outcome. Where 1= very less agree, 2= less agree, 3= moderately agree, 4= much agree and 5= very much agree

#	Statement	1	2	3	4	5
J1	My income has increase					
J2	I am able to buy enough food to feed my family					

J3	I am able to meet the nutritional needs of my family					
J4	I am able to meet the health needs of my family					
J5	I am able to meet the health needs of my family					
J6	I am able to meet educational expenses of my children					
J7	I am able to afford good accommodation					
J8	I have acquired room furniture					
J9	I have acquired electrical appliances					
J10	I have acquired a piece of land for farming					
J11	I am able to afford communication gadgets					
J12	I am able to afford good quality water					

SECTION K: CHALLENGES IN THE IMPLEMENTATION OF THE
NEWMONT GOLDEN RIDGE SOCIAL RESPONSIBILITY AGREEMENT

Please indicate three main challenges confronting the implementation of the
Newmont Golden Ridge Social Responsibility Agreement

- a. _____
- b. _____
- c. _____

SECTION L: SATISFACTION

On a scale of 1-5 how will you describe your level of satisfaction with the
implementation of Newmont Akyem Social Responsibility Agreement where 1=

very less satisfied, 2= less satisfied, 3= moderately satisfied, 4= very satisfied and 5= very much satisfied.

Thank you very much for taking time to respond to the questions.

APPENDIX C

FOCUS GROUP DISCUSSION GUIDE

Introduction and Informed Consent

Hello, my name is _____

I am a PhD Student in NGO Studies and Community Development at the Department of Agricultural Economics and Extension, University of Cape Coast. I am conducting a research on the ‘Outcomes and Related Variables of Social Responsibility Agreement in Gold Mining: Evidence from Newmont Ghana Gold Limited. The questions that I will ask you will focus on the operations of the Newmont Ahafo Social Responsibility Agreement such as company-community roles and principles, projects undertaken through the agreement, the effect of the projects on the livelihood of the community members among others. You are free at any stage of the session to opt out or refuse to answer some questions that make you feel uncomfortable. Your name will neither be cited and the information you provided will be treated with an ultimate confidentiality.

Now, do you want to ask anything about the FGD? Yes No

If **Yes**, please ask your question:

.....

Do you [NAME:] agree to participate in the study? Yes

No

If **No**, reason(s) for refusal:

.....

Date:

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SECTION A: BACKGROUND INFORMATION	
Date:	Time of Interview:
17.	Name of community: District:
18.	Number of males : Number of Females:
19.	Number in the group
20.	List of participants and their designation

SECTION B: OPERATIONS OF THE SOCIAL RESPONSIBILITY AGREEMENT	
1.	What do you know about the Newmont Social Responsibility Agreement?
2.	What are the objectives of the Newmont Ahafo Social Responsibility Agreement?
3.	Briefly describe the governance structure of the SRA
4.	<p>According to the agreement what role do the following groups of people play?</p> <ul style="list-style-type: none"> • The mining company and its employees • Chief and Elders • The District assemblies • The community and citizens
5.	In your opinion how has the various groups performed their functions
6.	<p>Description of Company-Community Participation and Transparency Management in terms of:</p> <ul style="list-style-type: none"> • Newmont Ahafo Development Foundation and its Management • Issues identification and potential conflict resolution management • Information/communication management • Environmental/social participation monitoring management • Environmental/social closure and reclamation management • Land access and compensation management • Local employment agreement

7.	<p>What are some of the projects that has been brought to this community as the result of the SRA</p> <ul style="list-style-type: none"> • Support for culture and sports • Human resource • Infrastructure • Social amenities • Economic empowerment
8.	How did you agree on these projects?
9.	Describe the effect of the above listed projects on the livelihood of the community members
10.	How has the SRA contributed towards sustainable community Development
11.	Describe the effect of the SRA on socio-economic development
12.	What are some of the challenges in the implementation of the SRA
13.	Do you have any question on comment on the interview?
	THANK YOU FOR TAKING PART IN THIS FGD
	Duration for the interview:

APPENDIX D

PERSONAL INTERVIEW GUIDE

Introduction and Informed Consent

Hello, my name is _____

I am a PhD Student in NGO Studies and Community Development at the Department of Agricultural Economics and Extension, University of Cape Coast. I am conducting a research on the ‘Outcomes and Related Variables of Social Responsibility Agreement in Gold Mining: Evidence from Newmont Ghana Gold Limited. The questions that I will ask you will focus on the operations of the Newmont Ahafo Social Responsibility Agreement such as company-community roles and principles, projects undertaken through the agreement, the effect of the projects on the livelihood of the community members among others. You are free at any stage of the session to opt out or refuse to answer some questions that make you feel uncomfortable. Your name will neither be cited and the information you provided will be treated with an ultimate confidentiality.

Now, do you want to ask anything about the interview? Yes [] No []

If **Yes**, please ask your question:

.....
.....

Do you [NAME:] agree to participate in the study?

Yes [] No []

If **No**, reason(s) for refusal:

.....

Date:

				2	0	1	8
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SECTION A: BACKGROUND INFORMATION	
Date:	Time of Interview:
1.	Name of respondent
2.	Type of stakeholder
3.	Designation of the respondent
4.	Sex of the respondent
5.	Educational level of the respondent

SECTION B: OPERATIONS OF THE SOCIAL RESPONSIBILITY AGREEMENT	
1.	What do you know about the Newmont Social Responsibility Agreement?
2.	What are the objectives of the Newmont Ahafo Social Responsibility Agreement?
3.	Briefly describe the governance structure of the SRA

4.	<p>According to the agreement what role do the following groups of people play?</p> <ul style="list-style-type: none"> • The mining company and its employees • Chief and Elders • The District assemblies • The community and citizens
5.	<p>In your opinion how has the various groups performed their functions</p>
6.	<p>Description of Company-Community Participation and Transparency Management in terms of:</p> <ul style="list-style-type: none"> • Newmont Ahafo Development Foundation and its Management • Issues identification and potential conflict resolution management • Information/communication management • Environmental/social participation monitoring management • Environmental/social closure and reclamation management • Land access and compensation management • Local employment agreement
7.	<p>What are some of the projects that has been brought to this community as the result of the SRA</p> <ul style="list-style-type: none"> • Support for culture and sports • Human resource • Infrastructure • Social amenities • Economic empowerment

8.	How did you agree on these projects?
9.	Describe the effect of the above listed projects on the livelihood of the community members
10.	How has the SRA contributed towards sustainable community Development
11.	Describe the effect of the SRA on socio-economic development
12.	What are some of the challenges in the implementation of the SRA
13.	Do you have any question or comment on the interview?
	THANK YOU FOR TAKING PART IN THIS INTERVIEW
	Duration for the interview:

