

**POLICY IMPLEMENTATION DYNAMICS IN ZIMBABWE'S  
INDIGENISATION AND ECONOMIC EMPOWERMENT POLICY:  
THE CASE OF ZIMPLATS MHONDORO-NGEZI-CHEGUTU-ZVIMBA  
COMMUNITY SHARE OWNERSHIP TRUST:  
2012-2016**

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## **DEDICATION**

This research is dedicated to the Almighty God for fulfilling his word in my life. Thank you for restoration and ordering my steps. To my departed dad, I always wish to please you even though you cannot witness my success. My mother, my pillar of strength, you always believe in me even when I would have lost the power to go on. To my two children, Mutsawashe and Munesuishe Hwata for enduring long hours without my attention as I attended to the demands of my academic endeavours. To my sisters and brothers, for your unwavering support throughout the journey.

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## ABSTRACT

This study sought to explore the implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy, with particular reference to the Zimplats Mhondoro-Ngezi-Chegutu-Zvimba Community Share Ownership Trust (ZMNCZCSOT). Zimplats Mhondoro-Ngezi-Chegutu-Zvimba was the first community share ownership trust (CSOT) to be launched in the mining sector in Zimbabwe, having been established in October 2011 as one of Zimbabwe's platinum mining giants, Zimplats, sought to comply with the indigenisation policy. This research was prompted by the fact that the manner in which a policy is implemented usually diverts from the original objectives and problems that the policy makers endeavour to address during the formulation process. The primary objective of this study was to explore the policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy, with particular reference to the ZMNCZCSOT. There were five specific objectives. These were to analyse the legal, policy and institutional framework through which CSOTs are implemented in Zimbabwe; to critically examine the operation and effectiveness of the CSOT policy instrument. The study also sought to highlight and discuss the challenges faced in the implementation of the ZMNCZCSOT and to propose possible options for enhancing the success of the ZMNCZCSOT. There was a review of literature on the rationale behind indigenisation policies, the challenges usually faced in implementation, and options for enhancing the success of the policy frameworks. Quantitative and qualitative research philosophies were applied through the use of a case study. The population was made up of officials from the Ministry of Youth Development, Indigenisation and Economic Empowerment, ZIMPLATS, ZMNCZCSOT implementation committee (Trustees), elected and appointed officials in Rural District Councils covered by the CSOT, traditional leaders and ordinary members of the communities. The researcher use purposive sampling technique to identify participants she believes to be good prospects for obtaining the required information. The findings were discussed in line with the emerging themes or classes of findings. Narrative, tabular, and graphical illustrations were used to present the findings. The research found out that there were inconsistencies in the legal framework for the CSOTs. There were inadequate guidelines on operations of CSOTs and some of them lacked capacity. The ZMNCZCSOT was doing a good job to promote development but there was limited grassroots participation and inequality in the distribution of projects in the districts. There was limited information dissemination pertaining to the operations of the company (Zimplats). While the company was facing operational challenges, it was accused of dishonestly and purposively reporting losses. However, the company should release the share certificate. There was also limited information dissemination to the grassroots. The overall conclusion was that there were inconsistencies in the legal framework and inadequate guidelines on the operations of CSOTs. ZMNCZCSOT was trying its best to ensure community development though active participation. However, information dissemination was noted to be a challenge. The research recommended that there was a need for a consistent and clear legal framework, capacity building, grassroots participation, effective information dissemination, widening of the sources of funds, and transparency in the management of the ZMNCZCSOT.

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## LIST OF ABBREVIATIONS

ADB:	African Development Bank
BBBEE:	Broad-Based Black Economic Empowerment
CSOT:	Community Share Ownership Trust
ESAP:	Economic Structural Adjustment Programme
FGDS:	Focus Group Discussions
IBWO:	Indigenous Business Women Organisation
IEE:	Indigenisation and Economic Empowerment
IEEA:	Indigenisation and Economic Empowerment Act
IIP:	Indigenisation Implementation Plan
IPO:	Initial Public Offering
MNCs:	Multinational Corporations
MYIEE:	Ministry of Youth, Indigenisation and Economic Empowerment
NDP:	National Development Policy
NEEEF:	New Equitable Economic Empowerment Framework
NEP:	New Economic Policy
NIEEB:	National Indigenisation and Economic Empowerment Board
PA:	Principal-Agent
PPC:	Pretoria Portland Cement
QBPs:	Qualifying Business Partners
SAPs:	Structural Adjustment Programmes
SDGs:	Sustainable Development Goals
SPSS:	Statistical Package for Social Sciences
ZimASSET:	Zimbabwe Agenda for Sustainable Socio-Economic Transformation
ZIMPREST:	Zimbabwe Programme on Reconstruction and Social Transformation
ZMNCZCSOT:	Zimplats Mhondoro-Ngezi-Chegutu-Zvimba Community Share Ownership Trust

## CHAPTER ONE

### INTRODUCTION

#### 1.1 INTRODUCTION

This study seeks to explore the implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy, with particular reference to the Zimplats Mhondoro-Ngezi-Chegutu-Zvimba Community Share Ownership Trust (ZMNCZCSOT). Zimplats Mhondoro-Ngezi-Chegutu-Zvimba is the first community share ownership trust (CSOT) to be launched in the mining sector in Zimbabwe, having been established in October 2011 as one of Zimbabwe's platinum mining giants, Zimplats, sought to comply with the indigenisation policy. This research is prompted by the fact that the manner in which a policy is implemented usually diverts from the original objectives and problems that the policy makers endeavour to address during the formulation process. This phenomenon inspired the classic work of Pressman and Wildavsky (1973) in their publication titled *'Implementation: How Great Expectation in Washington are Dashed in Oakland'*. In this introductory chapter, focus is on the background to the study, statement of the problem, research objectives and research questions. The chapter also presents the significance of the study, the research limitations, delimitation of study, and organisation of the study.

#### 1.2 BACKGROUND TO THE PROBLEM

Zimbabwe has always had fierce contestation over the control of resources, way before even the first white man set foot in the territory between the Zambezi and Limpopo (Mazingi and Kamidza, 2009:78). Bloody tribal and ethnic wars were fought, solely, for the right to control the resources like land, mines and hunting territories. The two tribes that dominated this context were Shona and Ndebele. However, the gross inequalities created as a result of monopoly of resources was only effected as a result of racial discrimination imposed by white settlers in 1890 (ibid: 78).

The colonial era saw development that was skewed in the favour of the minority white race and there was dual development. The colonialists also divided arable land amongst themselves (through the Land Apportionment Act of 1931) and established property rights. Through security forces like the police and secret service, Africans were constrained from revolting against colonialism and its many forms of discrimination (Alemazung, 2010:54). The colonisers imposed their economic and political systems in the administration of people

and their acquired property. The colonial system also purposefully and systematically restricted the blacks from meaningful participation in the economy and wealth accumulation was left for the white minority (Kasukuwere, 2011:1). The colonial imbalances and discriminatory practices were the major drivers for independence struggles in most countries (Matsa and Masimbiti, 2014:152). According to Kasukuwere (2011:1), the black Zimbabweans resisted the apparent colonial conquest and alienation of their resources and engaged in armed struggle for independence.

There was attainment of political independence but it was not enough to address the historical colonial imbalances. Banana (1991:41) asserts that Zimbabwe attained independence when over 90% of the economy was in foreign hands. Sachikonye (2011:153) concurs by stating that Zimbabwe’s inheritance at independence consisted of a skewed class system with most of the wealth concentrated in the hands of a white minority and of foreign owned companies. According to Herbst (1990:110), foreign investment has been an integral part of the Zimbabwean economy given that the British South Africa Company, which was a multinational company, founded the country. Accordingly, foreign companies were deeply involved in every aspect of Zimbabwe’s economy and dominated the mining sector. Table 1.1 shows the estimates of foreign control of the economy by sector in 1986.

Table 1:1: Estimates of Foreign Control by Sector (1986)

<b>Ownership</b>	<b>Agriculture</b>	<b>Manufacturing</b>	<b>Mining</b>	<b>Distribution</b>	<b>Transport</b>	<b>Finance</b>	<b>Overall</b>
Domestic	55	48	25	75	65	25	50
Foreign	45	52	75	25	35	75	50

Source: Herbst (1990:114)

The Zimbabwean Government therefore made protracted efforts to deal with the legacy of colonialism as can be sniffed out of the various policies enacted by government, especially in the first decade. One of the policy actions taken was to ‘Africanise’ the public sector. The Prime Minister’s Directive of 1981 paved way for the appointment of blacks into senior government positions, even if they were not adequately qualified for the posts. This move was meant to empower the black public administrators. The Government also pursued egalitarian policies like the Growth with Equity and the Health and Education for all policies. Despite the importance of the land issue to the people, the Zimbabwe Government was severely restricted in its efforts to redistribute land as the Lancaster House Constitution required that all land acquired by government be purchased on ‘willing -buyer-willing-seller’ basis and that

owners of any land seized by the government must be compensated in foreign currency (Herbst 1990:42) . To this end, Banana (1991:41) notes that for all these policies to be successful Zimbabwe needed the financial support of the developed world without which the new government would face formidable social and political problems. This posed challenges for the new government as it had espoused the doctrine of socialism, yet those who had the capacity to fund their programmes had embraced the capitalism doctrine.

The second decade of independence saw capitalism maintaining its hold on the Zimbabwean economy and the world over. Neoliberal and market driven policy measures were adopted under Structural Adjustment Programmes (SAPs), which were prescribed by the World Bank and the International Monetary Fund. Raftopolous (1996:3) notes that several factors in the late 1980s saw the indigenisation debate emerging with more force due to several factors including an increasing budget deficit, limited foreign investment and growing unemployment. The demands for greater African participation in ownership of the economy were made against a background of continuing racial inequality in the postcolonial economy. For example, by 1991, 51% of the population received less than 15% income and about 15% of total consumption. On the other hand, the richest 3% of the population received 30% of total incomes and were responsible for 30% of the total consumption (ibid: 3). It is also during this era that the indigenous business lobbies emerged to ensure that their interests were not marginalised under ESAP. These included Indigenous Business Development Centre, Affirmative Action Group and the Indigenous Business Women Organisation (IBWO). Mobilisation of labour was also enhanced during this era as ESAP called for a corporate strategy between labour, the state and capital. However, it has been noted that ESAP had the negative effects of reversing the gains of the first decade policies as the state rolled back its frontiers. The government then abandoned the Economic Structural Adjustment Programme (ESAP) and embraced the Zimbabwe Programme on Reconstruction and Social Transformation (ZIMPREST), an economic blueprint that sought to restore macro-economic stability and promote entrepreneurship development as well as the promotion of economic empowerment (Zhou and Zvoushe, 2012:216).

The Government enacted the Land Acquisition Act in 1992 in a bid to counter the slow pace of the land redistribution under the willing buyer-willing seller approach. The Act provided a framework for land issues and processes. Although the Act authorised the compulsory acquisition of land by the government, not enough resources to compensate those whose land would have been compulsorily acquired for redistribution was available. Efforts to get donor

funding for the programme were futile as the Government did not agree to the condition attached if financial support was to be granted and in the end Phase Two of the Land Reform and Resettlement Programme was never implemented (Zhou and Zvoushe 2012:218).

The third decade saw the Government endorsing the fast track land reform programme as the efforts of the first two decades fell short of the expected targets of equitable land redistribution. Banana (1991:41) argues that the attainment of independence would have meant that the control of the economy would revert back to the indigenous black people immediately after independence. However, what can be gleaned from the above three decade analysis showed that the indigenous people remained in poverty and vulnerable three decades into independence. It is also essential to note that the need for economic independence and to alleviate poverty resulted in countries like Brazil, Namibia, Nigeria, South Africa and Zambia embarking on indigenisation and economic empowerment programmes (Shumba, 2014:v). Zimbabwe formulated the Indigenisation and Economic Empowerment Policy, with the enabling legislation being the Indigenisation and Economic Empowerment Act [Chapter 14:33] (IEEA) of 2007. According to Zhou and Zvoushe (2012:218), “the rationale behind the promulgation of the policy is to empower black populations which were disadvantaged in the colonial era”. As part of the implementation strategies for the IEEA, there was the enactment of Statutory Instrument 21 of 2010 (SI 21/2010) that makes it mandatory for businesses whose net value exceeds US\$500,000 to establish CSOTs (Mabhena and Moyo, 2014:74; Tshuma, 2015:28).

The CSOTs were designed to ensure that communities that are adjacent to mining companies benefit from the country’s non-renewable natural resources. The CSOTs seek to fulfil the major policy objective of the IEEA, which is to ensure “economic empowerment of indigenous Zimbabweans by increasing, mainly through economic expansion, their productive investment in the economy so as to create more wealth and eradicate poverty among the majority of Zimbabweans”. In the words of Tigere (2013:9), “the essence of indigenisation lies in spreading the benefits of economic growth to the majority, making economic growth premised on inclusion sustainable”. In light of the IEEA and SI 21/2010, Zimplats became the first mining company to launch a CSOT. However, even though the objectives of the CSOTs and the enabling policy legislation seem to be noble, implementation is a complex task. In the light of this argument, this study seeks to explore the policy implementation dynamics in the ZMNCZCSOT. More specifically, the study examines the clarity of the policy framework, assesses the extent of success and the factors that affected the

implementation process, interrogates the challenges faced, and proffers possible options for enhancing success.

### **1.3 STATEMENT OF THE PROBLEM**

The Government of Zimbabwe in 2007 enacted the IEEA to address imbalances created by colonialism. In light of this policy direction, Zimplats launched the ZMNCZCSOT in 2011, becoming the first company to do so. However, indigenous Zimbabweans who are meant be the beneficiaries of the IEEA are yet to fully benefit from the policy objectives of IEEA (Tshuma, 2015:28). The net picture painted by anecdotal evidence in press reports suggest that IEE policy is challenged. CSOTs are the main policy instruments used to achieve the objectives of the IEEA. Therefore, this study seeks to investigate the challenges faced by the Government of Zimbabwe in implementing the objectives of the IEEA in general and ZMNCZCSOT in particular.

### **1.4 OBJECTIVES OF THE STUDY**

The primary objective of this study is to explore the policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy, with particular reference to the ZMNCZCSOT. Specific objectives are as follows:

- To analyse the legal, policy and institutional framework through which CSOTs are implemented in Zimbabwe;
- To critically examine the operation of the CSOT policy instrument in the IEE Policy;
- To analyse the effectiveness of the ZMNCZCSOT in achieving the IEE policy objectives;
- To highlight and discuss the challenges faced in the implementation of the ZMNCZCSOT; and
- To propose possible options for enhancing the success of the ZMNCZCSOT.

### **1.5 RESEARCH QUESTIONS**

The study seeks answers to the following questions.

- What are the legal, policy and institutional frameworks through which CSOTs are implemented in Zimbabwe?
- How sound or clear are the operations of the CSOT policy instrument in the IEE Policy?

- To what extent has the ZMNCZCSOT been able to ensure the attainment of the IEE policy objectives?
- What challenges have been faced in the implementation of the ZMNCZCSOT?
- What are the possible options for enhancing the success of the ZMNCZCSOT?

## **1.6 SIGNIFICANCE OF THE STUDY**

This study has both practical and theoretical benefits. In practice, the study seeks to enhance the effectiveness of the ZMNCZCSOT through examining the challenges affecting the success of the Trust and proffering possible solutions. The success of the CSOT would result in poverty alleviation and ensure that Zimbabwe is able to meet some of the sustainable development goals (SDGs). To the Government, the study provides insights on possible improvements that may be effected on the legal and institutional framework for the indigenisation policy. The study could be beneficial to the general public in that it seeks to strengthen one of the policy instruments that are aimed at alleviating poverty in the communities. To companies like Zimplats, the study provides an evaluation of the efforts they have made in improving the standards of living in the communities they operate. Finally, the research has theoretical benefits in that it will add to the body of knowledge pertaining to the indigenisation and economic empowerment policies. The CSOTs are a relatively new phenomenon in Zimbabwe, having been launched less than a decade ago and there is limited literature, which is based on empirical research on the subject matter.

## **1.7 LIMITATIONS OF THE STUDY**

The researcher could face a number of limitations during the conduct of this study. The first limitation could be in terms of obtaining authority to conduct the research given the sensitive nature of the indigenisation policy and CSOTs. To overcome the limitation, it shall be clearly stated, in the letters seeking authority to do research, that the study is not against the implementation of the CSOT but seeks to provide academic insights on how enhance the success of the policies. Another potential limitation could be that of the availability of the participants, who may be busy with their daily routines. To overcome this limitation, the researcher shall make appointments in advance and data collection would be done when the availability of the participants has been confirmed.

## **1.8 DELIMITATIONS OF THE STUDY**

This study focuses on examining the indigenisation and CSOT policy framework and the implementation of the ZMNCZCSOT. The research seeks to examine the soundness and

clarity of the policy framework, assess the extent of success of the ZMNCZCSOT, interrogate the challenges faced in implementation, and proffer possible options for enhancing the success of the policy frameworks. Data shall be collected from officials in the Ministry of Youth Indigenisation and Economic Empowerment, Zimplats, ZMNCZCSOT implementation committee (Trustees), elected and appointed officials in Rural District Councils covered by the CSOT, traditional leaders and from ordinary members of the communities. The study assesses the progress and challenges faced in the implementation of the ZMNCZCSOT from the year 2012 to 2016.

## **1.9 ORGANISATION OF THE STUDY**

This study is made up of five chapters. Chapter One presents the research problem and its setting. Focus is on background to the establishment of CSOTs, research objectives and research questions. The significance of the study, the research limitations, and delimitations of study are part of the chapter.

Chapter Two presents a review of literature. There is a presentation on the conceptual framework, theoretical framework, literature review on indigenisation and economic empowerment, and country case studies. Conceptual framework focuses on examining the concepts of policy and policy implementation. Theoretical framework shall review the principal-agency theory, the public choice theory, and the theory on national liberation. Review of literature focuses on the rationale behind indigenisation policies, the challenges that are usually faced in implementation, and options for enhancing the success of the policy frameworks. The chapter ends by presenting country case studies on the implementation of the indigenisation and economic empowerment policies, which are expected to draw lessons for Zimbabwe's policy and implementation framework.

Chapter Three focuses on research methodology. It presents the philosophical framework underpinning the study, the research design, target population, sampling techniques, research instruments, validity and reliability of the instruments, data collection procedures, ethical considerations, and data analysis and presentation procedures.

Chapter Four focuses on data presentation, analysis and discussion. It presents, analyses and discusses the findings thematically, in line with the research objectives. Each objective is discussed under its own section.

Chapter Five concludes the study. It presents the summary of the study, conclusions, recommendations and suggestions for further research.

## CHAPTER TWO

### LITERATURE REVIEW

#### 2.1 INTRODUCTION

This chapter presents a review of literature. There is a presentation on the conceptual framework, theoretical framework, literature review on indigenisation and economic empowerment, and country case studies. Conceptual framework focuses on examining the concepts of policy and policy implementation. Theoretical framework shall review the principal-agency theory, the public choice theory, and the theory on national liberation. Review of literature focuses on the rationale behind indigenisation policies, the challenges that are usually faced in implementation, and options for enhancing the success of the policy frameworks. The chapter ends by presenting country case studies on the implementation of the indigenisation and economic empowerment policies, which are expected to draw lessons for Zimbabwe's policy and implementation framework.

#### 2.2 CONCEPTUAL FRAMEWORK

##### 2.2.1 Public Policy

According to Brooks (1989:9), there is no common definition of what public policy is. Quite a number of authors have put forward interesting perspectives on what it is. There are numerous definitions of public policy. According to Dye (2002:18) public policy is "whatever governments choose to do or not to do." Smith (2003:2) defines public policy as "a proposed course of action of a person, group or government within a given environment providing obstacles and opportunities which the policy was proposed to utilize and overcome in an effort to reach a goal or realize an objective or purpose." Marke (2007:54) argued that public policy is "a broad guide to present and future decisions, selected in light of given conditions from a number of alternatives; the actual decision or set of decisions designed to carry out the chosen course of actions; a projected program consisting of desired objectives (goals) and the means of achieving them." Kahiha (2009:32) views public policy as "a commitment to a course or plan of action agreed to by a group of people with the power to carry it out or a plan of action agreed to by a group of people with the power to carry it out and enforce it."

Pal (1989:5) weighs in to support government as the locus of public policy when he says, "what makes a policy public policy is not its impact but its source." In his article in the *Oxford Handbook of Public Policy* Wilson (2006:153) has it that policymaking is the process

through which governments transform their political visions into programmes and actions to deliver outcomes. Lindblom (1980:63) also concurs that “policy making overwhelmingly rests in the hands of the bureaucracy, leaving relatively few policies to be determined elsewhere.” Zhou and Zvoushe (2012:212) also agree that public policy is centred on the government when they say “definitions generally locate the source of public policy in government.”

Thus equally visible in the definition discourse are references to the public domain as the source of public policy,' policies as responses to public problems (problem solving); public policies as intentional instruments; public policies as demand driven; policies as action (positive decision); inaction (negative decision) and authoritative (policies as legally binding).

Public policies likewise fill in as key instruments at both the national and global fronts. At the household level, they fill in as systems of peace making, tackling and adjusting contending qualities and interests inside the country. People who make up the society hold distinctive and frequently clashing qualities on which policy problems, objectives and alternatives ought to be organised at a given time. At the global level, public policies constitute the means through which governments relate and market themselves to the outside group. Underlined here is the need to guarantee that due consideration is given to the definition of both domestic and foreign policies. Domestic policies such as land strategy, defence approach, tax arrangements, labour and work policies, and investment polices impart certain messages to the local and the international community (Smith, 2003:5).

### **2.2.2 Policy Implementation**

Policy implementation refers to the mechanisms, resources, and relationships that link policies to programme action (Bryson and Crosby, 2005:21). Understanding the nature of policy implementation is important because international experience shows that policies, once adopted, are not always implemented as envisioned and do not necessarily achieve intended results. Edwards (1980:10) defines policy implementation as a stage of policy making between the establishment of a policy (such as the passage of a legislative act, the issuing of an executive order, or the promulgation of a regulatory rule) and the consequences of the policy for the people whom it affects. Policy implementation also involves a wide variety of actions, such as issuing and enforcing directives, disbursing funds, making loans, assigning and hiring personnel (Makinde, 2005:63).

Various factors influence policy implementation, including the content of the policy, the nature of the policy process, the actors involved in the process, and the context in which the policy is designed and must be implemented (Love, 2004:32). Implementation is an ongoing process of decision making by key actors who work in complex policy and institutional contexts and face pressures from interested as well as opposing parties. As such, the motivation, flow of information, and balance of power and resources among stakeholders influences policy implementation processes.

The manner in which a policy is implemented is not linear and may change over time for a variety of reasons, some of which are only controlled by policymakers. Policies are often redefined and interpreted throughout the implementation process as they confront the realities of implementation on the ground. A deeper understanding of how policies travel up and down the various intermediary levels between the centre and the periphery is essential. Furthermore, contrary to the views commonly held by policymakers, such variation and adaptability to context is a major criterion of success rather than of failure (Cuban, 1998:477).

The organisational context and the personality characteristics of implementers are also influential, and have to be taken into account to properly study the attitudes of professionals towards public policies. There is an intense debate going on concerning the pressures public professionals face in service delivery (Ackroyd *et al.*, 2007:9; and De Ruyter *et al.*, 2008:432). Moreover, policy implementation research continues to stress the importance of the willingness of the implementers (May and Winter, 2009:455). As Ewalt and Jennings (2004:453) put it, "It is clear from the literature there is much that members of an organization can do to stymie policy implementation."

Policymakers and programme implementers also often have limited understanding of how broader policies might help overcome service delivery obstacles (Love, 2004:34). Time after time, policy arrangement and program evaluations underline yields (number of individuals benefited or trained) or results (for instance, expanded information among the trainees or beneficiaries) however disregard the policy or strategy implementation process, which could reveal insight into obstructions or facilitators of more powerful execution. Evaluating policy implementation process opens up the 'black box' to give more prominent comprehension of why projects work or do not work and the variables that add to program achievement (Sharma, Bhuyan, and Jorgensen, 2009:57).

## **2.3 THEORETICAL FRAMEWORK**

This section presents the principal-agency theory, the public choice theory, and the theory on national liberation. The theories are discussed in the succeeding paragraphs.

### **2.3.1 Principal-Agent Theory**

According to Sobol (2016:335), the principal-agent (PA) approach was originally conceived in the study of economics and it denotes a relationship between two parties. A PA relationship is a situation in which the party designated as the agent, acts for, on behalf of, or as representative for the other, designated the principal, in a particular domain of decision problems. Additionally, Gailmard (2012:1) argues that the principal-agent theory encapsulates a tradition of rational choice modelling, in which the principal provides incentives for the agents to make decisions that the principal most prefers.

Moreover, to guarantee their conduct conforms to the desires of the principals, the agents or specialists ought to have contracts that indicate their commitments and rights. In public sector, the principals or the owners of the public service are the general population, however their interests are so diffuse that sound control of the specialists, public administrators, is probably not going to be effective. It is challenging for the agents to discover what every principal may need them to do in any instance. There is no influence from the profit motive, no market in the shares and nothing equivalent to bankruptcy. If the principals have no satisfactory methods for ensuring that agents fulfil their desires, the agents or specialists are less inclined to perform. Regardless of the possibility that there is an agency problem or organisation issue in the private sector, it is probably going to be more awful in people in the public sector (Hughes, 2003:12).

Public policy is yet another way of studying and characterizing the interaction between government and its clients (Hughes, 2003:113). According to Lane (2013:85), the principal-agency models might be utilised to clarify focal issues in cooperation amongst principals and specialists in both public policy making and execution. One then hits upon the twofold connections in the principal-agency model. Firstly, the government is seen as the principal for agents in the delivery of public goods and services. Secondly, the citizens or electorate are the principals of the political agents under different types of rulership.

African Development Bank (ADB, 2005:3) states that the principal-agent relationship is constitutive of state institutions and that public policy making and implementation of policies

in the public sector involve the problems of typical principal-agent relationship within the private sector. Market approaches when selecting agents must be employed, these entail selecting the best agents, monitor their behaviour as well as creating inducements for them to behave as desired. However, it has been argued that this theory does not adequately recognise the role power plays in organisational life. The principal agent relationship is characterised by ambiguity, opportunistic behaviour, moral hazard and adverse action. The agent can reverse the relationship and regard itself as the principal.

### **2.3.2 Public Choice Theory**

The public choice theory seeks to explain the genesis of policies and states that policies ought to be made in the interest of the public. The actions of government should respond to the needs of the society. The public choice theory is premised on four principles. The first principle is that the public sector actors behave to maximise their own interests. The second principle is that the societal entities are fundamentally sets of individual actors. The third principle is that the laws should guide the relationship between the state and the individual. The fourth principle is that there is the provision of resources and power by citizens to the rulers in exchange for goods and services as well as laws regulating society (Buchanan, 2003:3). According to Hughes (2003:11), the public choice theory is a sub-branch of economic thought that is concerned with the application of microeconomics to political and social areas. From standard economic assumptions, predictions can be made and evidence sought to see if those predictions were justified. The key assumption of public choice is a comprehensive view of rationality, that is, policies should aim at maximising the social benefits. A rational policy maker must be guided by the incentive system within which he or she operates. No matter what their own personal desires are, the policy makers need to be discouraged from certain activities if they are not in the interest of the public.

However, also at the heart of the public choice theory is the self-interest maximisation hypothesis. Self-interested individuals in the society may coalesce into organised interests (ADB 2005:6). Instead of being motivated by the public interest, bureaucrats can be motivated by their own selfish interest. Bureaucracies do not work well when looked at from this perspective because individual bureaucrats are regarded as trying to maximize their own utility at the cost of their agency, maximising their own welfare and not the public interest (Hughes, 2003:11).

### **2.3.3 Theory of National Liberation**

According to Cabral (1970), cited in Sunday (2010:2), the quest for national liberation on the African continent was not only a colonial (need for political independence) but also a post-colonial (need for economic independence) necessity. During the colonial period, the quest was focused on national independence and self-government. However, the politico-economic experience of post-independent African states made people realise that formal independence is not synonymous with genuine liberation or the capacity for Africans to freely determine their own destiny and path in history. Formal independence only exchanges the colonial for neo-colonial this is what gave rise to the postcolonial quest for economic independence. National liberation now becomes a means by which society self-determines its direction and progress (Chabal, 2003:30-50).

The theory of national liberation as espoused by Cabral (1970) denotes a very rich concept that goes beyond political independence. It is a revolutionary process and it involves the complete overthrow of imperialist domination in its colonial as well as neo-colonial forms. Cabral further demonstrates that the national liberation struggle consists of two phases, the national and the social, with the latter being more crucial to its ultimate denouement (Sunday, 2010:8). The attainment of political independence is not an end in itself but it should benefit the majority of the population economically and socially and that the nation should be free to determine its own destiny. However, there some impediments to achieving the national liberation in the form of conflict of interest by the petit bourgeoisie (ibid: 9). Therefore, liberation would not be complete unless the socio economic issues have been addressed, for example the wealth and income differentials, and the class struggles (inter and intra class). The inter-class struggle is between the local communities (grassroots) and the petit bourgeoisie. The intra class struggles is among the petit bourgeoisie themselves because some of them assumed the reins of power by virtue of their positions before independence (they were close to the former colonialists) and there are fears that they could join the former colonialists and betray the revolution.

Furthermore, Cabral (1970) quoted by Sunday (2010:7) argues that there is a need for liberation and cultural change in developing countries. The colonial and imperialist forces imposed cultural domination on the indigenous people, and maintained their domination through organised repression. For example, the Apartheid regime in South Africa was, to Cabral, a form of organised repression. It created a minority white dictatorship over the indigenous people. Nevertheless, culture is also a form of resistance against foreign

domination. In a society where there is a strong indigenous cultural life, foreign domination cannot be sure of its perpetuation. Cultural resistance could be in the form of political, economic, and armed resistance, depending on the internal and external factors, to contest the foreign domination, colonialism, and imperialism.

## **2.4 LITERATURE REVIEW**

This section presents a review of literature on the indigenisation and economic empowerment policies. Focus is on the rationale behind indigenisation policies, the challenges that are faced in implementation, and options for enhancing the success of the indigenisation policies.

### **2.4.1 The Rationale behind Indigenisation Policies**

The indigenisation and economic empowerment policies are aimed at addressing the colonial imbalances in the former colonies (Anderson, 2010:1). There was a recognition by the governments of former colonies that much economic activities remained in the hands of the former colonial powers and there was no 'economic independence' (Murombo, 2010:32; Matunhu, 2012:13). Thus, in justifying the indigenisation and economic empowerment policies, the governments looked back at the injustices of the colonial period and traced the penurious situation of majority of native people to some of the racially skewed developments. A glaring legacy of this era was lack of resource control among the indigenous people and this limited the capacity of black people's participation in the mainstream economy (Chowa, 2013:3). Thus, the indigenisation policies seeks to ensure that indigenous people own and utilise their resources (Matunhu, 2012:15).

### **2.4.2 The challenges Faced in Implementation of Indigenisation Policies**

If implemented inappropriately, indigenisation programmes are likely to scare away potential investors (Magure, 2010:21). In similar vein, Thouvenot, (2014:11) argues that, in extreme cases, governments may turn their countries into least favourable investment destinations. Some of the indigenisation and economic empowerment policies fail to achieve their objectives due to political interference and most foreign investors would not be willing to invest in indigenisation contracts, where they will become minority shareholders and effectively have no power to secure property rights on their investments (Bell, 2010:2). The other set back is that 'indigenisation' can be seen as reverse discrimination, since the term may have divisive implications. Critics further argue that indigenisation programmes give preference to previously underprivileged groups at the expense of other sections of the same society, who are regarded to be previously advantaged groups (Thouvenot, 2014:13). In any

case, the determination of who is genuinely 'indigenous' is itself problematic; leaving many such programmes to the whims of political elite and their extensive networks of patronage.

As can be imagined, in most cases, indigenisation programmes, are both political and economic (Matunhu, 2012:20). They are political in their focus on redressing colonial injustices, and economic in their aspirations of harnessing local potential for economic growth (Magure, 2010:16). In implementing the indigenisation policy, emphasis has been put on the land reform, community share ownership schemes and employee schemes, as way of benefitting the majority but with limited efforts made towards achieving broad based economic empowerment and sustainable growth (Sibanda, 2013:22). Furthermore, due ineffective planning and politicising of the indigenisation policies, only the elite from the ruling party and chiefs in the targeted districts usually benefit from the schemes (Matzyszak, 2011:56).

#### **2.4.3 Options for Enhancing the Success of the Indigenisation Policies**

According to Shumba (2014:87), the prerequisite to well-functioning indigenisation policy frameworks is the provision of the local communities with skills to participate effectively in empowerment programmes. There is a need for capacity building to enable communities to sufficiently benefit from indigenisation programmes and reduce issues of patronage and partisan, (Kanyenze, 2013:4).

Participation is vital in improving the empowerment of indigenous people. This is because it allows vulnerable groups to decide suitable interventions to their problems. The vulnerable groups will benefit from gaining increased representation (Dreier, 1996:121). Increase in participation makes it possible for the people to organise themselves and work collectively, thus attaining greater control over matters that affect them. This means that mobilisation is vital in reaching this level (Sibanda, 2013:41). For effective participation, the people's ideas must be considered, so that they feel involved in the identification and ratification of decisions made (Slocumand, 1998:56). This also enables people to hold the authorities accountable in terms of implementing policies and how funds are being used in different schemes and projects. This effort to maintain informed participation requires the creation of space for people to hold debates and participate directly, or indirectly, in local or national settings (Dreier, 1996:124).

The idea of indigenising the economies and empowering the native populations is a good one, but it should be done with high levels of transparency and proper management so that real benefits can be accrued by intended beneficiaries. Audits have to be conducted, regularly, so as to ensure transparency and accountability (Mabena, 2012:84). There also ought to be efforts to de-politicise empowerment programmes, and empowerment should be open to everyone. There should be mechanisms to distance the programmes from partisan and political alignment (Magure, 2010:37). Indigenisation programmes should not be hijacked by the elite and politically connected officials, but implemented through non-partisan strategies from the private, the public, as well as the non-profit sector. This will enhance accountability and transparency. In all this, the rule of law must reign and chaos should be minimised at all cost (Sibanda, 2013:32).

## **2.5 COUNTRY CASE STUDIES**

The study presents cases studies on indigenisation and economic empowerment in Namibia and South Africa. These two countries are neighbours to Zimbabwe and share a lot in common in terms of colonial history and the suppression of indigenous people during the colonial era. In addition, the case of economic empowerment in Malaysia, which is one of the success stories in the world, is presented.

### **2.5.1 Indigenisation and Economic Empowerment Policies in Namibia**

Uppal (2014:18) argued that indigenisation and economic empowerment policies in Namibia are aimed at facilitating equitable development. Based on data in the mid-1990s, Namibia had an extremely unequal distribution of income. The wealthiest fifth of the population controls 78.7% of income share, while the poorest fifth has to live on a mere 1.4% (Melber, 2006:3). Accordingly, in 2011, the Namibian government formulated the New Equitable Economic Empowerment Framework (NEEEF), which aims to create conditions in which the distribution of income becomes far more equitable. There is also the Namibia's Affirmative Action Act that strives to create equal employment opportunities, improve conditions for the historically disadvantaged, and eliminate discrimination.

The strategic policy thrust of the NEEEF will be centered around five key pillars, which are ownership, management, control and employment equity, human resource and skill development, entrepreneurship development, and community investment (Thouvenot, 2013:5). In certain industries the government has employed techniques to increase Namibian participation. In the fishing sector, companies pay lower quota fees if they operate Namibian-

flagged vessels that are based in Namibia, with crews that are predominantly Namibian. Moreover, the Minister of Mining and Energy made clear that mining companies must indicate and show commitment to empower previously disadvantaged Namibians in their applications for exploration and mining licenses. While the Foreign Investment Act stipulates that foreign investors should be treated the same as Namibian investors, the Act acknowledges that the government has the right to impose restrictions. Most restrictions have to do with land and natural resource rights and government contracts (tenders). For example, the government requires local participation before issuing licences to exploit natural resources and has implemented additional restrictions in the case of certain 'strategic minerals' (Uppal, 2014:18). In 2011, the Namibian government declared uranium, diamonds, gold, copper, and rare earth metals to be strategic minerals. The declaration aims to make the Namibian Government and the people of Namibia meaningful participants in the mining sector by granting state-owned companies the right to own all new licences issued for the exploration and mining of strategic minerals. Such companies are authorized to enter into joint ventures with other parties for exploration and/or development. The Land Reform Act regulates the acquisition of agricultural land by foreign nationals. No foreign national is allowed to acquire agricultural land without the prior consent of the Minister of Lands.

### **2.5.2 Black Economic Empowerment Policies in South Africa**

Indigenisation in South Africa is commonly referred to as Broad-Based Black Economic Empowerment (BBBEE). South Africa still struggles with the legacy of Apartheid, which left the country's economic activities in the hands of few whites while the majority, black people, live in abject poverty (Adam, Slabbert and Moodley, 1997:2). During the Apartheid era, intricate restrictions were imposed on black labour movements and it made it hard for black people to get employed in skilled or semi-skilled positions (Fleiser and Gumede, 2004:13). Only positions that were not suited for whites were given to black people, which meant that black people had no other role in the economy than serving the needs of white industrialists. Black people who were employed in urbanised white areas were required to have special permits if they were to stay in that area for more than 72 hours (Ndedi, 2004:32). The inferior education system ensured that blacks were, perpetually, constrained to this ancillary economic functionality, by affecting the skills and expertise black people could have (Fleiser and Gumede, 2004:13). This produced deep-rooted racial disadvantages for black people. Due to this background, Ramaphosa (2004:5) points out that empowerment programmes are crucial in order to address the centuries of economic disempowerment.

BBBEE is a mechanism used by the South African government to remedy the racial injustices of the Apartheid era and to rectify economic imbalances of the past. BBBEE was also seen as an important intervention so that the economy would recover from the sanctions that were imposed on the Apartheid government (Decker, 2004: 13). The three core elements of BBBEE are direct empowerment through ownership, control of businesses and assets; human resource development and indirect empowerment by means of preferential procurement; and profit- and contract-sharing by black enterprises. In addition, Ndedi (2004:21) stated that the BEE aims at building capacity, skills and equal opportunities for all the citizens of South Africa. The corporate business sector is also involved in the implementation of these empowerment programmes (Decker, 2004:32). This shows a significant difference between South Africa and other countries in post-colonial Africa. Most African countries demonstrate a strong dislike of foreign or private owned-businesses, and want to maintain a strangle-hold in the economy and the resources. Empowerment programmes in South Africa are not designed to terminate the control of foreign businesses.

Nevertheless, despite the BBBEE being a noble idea, there were a number of challenges. The major problem that the Black Economic Empowerment policy faces in South Africa is whether the policy is a legal way of empowering South Africa's black population or an illegitimate discriminatory policy that is replicating the mistakes of the past (Ershammar, 2008:21). Despite the popular assumption that BBBEE is a necessary means for improving black economic participation, some of the critics argue that the policy is a form of 'reverse Apartheid', in which the preferential treatment of the previously disadvantaged black people (Africans, Indians, coloureds and Chinese), necessarily, means a deliberate unjust treatment of all white people (ibid: 22). The argument is that when race is used as mechanism to address economic inequalities, it results in an economic system whereby race, without consideration of individual cases, is a determinant in getting jobs or significant economic advantages.

Further, the argument that BBBEE is benefiting all black people is challenged by empirical evidence, due to ever widening divide between the rich and the poor (Plaut, 2012:35). On the other hand, the arguments that BBBEE's intention was to incorporate a few black politicians seems to be proving correct, since there is now an extensive network of new black bourgeoisie (Mbeki, 2009:11). The politically connected blacks seem to officially constitute 'the formerly underprivileged group', and as such BBBEE is addressing their needs of economic emancipation. It is a win-win arrangement for the white capitalists and the black political elite, but a great discrimination and injustice to the black impoverished majority

(Schlemmer, 2005:32). Thus, BBBEE has been criticised for its creation of a small but wealthy black elite whilst the majority are suffering.

The implementation of BBBEE policy also indicates challenges of insufficient qualified human resources in South Africa, and this may have a negative impact on businesses in the long run. When more black people are given senior positions in companies, in spite of their competence, it does not only create inter-racial conflicts but weakens the management of the company (Adam *et al.*, 1997:33). This preferential treatment of politically connected blacks also exacerbates intra-racial inequalities, which has been shown to be on the rise since the inception of BBBEE in 2003. This picture positions South Africa within its post-colonial African counterparts, where a small elite benefit from government policies and the majority live in abject poverty.

Another problem with BBBEE was that the transfers of shares are loans, not gifts. As such, new black businesses have to repay the loans. The new entrepreneurs, most of them inexperienced in running a business are faced with difficulties in making profits (Chimhandamba, 2008:34). BBBEE agreements are signed by people who lack the required capital and skills. This results in debt-driven deals that can only work when the economy is growing rapidly and company profitability is expanding significantly (Adam *et al.*, 1997:34). The implementation of the BEE policy has also been marred with fronting and window dressing; where companies act as if they are complying with the policy's objectives, yet in reality the appointed blacks are only non-influential fronts, with little or no say on how the business is managed (Chowa, 2013:31). The mentioned factors have led authors like Hoffman (2009:29) to conclude that BBBEE is biased since the majority of black people in South Africa are still marginalised. Black people now suffer a dual injustice; they suffered Apartheid and now they continue to suffer because the ANC chose to abandon their quandary in order to work in partnership with their former oppressors to further oppress them (Hoffman, 2009:31). As such, contrary to popular belief, BBBEE is primarily a great injustice, giving the general black population false hope that they will one day finally own their economy (Brown, 2014:23).

### **2.5.3 Economic Empowerment in Malaysia**

Malaysia is probably the best known global example of a concerted affirmative action policy undertaken in the private sector of an economy (Uppal, 2014:8). The government of Malaysia implemented the New Economic Policy (NEP) and the National Development Policy (NDP),

which sought to attain national unity by achieving inter-ethnic economic parity between the predominantly Malay Bumiputera (sons of the soil) and the predominantly Chinese non-Bumiputera. The government hoped to increase Bumiputera corporate equity ownership to 30% by 1990, with the emergence of a full-fledged Malay entrepreneurial community within one generation (Siddique and Suryadinata, 1981:31). The NEP was constructed around two 'prongs': first, the eradication of poverty, regardless of race; second, the restructuring of Malaysian society in order to reduce and eventually eliminate the identification of race with economic function.

With the end of the NEP, the National Development Policy (NDP), building on the objectives of its predecessor, was implemented between 1991 and 2000, with similar policies continuing to this day. NEP implementation entailed partial abandonment of the laissez faire style of economic management in favour of greater state intervention, to support the accelerated expansion of the Malay middle class, capital accumulation on behalf of the Malays and the creation of Malay capitalists.

Some of the defining features of the NEP and NDP in addition to the 30% target in equity ownership included a requirement to establish plans for employing, training and promoting Bumiputera at all levels of operations. Such plans were prerequisites for government contracts and licences. Bumiputera employment quotas varied according to the size of a firm. Larger firms were required to achieve a 40% quota. In addition, 20% of all loans made by commercial banks were to be made to Bumiputera and they were given price preferences for all government tenders ranging from 2-10% and additionally, 30% of the contracts were reserved for Bumiputera. Preference was to be given to Bumiputera in the issue of new licences or permits pertaining to logging, saw milling, timber exports, vehicle import, mining, banking, finance, insurance, transport, and tin and rubber dealing (Uppal, 2014:9).

Moreover, until 2009 all companies seeking a public listing on the Bursa Malaysia (formerly Kuala Lumpur Stock Exchange) were required to reserve at least 30% of its initial public offering (IPO) for purchase by Bumiputera (Uppal, 2014:9). Bumiputera equity remains a consideration when companies apply for an array of required permits and licences, many of which must be renewed either annually or biennially.

Malaysia has prospered since its adoption unlike countries with more heavy-handed redistributive policies, with per capita incomes having increased from \$339 to \$10,400 over

the past 40 years. The Malay professional class has grown rapidly from a negligible base: the number of Bumiputera employed in the professional category, especially those qualified as medical doctors, engineers and lawyers had approached the percentages of the racial composition. The Bumiputera poverty rate had gone down from 64.8% in the 1970s to 2.2% in 2012. The Bumiputera corporate company equity rate had also gone up from only 2.4% in the 1970s to 23.5% in 2011 (Uppal, 2014:11). Furthermore, Singam (2003:13) points out that while there was widespread resentment at the time of implementation, many non-Bumiputera Malaysians, especially the ethnic Chinese Malaysians, are supportive of the Bumiputera Policy and this policy has generated remarkable success in achieving a more stable distribution of economic power in Malaysia.

#### **2.5.4 Lessons Learnt from the Case Studies**

The case studies showed that the indigenisation and economic empowerment policies were aimed at facilitating equitable development. Therefore, any similar interventions should aim at ensuring equality and it should not benefit only a few elites. There is a need to capacitate the beneficiaries of empowerment programmes. Equally important is the need to limit political interference and to guard against unforeseen external forces, for instance the fall in prices of minerals on the global market. It was also pointed out that even though the indigenisation and economic empowerment policies are a noble idea, there are challenges in their implementation. These include lack of transparency and accountability leading to abuse by the politicians.

## **2.6 CONCLUSION**

This chapter presented a four-fold review of literature. Conceptual framework showed that policy implementation is not an easy and linear process and there is adaptation during the process. The chapter also presented the principal-agent theory, the public choice theory, and the theory on national liberation. There was a review of literature on the rationale behind indigenisation policies, the challenges that are usually faced in implementation, and options for enhancing the success of the policy frameworks. Finally, there were country case studies on the indigenisation and economic empowerment policy implementation in Namibia, South Africa, and Malaysia. The next chapter presents research methodology.

## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.1 INTRODUCTION**

This chapter looks at the research methodology. It describes the philosophical framework, research design, the population, the sample used, and instruments employed. In addition, the chapter provides data collection procedures, validity and reliability, ethical considerations, and the data presentation and analysis procedures.

#### **3.2 RESEARCH PHILOSOPHY**

This study applied both the quantitative and qualitative research philosophies. The reason is that the research contained both objective (for example, the amount of money injected in the CSOT and the number of people who have benefited from the Trust) and subjective components (for instance, the factors influencing the implementation process and the challenges being faced). In addition, according to Kato (2002:56), no study relies on one approach. This research was both quantitative and qualitative. Therefore, triangulation served the requirements of the study though the study was largely qualitative.

#### **3.3 RESEARCH DESIGN**

This study used a case study approach. A case study is an empirical enquiry that investigates a contemporary phenomenon within its real-life context (Yin 2003:32). A case study also aims to understand social phenomena within a single or small number of naturally occurring settings. A case study allows for a detailed investigation to be conducted. The study was a case study of ZMNCZCSOT.

#### **3.4 POPULATION**

The population is the group of interest to the researcher. Kothari (2004:65) points out that it is upon this group that the researcher would generalise the results of the study. The population includes all individuals whom the researcher is interested in obtaining the information and making inferences on. According to Saunders, Lewis and Thornhill (2012:78), the study population consists of the aggregate of items from which the sample is drawn. This assertion is 'supported' by Henning (2004:38), who points out that the study population includes all individuals from whom the researcher desires to obtain information upon which to make conclusions because of the sample drawn from this population. The population for this study

was made up of officials in the Ministry of Youth Development, Indigenisation and Economic Empowerment, ZIMPLATS, ZMNCZCSOT implementation committee (Trustees), elected and appointed officials in Rural District Councils covered by the CSOT, traditional leaders and ordinary members of the communities. It was difficult to state the population in statistical terms because of the diversity of stakeholders involved in the CSOT.

### 3.5 SAMPLING STRATEGY

Sampling refers to a set of techniques for achieving representation (Saunders *et al.*, 2012:81). The primary purpose of sampling is to economise on the resources that are ‘needed’ to collect and analyse statistical data. Instead of using information from all members of the population, the researcher collects it from only a part of the population. This part taken, which is ‘known’ as a sample, should be representative of the whole population. In this study, the researcher use purposive sampling technique to select the institutions to be studied (Table 3.1). In addition, purposive sampling technique was used when the researcher identified participants she believes to be good prospects for obtaining the required information. Table 3.1 shows the sample size summary.

Table 3.1: Sample Summary

Category of Participants	Sample Target	Data Collection Instrument		
		Questionnaire	Interviews	Focus Group Discussions
Ministry of Youth, Indigenisation and Economic Empowerment and NIEEB	5	3	2	-
ZIMPLATS	1	-	1	-
Rural District Council Officials	12	9	3	-
CSOT Board of Trustees	10	8	2	-
Village Heads and Community Members (Beneficiaries of the Trust)	126	-	-	6 discussions (21 people at each discussion)
<b>Total</b>	<b>154</b>	<b>20</b>	<b>8</b>	<b>6 discussions (126 people)</b>

### 3.6 RESEARCH INSTRUMENTS

Research instruments are tools used for collecting data needed to find solutions to the issues under investigation. Tools for data collection in this study were questionnaires, interviews, focus group discussions, and observations.

### **3.6.1 Questionnaires**

The researcher uses a questionnaire as the main research instrument. The questionnaire were a fusion of open ended and closed questions. A questionnaire is a list of carefully structured questions chosen for considerable testing with a view to elicit reliable responses from a chosen sample. The use of the questionnaire to collect data from participants allowed them to respond to questions at their own time. In addition, the researcher used questionnaires because they are simple, easy to administer and allow for easy analysis. More so, the researcher was given the ability to collect large volumes of data. Participants were also free to give information as they remained anonymous. The questionnaires were distributed to five officials in the Ministry of Youth, Indigenisation and Economic Empowerment and to one ZIMPLATS official. In addition, questionnaires were sent to 12 Rural District Council Officials and 10 CSOT Board of Trustees.

### **3.6.2 Key Informant Interviews**

Key informant interviews are used as a tool to explore related issues and problems associated with a given topic. A key informant interview involves talking to persons with detailed knowledge of the issue under investigation (Saunders *et al.*, 2012:87). Simon (2011:21) points out that the key informant technique is an ethnographic research method in which these key informants, because of their personal skills and position within society, are able to provide information and a deeper insight into what is going on around them. Closed key informant interviews allowed the researcher to collect quality data in a short period of time in comparison to the time that in depth interviews can require. The key informants include the directors in the Ministry of Youth, Indigenisation and Economic Empowerment, ZIMPLATS officials, Rural District Council Officials, and CSOT Board of Trustees.

### **3.6.3 Focus Group Discussions**

Focus group discussions (FGDs) are a small, temporary community formed for the purpose of collaborative enterprise of discovery (Kato, 2002:65). In this study, six focus group discussions were conducted with community members of the beneficiaries of the CSOT. The use of focus group discussions allows the researcher to obtain views from many people within a short space of time. The researcher selected three wards, one in each district (Mhondoro-Ngezi, Chegutu, and Zvimba) and two focus group discussions were conducted in each ward. The target was to have discussions with 42 Village Heads and 84 Community Members. The researcher was given the contact details of the Ward Councillors, who helped in identifying 14 village heads in their wards, who were selected in terms of their proximity to the venues of

the focus group discussions. There were two focus group discussion venues in each ward, that is at the ward centre and at a selected secondary school and the seven closest villages were selected. Each village head brought two community members, whom he/she believed could any value to the focus group discussion. Each focus group discussion was planned to last about two hours.

#### **3.6.4 Observations**

ZMNCZCSOT has implemented infrastructural development projects in the districts it operates. The researcher was given the authority to observe some of the projects that were implemented by the CSOT. Accordingly, after conducting the FGDs, the researcher visited some of the project sites. The projects observed included a water and sanitation project at a health institution, electrification project in schools, and rehabilitation of classroom blocks. The researcher was given the authority to take pictures, some of which are shown in the findings (Chapter Four).

### **3.7 VALIDITY AND RELIABILITY**

The researcher ensured that there is construct and content validity in the research instruments. Content validity focuses on ascertaining whether research instruments contained enough questions to cover the purpose of study. The researcher ensured that the research questions and all the identified gaps in literature review are well covered. In this regard, the data collection instruments were designed in the order of research objectives, each objective being a section in the questionnaire.

To enhance construct validity, the researcher ensured that all questions are concise and clear. The supervisor and officials in the Ministry of Youth Development, Indigenisation and Economic Empowerment shall help in the refinement of the research instruments. In addition, there is use of closed questions that make it easier for participants to complete questionnaires.

Reliability is the ability of the research instruments to produce the same results on repeated trials (Saunders *et al.*, 2012:92). Reliability was enhanced through asking of statistical data, for example, the amount of money injected in the CSOT and the number of people who have benefited from the Trust. In addition, use of multiple stakeholders helped to enhance reliability. The stakeholders were the Ministry of Youth, Indigenisation and Economic Empowerment, ZIMPLATS, Rural District Council Officials, CSOT Board of Trustees, Village Heads, and Community Members.

### **3.8 DATA COLLECTION PROCEDURE**

Data collection procedures are steps taken in administering instruments and collection of data from subjects under study (Kato, 2002:92). The researcher started by obtaining authority to conduct research. The researcher then made appointments with research subjects through telephone and personal visits to their workstations and communities. Questionnaires were hand delivered to the participants. The participants were given a maximum of two weeks to complete the questionnaires. During the two weeks, the researcher was conducting focus group discussions and interviewing the key informants.

### **3.9 ETHICAL CONSIDERATIONS**

Ethics denote the right and wrong conduct in research. According to Rawnsley (2012:2), ethics of research include informed consent, confidentiality, protection of privacy, protection against harm, and protection against identity. Ethical considerations were observed when participants are to be informed about the study and verbal consent will be given. Participants were told not to write their names on questionnaires and this ensures anonymity. In addition, participants were informed that the data collected is to be used for academic purposes only and that information collected would be treated as confidential.

### **3.10 DATA ANALYSIS AND PRESENTATION PROCEDURES**

According to Saunders *et al.*, (2012:102), data analysis entails the process of deriving meaning from the research findings. Quantitative data was analysed using the Statistical Package for Social Sciences (SPSS). SPSS was the ideal package to use when analysing quantitative data. The package is a menu-driven system and it is the best technique for accessing and analysing quantitative data (Ibid: 102). SPSS enabled the researcher to come up with frequency distribution tables, cross tabulations and to conduct statistical tests like the ‘t-tests’, which examined the similarities or differences in the responses from various stakeholders.

Qualitative data was analysed using thematic analysis, in which the related findings were grouped together. Thematic analysis is a qualitative data analysis technique, which collects data from various sources and classifies it into themes (Ritchie and Lewis, 2003:79). The findings are discussed in line with the emerging themes or classes of findings. Narrative, tabular, and graphical illustrations were used to present the findings.

### **3.11 CONCLUSION**

This chapter looks at research methodology and provided details on research philosophy, design, and subjects. Focus was also on research instruments, validity and reliability, research ethics, data collection procedure, and data analysis and presentation procedures. The next chapter will look at data presentation, analysis, and discussion.

## CHAPTER FOUR

### PRESENTATION AND ANALYSIS OF FINDINGS

#### 4.1 INTRODUCTION

This chapter presents, analyses, and discuss the findings of the study. The chapter is organised thematically, in line with the research objectives. The primary objective was to explore the policy implementation dynamics in Zimbabwe’s indigenisation and economic empowerment policy, with particular reference to the ZMNCZCSOT. There were five specific objectives. The first objective was to analyse the legal, policy and institutional framework through which CSOTs are implemented in Zimbabwe. The second objective was to critically examine the operation of the CSOT policy instrument in the IEE Policy. The third objective was to analyse the effectiveness of the ZMNCZCSOT in achieving the IEE policy objectives. The fourth objective was to highlight and discuss the challenges faced in the implementation of the ZMNCZCSOT. The fifth objective was to propose possible options for enhancing the success of the ZMNCZCSOT. Before presenting, analysing, and discussing the findings, the response rate is presented.

#### 4.2 RESPONSE RATE

There was a remarkable response from the participants. Table 4.1 shows the response rate.

Table 4:1: Response Rate

Category of Participants	Response					
	Questionnaire		Interviews		Focus Group Discussions	
	Sample Target	Response	Sample Target	Response	Sample Target	Response
Ministry of Youth, Indigenisation and Economic Empowerment and NIEEB	3	2	2	2	-	-
ZIMPLATS	-	-	1	0	-	-
Rural District Council Officials	9	7	3	3	-	-
CSOT Board of Trustees	8	6	2	1	-	-
Village Heads and Community Members (Beneficiaries of the Trust)	-	-	-	-	6 discussions (21 people at each discussion)	6 discussions (21 people at each discussion)
<b>Total</b>	<b>21</b>	<b>15</b>	<b>8</b>	<b>6</b>	<b>6 discussions (126 people)</b>	<b>6 discussions (126 people)</b>

Source: Fieldwork (2017)

According to Table 4.1, the researcher targeted to distribute 21 questionnaires. Responses were obtained from 15 participants, implying a response rate of 71%. In addition, there were plans to conduct eight interviews. Six interviews were conducted and the response rate was 75%. All the six targeted focus group discussions were held and there was a 100% response rate.

### **4.3 RESEARCH FINDINGS**

#### **4.3.1 The Legal, Policy, and Institutional Framework for Implementation of CSOTs**

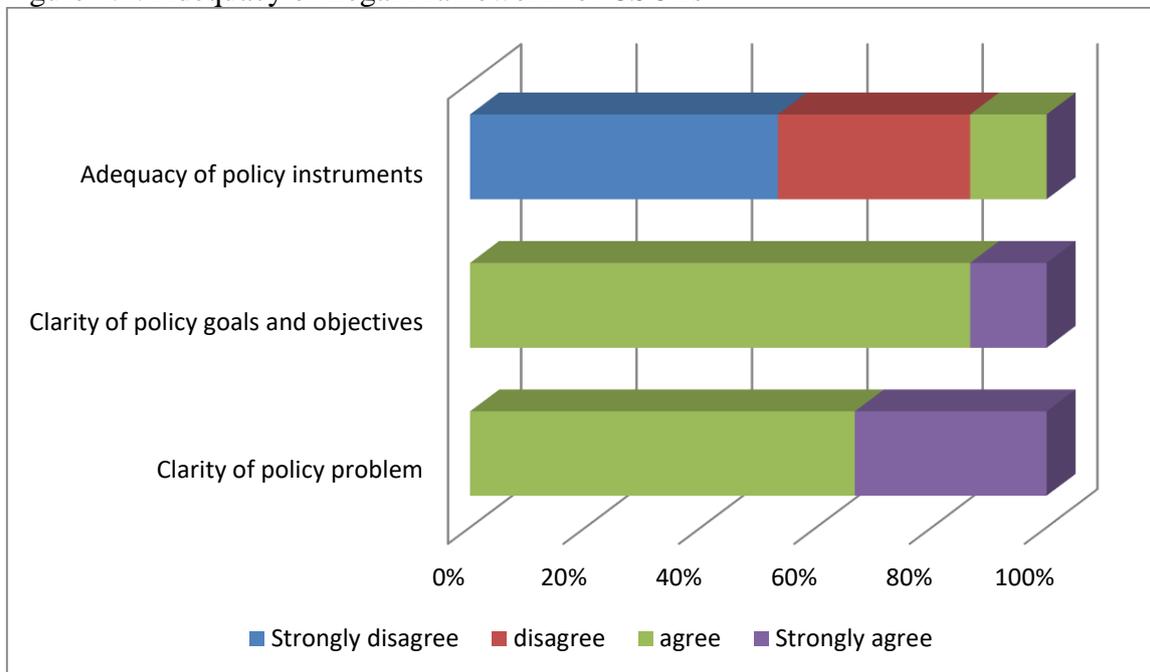
The Indigenisation and Economic Empowerment Programme is an endeavour by the government of Zimbabwe to economically empower the previously disadvantaged and economically deprived indigenous Zimbabweans by guaranteeing them ownership and control of the country's natural resources and the national economy (Kasukuwere, 2011:1). The CSOTs were formed out of an Act of Parliament; the Indigenisation and Economic Empowerment Act [Chapter 14:33] of 2008. The Act aims at achieving at least 51% indigenous shareholding in all sectors of the economy. The critical role to be played by CSOTs in fulfilling the commitments made by Government in employment creation, judicious exploitation of human and natural resources, promoting investment at local and community levels in pursuit of people-oriented inclusive economic growth and development, and increasing national production and productivity as a basis for generating surplus and ultimately, domestic savings and investments. The CSOTs' operations are guided by Trust Deeds and the Boards of Trustees are composed of various members from different academic and social backgrounds. The CSOT Boards chaired by Traditional Chiefs on a rotational basis.

The CSOTs are mainly funded by Qualifying Business Partners (QBPs) through seed capital pledges and Dividend Declarations. According to Jaricha (2017:3), a few QBPs have fully complied, that is, full disbursement of Seed Capital pledges as well as Dividend Declaration. The greatest number of CSOTs remain dormant due to non compliance while the existing ones' Going Concern is under immense threat if compliance issues are not addressed. Effectiveness of Compliance is directly affected by a weak legislative framework (ibid: 3).

This study focused on the Zimplats Mhondoro-Ngezi-Chegutu-Zvimba Community Share Ownership Trust (ZMNCZCSOT). ZMNCZCSOT is the first CSOT, which was formed in October 2011, and registered in December 2011.

The study sought to examine whether the legal and policy framework for the implementation of the CSOTs was adequate. Figure 4.1 summarises the findings on the adequacy of the legal framework.

Figure 4.1: Adequacy of Legal Framework for CSOTs



Source: Fieldwork (2017)

Figure 4.1 shows that most of the participants were in agreement that there was clarity of the policy problem and policy goals for the implementation of the CSOTs. However, the policy instruments were highly inadequate. In addition, when responding to a question on the limitations in the legal and policy framework of the CSOTs, one interviewee said;

The legislative framework supporting the Act requires harmonisation since gaps between the various pieces of statutes have rendered the Act weak. There is discord with regards to implementation, for instance the line Ministry approach versus the Ministry of Youth, Indigenisation and Economic Empowerment (MYIEE). The Presidential Address on indigenisation also shows that there are inconsistencies.

Moreover, the Presidential Statement of 11 April 2016 indicated that mining companies need to fulfil a 75% local content obligation. However, the local 75% local content entails the wage and salary bill, procurement, taxation, and CSOTs. Before the Presidential Statement, the thrust was on equity but now the statement introduced the local content phenomenon. It is therefore, inconsistent with the original stance on indigenisation because if the business decides to exclude CSOTs in their 75% equation there is no problem. The issue of seed capital

is not legislated. Only two companies have fully complied in terms of equity stake, that is, Blanket Mine-Gwanda and PPC in Gwanda and Umguza.

The study showed that the legal framework is not water tight. There are no guidelines for dealing with non-compliant companies. The political will is not 100% as some sectors fear scaring off investors and some ‘big wigs’ are in these companies and they fear shooting themselves in the foot. The discord is detrimental to the implementation of the indigenisation and economic empowerment policy. The finding is supported by literature. According to the principal-agent theory, if principals have no adequate means of making sure agents carry out their wishes, agents are less likely to perform. Even if there is an agency problem in the private sector, it is likely to be worse in the public sector (Hughes, 2003:12).

The participants also highlighted that the institutional framework for the implementation of the CSOTs was inadequate. It was stated that ZMNCZCSOT was the only effectively running CSOT. Nevertheless, the CSOTs’ operations are guided by Trust Deeds. The Boards of Trustees are composed of various members from different academic and social backgrounds. The CSOTs’ Boards are chaired by Traditional Chiefs on a rotational basis. Due to diverse social and intellectual backgrounds, corporate governance gaps require an urgent attention

#### **4.3.2 The Operation of the CSOT Policy instrument in the IEE Policy**

There was an overwhelming agreement by the participants on the question that, given the circumstances in Zimbabwe, the CSOTs were the best option for ensuring empowerment of communities. The CSOTs were formed out of an Act of Parliament; the Indigenisation and Economic Empowerment Act of 2010 [Chapter 14:33]. A CSOT is a scheme set up for the benefit of the community in which a foreign mining company operates for the purposes of ensuring that the local people are benefiting from exploitation of their resources. The scheme is responsible for implementing developmental projects such as maintenance of schools, educational scholarships, hospitals, clinics, provision, development of roads and dipping tanks. The critical role to be played by CSOTs is to fulfil the commitments made by Government in employment creation, and judicious exploitation of human and natural resources as articulated by the President in the foreword to the ZimASSET document. The CSOTs also help in promoting investment at local and community levels in pursuit of people-oriented inclusive economic growth and development, and increasing national production and productivity as a basis for generating surplus and ultimately, domestic savings and investments. One interviewee said;

The CSOT is a noble idea considering how MNCs degrade environments of where they will be working from and not develop the areas. However, the time they (CSOT) were introduced might have generated the negative conception most people have concerning them. It was seen as a political gimmick by the ruling party facing vicious/ferocious opposition.

The preceding findings show that the CSOTs are in the interest of the public. This is in line with the public choice theory, which seeks to explain the genesis of policies and states that policies ought to be made in the interest of the public. The actions of government should respond to the needs of the society (Buchanan, 2003:3). Moreover, the CSOTs aim to ensure that the local communities benefit from the exploitation of the natural resources in their areas, most of which are non-renewable. According to Cabral (1970), cited in Sunday (2010:2), the fight for national liberation in Africa and other developing countries was not only in need for political independence, rather, economic independence is also paramount.

The theory of national liberation as espoused by Cabral (1970) denotes a very rich concept that goes beyond political independence. It is a revolutionary process and it involves the complete overthrow of imperialist domination in its colonial as well as neo-colonial forms. Cabral further demonstrates that the national liberation struggle consists of two phases, the national and the social, with the latter being more crucial to its ultimate denouement (Sunday, 2010:8). The attainment of political independence is not an end in itself but it should benefit the majority of the population economically and socially and that the nation should be free to determine its own destiny.

Furthermore, the indigenisation of the economy in Zimbabwe is regarded as part of the 'Third Chimurenga' that aims at gaining economic independence and empowerment of the indigenous Zimbabweans. After the gaining of political independence, the economy had remained in the hands of the former colonial masters. Therefore, there was a need to ensure that the black Zimbabweans have control of the means of production like land (Anderson, 2010:1). The policy consists of the land reform programme and the Indigenisation and Economic Empowerment Act of 2008 (Chowa, 2013:2). President Robert Mugabe claims that the policy merely restores land, which was misappropriated from indigenous people without compensation, to the rightful owners (Mazingi and Kamidza, 2009:38). Similarly, based on the ideology of empowerment, some argue that Zimbabwe's mineral resources belong to local people rather than foreign-owned companies, which leave Zimbabweans with ghost towns

when the minerals are depleted (Murombo, 2010:32; Matunhu, 2012:13). Thus, the IEE Act is designed to protect mining communities and provide maximum value to Zimbabweans for their mineral resources (Murombo, 2010:34).

In justifying Indigenisation Policy in Zimbabwe, the government looked back at the injustices of the colonial period and traced the penurious situation of majority of Zimbabweans to some of the racially skewed developments. A glaring legacy of this era was lack of resource control among the indigenous people and this limited the capacity of black people's participation in the mainstream economy (Chowa, 2013:3). Thus, the indigenisation policy seeks to ensure that indigenous people own and utilize their resources, so as to broaden the base of Zimbabwe's economy. The policy mainly targets the rural population, and aims at the improvement of their socio-economic conditions through infrastructure development, small and medium enterprise development, local ownership of natural resources, as well as improving academic standards (Matunhu, 2012:15).

The government claimed that indigenisation is a way of empowering the indigenous population for a 'truly independent Zimbabwe, whose resources and economy will be controlled by the Zimbabweans' (Ministry of Youth, Indigenisation and Empowerment, 2013:1). The aim of this policy trajectory is to reduce the aid-dependency syndrome currently endemic in the country. The policy allows local people to contribute to the economy, not just as employees but also as shareholders (ibid: 1). Similarly, Murombo (2010:32) argues that ultimately, indigenisation aims at reclaiming people's patriotic commitment and national pride. When all these are attained, the result, according to the Ministry of Economic Empowerment, is sustained long-term growth and economic development, which will eradicate poverty and other social-economic challenges (Magure, 2012:12).

Even though the CSOTs are a noble idea, most of the participants disagreed that there were adequate guidelines on how the CSOTs should be managed. In terms of CSOT, the indigenisation agenda does not give a detailed account of how representatives of CSOTs can be selected. This lack of transparency causes lack of commitment from people (Robertson, 2012:32). Furthermore, the policy does not state the responsibilities of local communities in these CSOTs. Due to poor planning and politicising of the indigenisation policy, only the elite from the ruling party and chiefs in the targeted districts are benefiting from the schemes (Matzyszak, 2011:56). In 2012, the Ministry of Local Government allegedly forced several chiefs from the Zvishavane Tongogara Community Share-Ownership Trust to give back the

\$2 million they had corruptly pocketed from the community's trust account (Maguwu, 2013:6). This shows that two groups have come out as the major beneficiaries of indigenisation programmes: ZANU-PF's ruling elite and community leaders. Otherwise, there is no transparency on how the ordinary people can partake in this 'empowerment' drive (Matyzak, 2011:9).

#### **4.3.3 The Effectiveness of the ZMNCZCSOT in Achieving the IEE Policy Objectives**

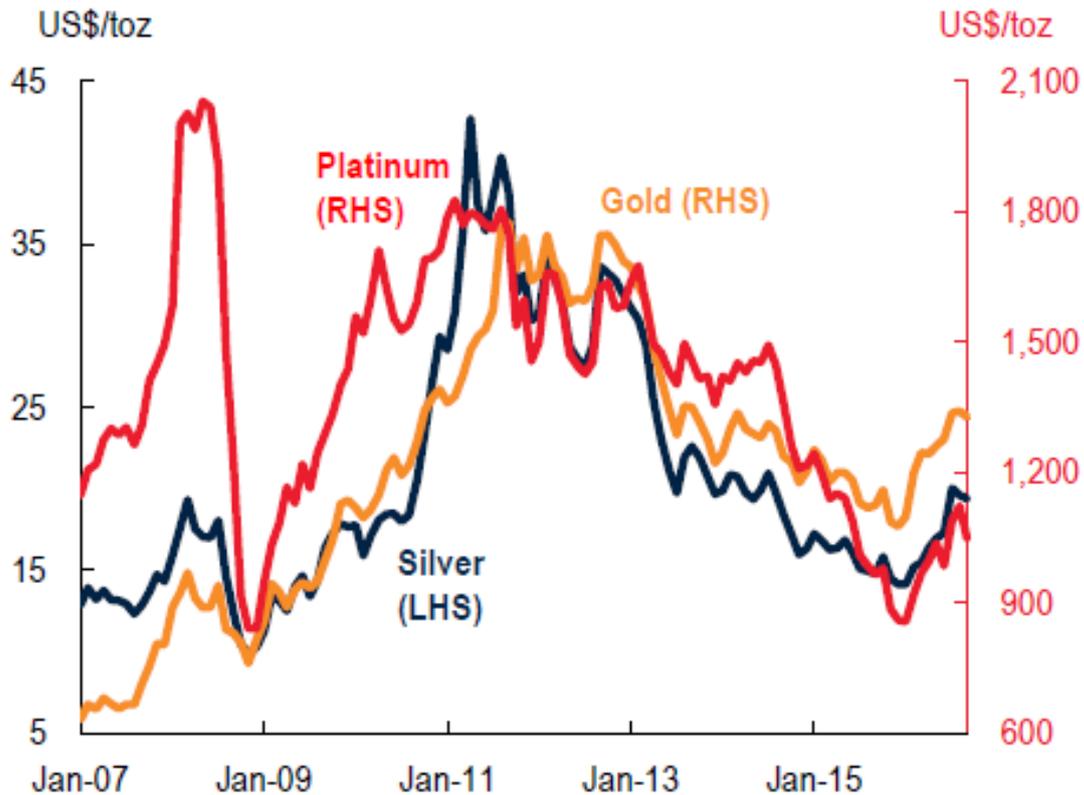
Zimplats became the first mining company to launch a CSOT. The Zimplats Sustainability Report (2012:5) stated that,

As part of the company's indigenisation implementation plan (IIP), the Zimplats Mhondoro Ngezi Chegutu Zvimba Community Share Ownership Trust was formed in October 2011 and was registered in December 2011. To date, capacity development has been carried out to ensure that all Trustees, including twelve traditional chiefs, a representative of Zimplats, a government representative and three District Administrators, understand the objectives and mandate of the Trust. A donation of \$10 million was pledged to the Trust by the company, which will be disbursed over a 3-year period. Communities at district levels are now currently identifying projects that will benefit them, these will be funded by the Trust.

The study showed that Zimplats was only able to meet the initial seed capital pledge of US\$3,39 million to the CSOT. The other two instalments were foregone because the company was making losses. There was lack of understanding on whether the losses that were being reported by Zimplats were genuine. One interviewee said, "Zimplats have been claiming losses since they gave the seed money".

The researcher conducted a review of documentary sources and established that the losses that were reported by Zimplats were genuine. According to *The Herald* (1 September 2015), Zimplats made a loss of \$74 million during the year ended 30 June 2015. The falling prices in global commodity prices were to blame for the losses. In addition, Platinum is linked to the value of the rand, as more than 70% of the world's platinum is produced in South Africa. The fall in the value of the Rand over the years entailed that the prices were on a free-fall. Figure 4.2 shows the global trend in the prices of Platinum, Gold, and Silver between the years 2007 and 2015.

Figure 4:2: Global Trend in Prices of Precious Minerals



Source: World Bank.

Note: Last observation is September 2016.

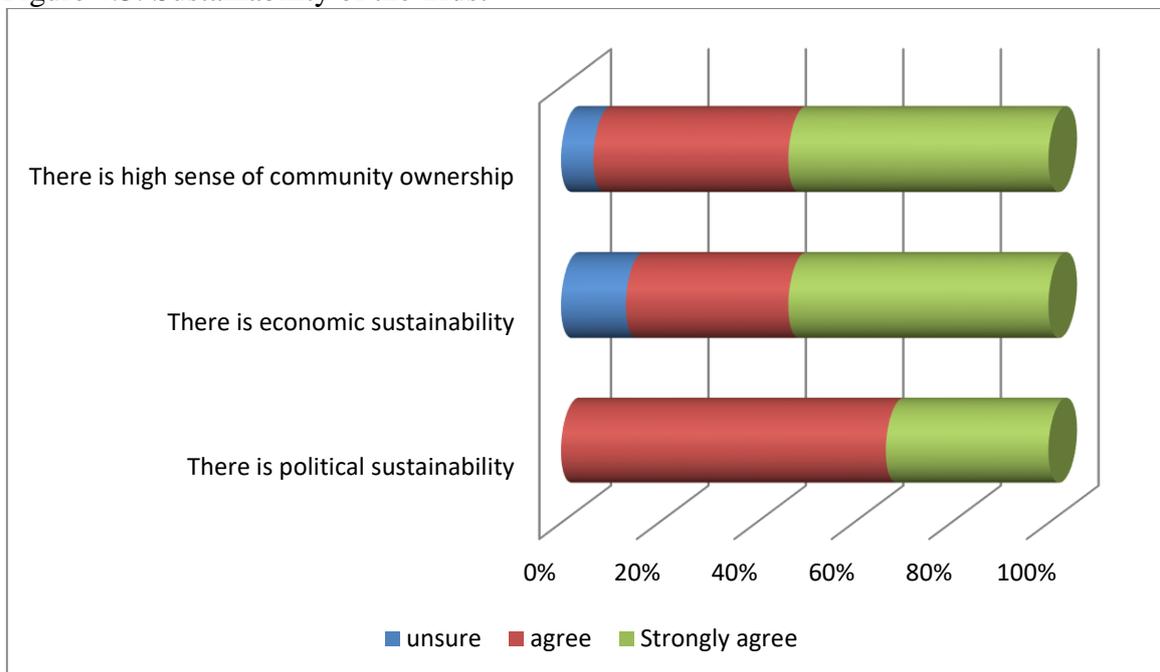
Analysis of secondary data showed that the financial challenge faced by mining companies is apparent in the decreases in real rand prices. Gold has dropped by more than 32% since it achieved a 10-year high in the previous financial year. Similarly, platinum has proceeded to fall to its lowest real price in the last decade with a 31% decline on its highest price since 2008. Coal dropped by 45% from its 2011 high (PricewaterhouseCoopers, 2013:12). Real prices were lower as a result of the significant cost pressures, subdued global demand, partially offset by the weaker rand. Not factored into these real prices, and often overlooked by investors, is the increased cost of capital expenditure required to maintain production. Therefore, the mining companies were in a difficult situation.

In addition, although there are still demand-side pressures on prices, these low price levels are not sustainable. This is especially true for platinum where South Africa supplies more than 70% of global primary production. Mining companies have an ever-diminishing capacity to continue absorbing operational cash outflows in unprofitable operations. A decline in local production as a result of closure of marginal mines, lack of new and sustaining investment and more expensive deeper mines will add significant supply-side upward pressure on prices

(PricewaterhouseCoopers, 2013:12). Zimplats has, however, returned to profitability (Mapakame, 2016:7). There is also an increase in the profitability and *The Herald* (27 April 2017) states that Zimplats' profit 'jumped' by 592%.

In addition to failure to meet seed capital pledges due to circumstances beyond its control, Zimplats had yet fully complied with equity issues and was still to issue a share certificate to the CSOT during the time the research was conducted. Some interviewees argue that this was a problem of 'log-rolling'. The respondents argued that ZMNCZCSOT was sustainable. The findings are summarised in Figure 4.3.

Figure 4.3: Sustainability of the Trust



Source: Fieldwork (2017)

Figure 4.3 shows that there was political and economic sustainability. Economic sustainability was enhanced by the thrust towards business development. There was a high sense of community ownership. The study noted that there was transparency and accountability in the management of the Trust. It was noted that the CSOT was doing well during its formative years as it was during these years that the social projects were implemented. According to an official from the National Indigenisation and Economic Empowerment Board (NIEEB), close to 410,000 people benefited from the projects implemented by ZMNCZCSOT between the years 2012 and 2016. Table 4.2 shows a summary of the projects undertaken by the CSOT and the amount of money use between the years 2012 and 2015.

Table 4:2: Projects Successfully Completed and the Amounts Used

Year	Amount Used \$	Nature of Projects
2012	164,176.00	Construction of classroom blocks, supply of school furniture, borehole establishment, road maintenance, teacher and nurses' houses, foot bridges, expecting mothers' shelters, pipe drifts, electrification, supply of computers and construction of workshop lecture blocks at vocational training centres and educational support for tertiary education for the under privileged members of society
2013	1,639,316.00	
2014	1,889,434.00	
2015	715,924.00	
Total	4,408,850.00	

Source: Fieldwork (2017)

The study showed that ZMNCZCSOT has initiated a number of enterprise development projects aimed at ensuring financial sustainability for the Trust and participation of the three communities in mainstream economic activity. In this effort, the Trust has embark on agro-value chain development through acquisition of equity stake in value chain businesses as well as extending an out grower facility to members of the three communities to ensure their full participation in the agro- value chains. The trust acquired equity stake in the Sable Group as follows; Sable Park (growing sections and abattoir: 33.33%); Fresh and Frozen (Distribution chain: 50%) and Brand Agro (Contracting and training- 33.33%).

There are poultry production projects, which were initially started with partnership with Sable Foods Abattoir at a placement of 42000 chicks/week, with plans for future expansion. There have been the funding of egg production through the 'point of lay production' in the Vocational Training Centres at Murombedzi, Mashayamombe, and Mhondoro Ngezi. The CSOT also established a micro finance unit to support up-coming businesses in all sectors. There were also projects to provide water and sanitation at health institutions and construction in schools. Figure 4.4 shows an ambulance that was donated to Mubaira Hospital; Figure 4.5 shows a water project at Rwizi Rural Health Centre; and Figure 4.6 shows a classroom block rehabilitated after one of its rooms had been blown away by a storm.

Figure 4:4: Ambulance Donated to Mubaira Hospital



Source: Fieldwork (2017)

Figure 4:5: Borehole Project at Rwizi Rural Health Centre



Source: Fieldwork (2017)

Figure 4:6: Rehabilitated Classroom Block at Rwizi Secondary School



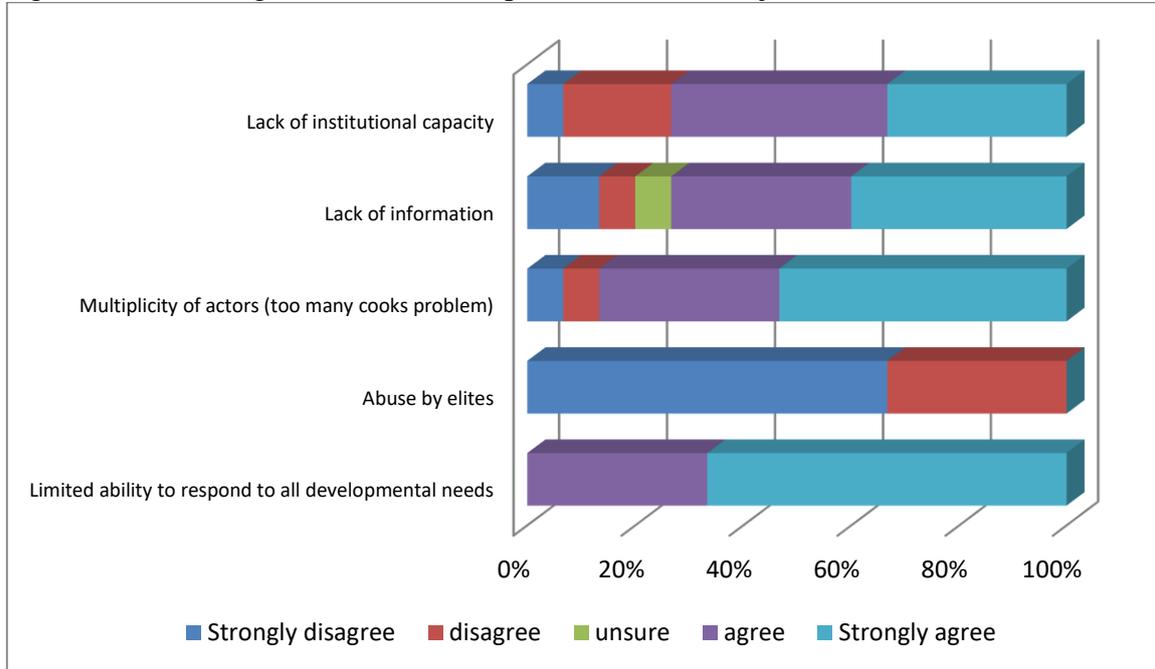
Source: Fieldwork (2017)

The preceding Figures show that ZMNCZCSOT has been implementing community development projects. There are prospective projects in land and property development and plans to develop a shopping mall at the Chegutu-Murombedzi road junction. Discussions with the ZMNCZCSOT secretariat showed that about US\$300,000 was earmarked for more social development projects in the year 2017. Moreover, focus group discussions showed that some projects were yet to be implemented but have been proposed by the Trust and they include poultry, beekeeping, and horticulture. There were projects envisaged by the community, which include more boreholes in the community as the wells have been affected by the heavy rains or run dry during the peak of summer, house construction at the clinics; shelter for pregnant women awaiting delivery at the clinics; and bridge construction as others were swept away by the heavy rains.

#### 4.3.4 The Challenges Faced in the Implementation of the ZMNCZCSOT

The study showed that a number of challenges were faced in the implementation of the projects in ZMNCZCSOT. Figure 4.7 summarises the findings.

Figure 4.7: Challenges Faced in the Implementation of Projects in the CSOT



Source: Fieldwork (2017)

Figure 4.7 shows that the majority of participants said that the CSOT had limited ability to respond to all developmental needs. Most respondents were also of the view that there was multiplicity of actors (too many cooks problem), lack of information, and lack of institutional capacity. However, there was disagreement that the CSOT was being abused by the elites. The other challenge was that grassroots participation was not followed when the CSOT dispensation began and this further resulted in coordination problems. One Council official argued;

The CSOT initial implementation was hurried and Councils were ordered to come up with policy documents on CSOTs from their developmental plans. There is a problem of too many cooks in implementation. If the politics is not handled well then CSOT implementation is a challenge. For instance, the chiefs view the CSOT as theirs and might resist interference from other players. The Councils are the development agents but the CSOTs are in the hands of the chiefs.

Moreover, the participants who attended focus group discussions highlighted some of the challenges affecting the CSOT. For instance, it was stated that the loan application process for

the youths was a major cause for concern as the youths were failing to access loans due to stringent requirements by the banks hence they feel it is benefitting youths who are not covered by the CSOT. They also said that the requirements for the chicken runs should be relaxed to accommodate those who do not have adequate money to construct the required ones as per specifications. In addition, although Chiefs are board members they felt that, sometimes, they were not heard as some of their ideas were just swept under the carpet. There is also no equal opportunity platform when Zimplats seeks to recruit from the areas covered by the CSOT. There were allegation of favouritism of some districts at the expenses of others in the CSOT. There was also limited information dissemination to the grassroots, as focus group discussions revealed that some wards were not fully aware of all the operations of the Trust. While the Trust attempts to disseminate information through newsletters and pamphlets, these were not readily available in the villages.

The study noted that there was some element of inter and intra-class struggle in the management of the ZMNCZCSOT. For instance, some of the participants who attended focus group discussions in Chegutu District, Ward 5 alleged that Zvimba District is enjoying more benefits as compared to other Districts. Questions were also raised pertaining to the inclusion of Zvimba District in the CSOT given that Zimplats was not conducting mining operations in Zvimba. The argument that there are intra-class struggles is in line with literature. According to Sunday (2010:8), there some impediments to achieving the national liberation in the form of conflict of interest by the petit bourgeoisie. Therefore, liberation would not be complete unless the socio economic issues have been addressed, for example the wealth and income differentials, and the class struggles (inter and intra class). The inter-class struggle is between the local communities (grassroots) and the petit bourgeoisie. The intra class struggles is among the petit bourgeoisie themselves because some of them assumed the reins of power by virtue of their positions soon before independence (they were close to the former colonialists) and there are fears that they could join the former colonialists and betray the revolution (Sunday, 2010:8).

Moreover, in its current form, indigenisation in Zimbabwe may not be capable of achieving its future objectives due to political interference (Thouvenot, 2014:11). Most foreign investors are not willing to invest in indigenisation contracts, where they will become minority shareholders and effectively have no power to secure property rights on their investments (Bell, 2010:2). The other setback is that 'indigenisation' can be seen as reverse discrimination, since the term may have divisive implications. Critics further argue that

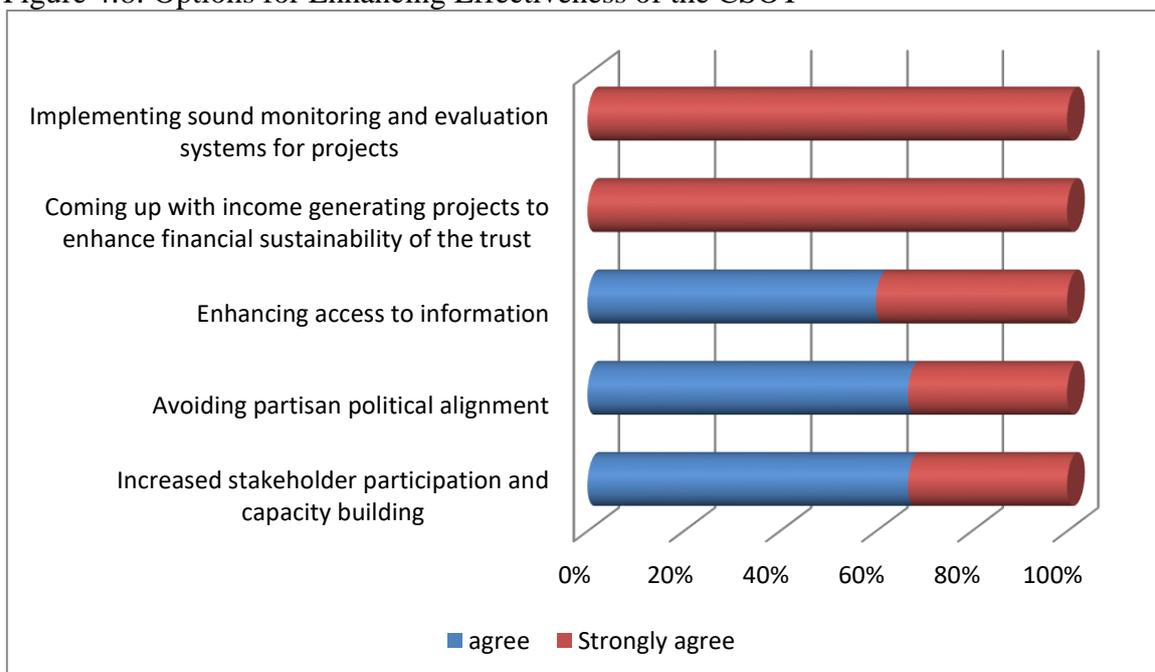
indigenisation programmes give preference to previously underprivileged groups at the expense of other sections of the same society, who are regarded to be previously advantaged groups (Thouvenot, 2014:13). In any case, the determination of who is genuinely ‘indigenous’ is itself problematic; leaving many such programmes to the whims of political elite and their extensive networks of patronage.

However, scholars have been debating whether indigenisation in Zimbabwe provides the country with sufficient mechanisms to deliver sustainable economic emancipation for current and future generations (Magure, 2010:16). In implementing the indigenisation policy, emphasis has been put on the land reform, community share ownership schemes and employee schemes, as ways of benefitting the majority but with limited efforts made towards achieving broad based economic empowerment and sustainable growth (Sibanda, 2013:22). Additionally, the way foreign owned companies are being forced to comply with the indigenisation policy shows that the policy is a political strategy rather than an economic programme aimed at empowering indigenous Zimbabweans (Murombo, 2010:34).

#### 4.3.5 The Possible Options for Enhancing the Success of the ZMNCZCSOT

A number of possible options were proposed for enhancing the success of MNCZCSOT. These are summarised in Figure 4.8.

Figure 4:8: Options for Enhancing Effectiveness of the CSOT



Source: Fieldwork (2017)

Figure 4.8 shows that all the participants were in agreement that increased stakeholder participation and capacity building was essential. This finding is supported by literature. According to Shumba (2014:87), the prerequisite to well-functioning CSOTs is the equipment of communities with skills to participate effectively in community trusts. At present, there is a need for capacity building to enable communities to sufficiently benefit from indigenisation programmes and reduce issues of patronage and partisanship (Kanyenze, 2013:4).

Participation is vital in improving the empowerment of indigenous people. This is because it allows vulnerable groups to decide suitable interventions to their problems. The vulnerable groups will benefit from gaining increased representation (Dreier, 1996:121). Increase in participation makes it possible for the people to organise themselves and work collectively, thus attaining greater control over matters that affect them. This means that mobilisation is vital in reaching this level (Sibanda, 2013:41). For effective participation, the people's ideas must be considered, so that they feel involved in the identification and ratification of decisions made (Slocumand, 1998:56). This also enables people to hold the authorities accountable in terms of implementing policies and how funds are being used in different schemes and projects. This effort to maintain informed participation requires the creation of space for people to hold debates and participate directly, or indirectly, in local or national settings (Dreier, 1996:124).

Figure 4.8 shows that the other options for enhancing CSOTs include the need to avoid partisan political alignment, enhancing access to information, and coming up with income generating projects to enhance financial sustainability of the trust. There was also a need to implement sound monitoring and evaluation systems for projects. It was also stated that there was a need to review of the legal framework pertaining to indigenisation with a view to harmonise all pieces of legislation. One official in the MYIEE said;

The Line Ministries Approach to compliance and implementation is weak and retrogressive to progress given that Indigenisation is the key result area for the MYIEE as such other Ministers may have limitations in enforcing indigenisation compliance as well as implementation since indigenisation may be perceived as retrogressive to their (Line Ministers) respective key result areas.

The idea of establishing community share trusts is a good one, but it should be done with high levels of transparency and proper management so that real benefits can accrue to the intended beneficiaries. Audits have to be conducted, regularly, so as to ensure transparency and

accountability (Mabena, 2012:84). There also ought to be efforts to de-politicize empowerment programmes; empowerment should be open to everyone. There should be mechanisms to distance the programmes from partisan and political alignment (Magure, 2010:37). Indigenisation programmes should not be hijacked by the elite and politically connected officials, but implemented through non-partisan strategies from the private, the public, as well as the non-profit sector. This will enhance accountability and transparency. In all this, the rule of law must reign and chaos should be minimised at all cost (Sibanda, 2013:32).

#### **4.4 CONCLUSION**

This chapter presented the findings of the study, which were in line with the research objectives. The chapter started by presenting the response rate, which was high enough. There were discussions on the legal, policy and institutional framework through which CSOTs are implemented in Zimbabwe, and an examination on the operation of the CSOT policy instrument in the IEE Policy. The study also analysed the effectiveness of the ZMNCZCSOT in achieving the IEE policy objectives, highlighted the challenges being faced, and proposed possible options for enhancing the success of the ZMNCZCSOT. The next chapter presents the summary, conclusions, and recommendations.

## CHAPTER FIVE

### CONCLUSIONS AND RECOMMENDATIONS

#### 5.1 INTRODUCTION

This chapter winds up the study. It presents the conclusions that are in line with the research objectives. The overall conclusion is also presented in the chapter. The recommendations and suggestions for further study are also part of the chapter.

#### 5.2 CONCLUSIONS

The study concludes for each research objective. The conclusions are as follows:

##### **5.2.1 The Legal, Policy, and Institutional Framework for Implementation of CSOTs**

The study showed that there was clarity of policy problem and the clarity of policy goals and objectives of the CSOTs. However, the policy instruments were inadequate. There were inconsistencies in the legislative framework supporting the CSOTs and between the various pieces of statutes have rendered the Indigenisation and Economic Empowerment Act weak. The institutional framework for the implementation of the CSOTs is inadequate and most of the CSOTs are not fully operational. ZMNCZCSOT is the only effectively running CSOT. The CSOTs' operations are guided by Trust Deeds and Boards of Trustees are composed of various members from different academic and social backgrounds.

##### **5.2.2 The Operation of the CSOT Policy instrument in the IEE Policy**

The research showed that, given the circumstances in Zimbabwe, the CSOTs were the best option for ensuring empowerment of communities. There is a critical role to be played by CSOTs in fulfilling the commitments made by Government in employment creation, judicious exploitation of human and natural resources, and promoting investment at local and community levels in pursuit of people-oriented inclusive economic growth and development. However, in terms of CSOT, the indigenisation agenda does not give a detailed account of how representatives of CSOTs can be selected.

##### **5.2.3 The Effectiveness of the ZMNCZCSOT in Achieving the IEE Policy Objectives**

The research showed that Zimplats was able to meet its initial seed capital pledge to the CSOT. The other instalments were foregone because the company was making losses. Zimplats has not yet fully complied with equity issues and has not issued a share certificate to

the CSOT. It was noted that the CSOT was doing well during its formative years as it was during these years that a number of social projects were implemented. Between the years 2012 and 2015, the CSOT used about \$4,4 million to undertake various projects. There were projects in construction of classroom blocks, supply of school furniture, borehole establishment, road maintenance, teacher and nurses' houses, foot bridges, expecting mothers' shelters, pipe drifts, and electrification.

#### **5.2.4 The Challenges Faced in the Implementation of the ZMNCZCSOT**

The study showed that there was limited ability of the CSOT to respond to all developmental needs. In addition, there was multiplicity of actors (too many cooks problem). There was limited grassroots participation when the CSOT dispensation began, it was hurried and Councils were ordered to come up with policy documents on CSOTs from their developmental plans. There was also the problem of inter-class struggle as allegations of favouritism of some districts at the expenses of the others in CSOT were levelled during focus group discussions. There was also limited information dissemination to the grassroots, as focus group discussions revealed that some wards were not fully aware of all the operations of the Trust. While the Trust attempts to disseminate information through newsletters and pamphlets, these were not readily available in the villages.

#### **5.2.5 The Possible Options for Enhancing the Success of the ZMNCZCSOT**

The study proposed a number of options that can be adopted to enhance the success of MNCZCSOT. These include increased stakeholder participation and capacity building, avoiding partisan political alignment, and enhancing access to information. There is also a need for the CSOT to come up with income generating projects to enhance financial sustainability of the trust. Equally important was the need to implement sound monitoring and evaluation systems for projects. The policy makers need to review the legal framework pertaining to indigenisation with a view to harmonise all pieces of legislation.

#### **5.2.6 Overall Conclusion**

The study found out there was consensus that the inconsistencies in the legal framework were affecting the operations of the CSOTs. There were inadequate guidelines on operations of CSOTs and some of the entities lacked capacity. Only ZMNCZCSOT was fully operational. Despite having a huge mandate (operating in three districts), the ZMNCZCSOT was doing a good job to promote development, however, some improvements were necessary. Firstly, there was limited grassroots participation, and inequality in the distribution of projects in the

three districts. There was also a problem of information asymmetry. There was limited information dissemination pertaining to the operations of the company (Zimplats). For instance, while the company was facing operational challenges, it was accused of dishonestly and purposively reporting losses. However, the company should release the share certificate. There was also limited information dissemination to the grassroots, as focus group discussions revealed that some wards were not fully aware of all the operations of the Trust. While the Trust attempts to disseminate information through newsletters and pamphlets, these were not readily available in the villages.

### **5.3 RECOMMENDATIONS**

The study came up with a number of recommendations, which could enhance the operations of CSOTs. These are:

#### **5.3.1 Legal Framework**

The research found out that the legal framework for CSOT is not clear and consistent. Therefore, there is a need to ensure consistency of legal framework. There should be one voice from the policy makers and all the provisions need to be clearly laid down.

#### **5.3.2 Capacity Building**

The study found out that ZMNCZCSOT was the only operational CSOT as the others were not yet fully functional. Therefore, there is need for capacity building of the CSOTs. Capacity building is necessary in terms of how the CSOT funds should be used and how in projects' need identification. There is a need to capacitate the Trustees so that they will be able to manage finances and the projects.

#### **5.3.3 Grassroots Participation**

Grassroots participation is vital in improving the empowerment of indigenous people. This is because it allows vulnerable groups to decide suitable interventions to their problems. The vulnerable groups will benefit from gaining increased representation. Equality in distribution of projects across the three districts is paramount.

#### **5.3.4 Information Dissemination**

There is need for effective information dissemination, as there is a problem of information asymmetry. Effective communication between Zimplats and the Trust and between the Trust and the beneficiaries, is paramount. Zimplats needs to conduct meetings with the Ministry of Youth, Indigenisation and Economic Empowerment and the Board of Trustees of

ZMNCZCSOT and fully explain its financial position and operational challenges. In addition, there is need for CSOT secretariat to hold frequent meeting in all the districts so that the beneficiaries are fully informed about the progress being made and the future development plans. Effective interaction with the beneficiaries also helps in the identification of projects.

### **5.3.5 Widening the Sources of Funds**

The area covered by the trust is big and there is need to expand income generation projects, other sources of funding, responding to calls for proposals to fund development projects, as the trusts could complement or replace non-governmental organisations (NGOs).

### **5.3.6 Transparency in Management of the CSOTs**

The CSOTs are a noble idea but there should be high levels of transparency and proper management so that real benefits can accrue to the intended beneficiaries. Audits have to be conducted regularly to ensure transparency and accountability. There is need to de-politicise empowerment programmes; empowerment should be open to everyone. The indigenisation programmes should not be hijacked by the elite and politically connected officials, but implemented through non-partisan strategies from the private, public, as well as the non-profit sector.

## **5.4 SUGGESTIONS FOR FURTHER RESEARCH**

The research showed that there are policy inconsistencies. Therefore, there might be need for further research on the appropriate strategies for the implementation of CSOTs. There is also need for research on how the CSOTs can disseminate information to the community members. In addition, the study showed that ZMNCZCSOT was able to facilitate development during the short period it has been operating. NGOs have been operating for decades in some districts but there are debates on whether they have facilitated development. There is need for research on whether CSOTs can replace NGOs. International development partners can channel funding through CSOTs. NGOs have been in existence for too long but their development footprint is limited. The CSOTs can even be renamed Community Development Trusts.

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## APPENDIX A: QUESTIONNAIRE

Position of Respondent: .....

Department: .....

Date: .....

**Target Respondents:** Ministry of Youth, Indigenisation and Economic Empowerment, ZIMPLATS, Rural District Council Officials, and CSOT Board of Trustees

My name is Canisia Kudakwashe Magaya, a student studying towards the attainment of the Master of Public Administration (MPA) at the University of Zimbabwe. As a partial fulfilment of the requirements of the MPA programme, I am conducting a study on '*policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy: the case of Mhondoro-Ngezi-Chegutu-Zvimba Community Share Ownership Trust (MNCZCSOT): 2012-2016*'. The primary objective of this study is to explore the policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy sector, with particular reference to the MNCZCSOT. Specific objectives are as follows:

- to analyse the legal, policy and institutional framework through which community share ownership trusts (CSOTs) are implemented in Zimbabwe;
- to critically examine the operation of the CSOT policy instrument in the Indigenisation and Economic Empowerment (IEE) Policy;
- to analyse the effectiveness of the MNCZCSOT in achieving IEE policy objectives;
- to highlight and discuss the challenges faced in the implementation of the MNCZCSOT; and
- to propose possible options for enhancing the success of the MNCZCSOT.

My request to you is to give me answers to questions that I have. Your participation in this study is voluntary and you are free to withdraw any time should you feel uncomfortable. The study is an academic exercise and the data I am going to collect shall be treated as confidential. You are free to ask me any questions related to this research by contacting me on 0776 144 661 or email [cantonamagaya@yahoo.com](mailto:cantonamagaya@yahoo.com).

**Theme 1: Legal, policy and institutional framework through which CSOTs are implemented**

1.1 The legal and policy framework for the implementation of the CSOTs is adequate?

Elements	Responses				
	1. Strongly disagree	2. disagree	3. unsure	4. agree	5. Strongly agree
Clarity of policy problem					
Clarity of policy goals and objectives					
Adequacy of policy instruments					

Any comment on answer .....

.....

1.2 What are the limitations in the legal and policy framework of the CSOTs?

.....

.....

.....

1.3 The institutional framework for the implementation of the CSOTs is adequate?

1. Strongly disagree	2. disagree	3. unsure	4. agree	5. Strongly agree

Any comment on answer .....

.....

**Theme 2: The operation of the CSOT policy instrument**

2.1 Given the circumstances in Zimbabwe, the CSOTs were the best option for ensuring empowerment of communities.

1. Strongly disagree	2. disagree	3. unsure	4. agree	5. Strongly agree

Any comment on answer .....

.....

2.2 There are adequate guidelines on how the CSOTs should be managed

1. Strongly disagree	2. disagree	3. unsure	4. agree	5. Strongly agree

Any comment on answer .....

.....

2.3 There are adequate guidelines in terms of the nature of projects that CSOTs should focus on

1. Strongly disagree	2. disagree	3. unsure	4. agree	5. Strongly agree

Any comment on answer .....

.....

**Theme 3: The effectiveness of the MNCZCSOT in achieving IEE policy objectives**

3.1 Zimplats was able to meet its IEE pledge

1. Strongly disagree	2. disagree	3. unsure	4. agree	5. Strongly agree

Any comment on answer .....

.....

3.2 There is transparency and accountability in the management of the Trust

1. Strongly disagree	2. disagree	3. unsure	4. agree	5. Strongly agree

Any comment on answer .....

.....

### 3.3 Comment on the sustainability of the CSOT

Elements	Responses				
	1. Strongly disagree	2. disagree	3. unsure	4. agree	5. Strongly agree
There is political sustainability					
There is economic sustainability					
There is high sense of community ownership					

Any comment on answer .....

.....

### 3.4 Which projects have been successfully completed by the CSOT?

Year	Nature of Project and Location	Cost of Project	Number of Beneficiaries

## Theme 4: The challenges faced in the implementation of the MNCZCSOT

### 4.1 What challenges were faced in the implementation of the CSOT?

Challenges	Responses				
	1. Strongly disagree	2. disagree	3. unsure	4. agree	5. Strongly agree
Limited ability to respond to all developmental needs					
Abuse by elites					
Multiplicity of actors (too many cooks problem)					
Lack of information					
Lack of institutional capacity					
Other challenges (specify)					

Any comment on answer .....

.....

**Theme 5: Possible options for enhancing the success of the MNCZCSOT**

5.1 What options can be adopted to enhance the success of MNCZCSOT?

Options	Responses				
	1. Strongly disagree	2. disagree	3. unsure	4. agree	5. Strongly agree
Increased stakeholder participation and capacity building					
Avoiding partisan political alignment					
Enhancing access to information					
Coming up with income generating projects to enhance financial sustainability of the trust					
Implementing sound monitoring and evaluation systems for projects					
Other options (specify)					

Thank you for your time and effort

## APPENDIX B: INTERVIEW GUIDE

Position of respondent.....

Department.....

Date.....

**Target Respondents:** Ministry of Youth, Indigenisation and Economic Empowerment, ZIMPLATS, Rural District Council Officials, and CSOT Board of Trustees

My name is Canisia Kudakwashe Magaya, a student studying towards the attainment of the Master of Public Administration (MPA) at the University of Zimbabwe. As a partial fulfilment of the requirements of the MPA programme, I am conducting a study on '*policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy: the case of Mhondoro-Ngezi-Chegutu-Zvimba Community Share Ownership Trust (MNCZCSOT): 2012-2016*'. The primary objective of this study is to explore the policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy sector, with particular reference to the MNCZCSOT. Specific objectives are as follows:

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- to critically examine the operation of the CSOT policy instrument in the Indigenisation and Economic Empowerment (IEE) Policy;
- to analyse the effectiveness of the MNCZCSOT in achieving IEE policy objectives;
- to highlight and discuss the challenges faced in the implementation of the MNCZCSOT; and
- to propose possible options for enhancing the success of the MNCZCSOT.

My request to you is to give me answers to questions that I have. Your participation in this study is voluntary and you are free to withdraw any time should you feel uncomfortable. The study is an academic exercise and the data I am going to collect shall be treated as confidential. You are free to ask me any questions related to this research by contacting me on 0776 144 661 or email [cantonamagaya@yahoo.com](mailto:cantonamagaya@yahoo.com).

- 1 What are the legal and policy frameworks for the implementation of the CSOTs?
- 2 What are the limitations in the legal and policy framework of the CSOTs?
- 3 Comment on the adequacy of the institutional framework for the implementation of the CSOTs?
- 4 How sound or clear are the operations of the CSOT in the IEE Policy?

- 5 To what extent has the MNCZCSOT been able to ensure the attainment of the IEE policy objectives?
- 6 What challenges have been faced in the implementation of the MNCZCSOT?
- 7 What are the possible options for enhancing the success of the MNCZCSOT?
- 8 Do you have any information to share pertaining to the operations of the MNCZCSOT?

Thank you for your time and effort

## APPENDIX C: FOCUS GROUP DISCUSSION GUIDE

**Target Respondents:** Village Heads and Community Members (Beneficiaries of the Trust)

My name is Canisia Kudakwashe Magaya, a student studying towards the attainment of the Master of Public Administration (MPA) at the University of Zimbabwe. As a partial fulfilment of the requirements of the MPA programme, I am conducting a study on '*policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy: the case of Mhondoro-Ngezi-Chegutu-Zvimba Community Share Ownership Trust (MNCZCSOT): 2012-2016*'. The primary objective of this study is to explore the policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy sector, with particular reference to the MNCZCSOT. Specific objectives are as follows:

- to analyse the legal, policy and institutional framework through which community share ownership trusts (CSOTs) are implemented in Zimbabwe;
- to critically examine the operation of the CSOT policy instrument in the Indigenisation and Economic Empowerment (IEE) Policy;
- to analyse the effectiveness of the MNCZCSOT in achieving IEE policy objectives;
- to highlight and discuss the challenges faced in the implementation of the MNCZCSOT; and
- to propose possible options for enhancing the success of the MNCZCSOT.

My request to you is to give me answers to questions that I have. Your participation in this study is voluntary and you are free to withdraw any time should you feel uncomfortable. The study is an academic exercise and the data I am going to collect shall be treated as confidential. You are free to ask me any questions related to this research by contacting me on 0776 144 661 or email [cantonamagaya@yahoo.com](mailto:cantonamagaya@yahoo.com).

### Ground Rules

- Let us value everyone's contribution.
- We must give one another enough time to give their opinions and not interject.
- One person must speak at a time.
- We must speak through the moderators; raise your hand if you want to say something.

- 1 In your own view, is the MNCZCSOT being properly managed?
- 2 What projects have been successfully implemented by the MNCZCSOT?
- 3 What projects were you expecting but were not implemented by the MNCZCSOT?
- 4 In the future, what projects do you think should be implemented by the MNCZCSOT?
- 5 What challenges have been faced in the implementation of the MNCZCSOT?
- 6 What are the possible options for enhancing the success of the MNCZCSOT?

7 Do you have any information to share pertaining to the operations of the MNCZCSOT?

Thank you for your time and effort

## APPENDIX D: LETTERS OF AUTHORITY TO CONDUCT RESEARCH

University of Zimbabwe  
P.O. Box MP167  
Mt Pleasant  
Harare

21 March 2017

The Permanent Secretary  
Ministry of Youth, Indigenisation and Economic Empowerment

Dear Sir/Madam

### **SUBJECT: AUTHORITY TO CONDUCT RESEARCH**

I am a student studying towards the attainment of the Master of Public Administration (MPA) at the University of Zimbabwe. As a partial fulfilment of the requirements of the MPA programme, I am conducting a study on *'policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy: the case of Mhondoro-Ngezi-Chegutu-Zvimba Community Share Ownership Trust (MNCZCSOT): 2012-2016'*. The primary objective of this study is to explore the policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy sector, with particular reference to the MNCZCSOT. Specific objectives are as follows:

- to analyse the legal, policy and institutional framework through which community share ownership trusts (CSOTs) are implemented in Zimbabwe;
- to critically examine the operation of the CSOT policy instrument in the Indigenisation and Economic Empowerment (IEE) Policy;
- to analyse the effectiveness of the MNCZCSOT in achieving IEE policy objectives;
- to highlight and discuss the challenges faced in the implementation of the MNCZCSOT; and
- to propose possible options for enhancing the success of the MNCZCSOT.

My request to you is to give me authority to administer questionnaires and conduct interviews with some officials in the Ministry who can provide me with answers to questions that I have. The study is an academic exercise and the data I am going to collect shall be treated as confidential. You are free to ask me any questions related to this research. Please find, attached, a letter from the University of Zimbabwe, confirming my enrollment. I have also attached the proposed research instruments.

Yours faithfully

Canisia Kudakwashe Magaya  
0776 144 661  
[cantonamagaya@yahoo.com](mailto:cantonamagaya@yahoo.com)

University of Zimbabwe  
P.O. Box MP167  
Mt Pleasant  
Harare

21 March 2017

The District Administrator  
Chegutu/Mhondoro-Ngezi/Zvimba District

Dear Sir/Madam

**SUBJECT: AUTHORITY TO CONDUCT RESEARCH**

I am a student studying towards the attainment of the Master of Public Administration (MPA) at the University of Zimbabwe. As a partial fulfilment of the requirements of the MPA programme, I am conducting a study on *'policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy: the case of Mhondoro-Ngezi-Chegutu-Zvimba Community Share Ownership Trust (MNCZCSOT): 2012-2016'*. The primary objective of this study is to explore the policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy sector, with particular reference to the MNCZCSOT. Specific objectives are as follows:

- to analyse the legal, policy and institutional framework through which community share ownership trusts (CSOTs) are implemented in Zimbabwe;
- to critically examine the operation of the CSOT policy instrument in the Indigenisation and Economic Empowerment (IEE) Policy;
- to analyse the effectiveness of the MNCZCSOT in achieving IEE policy objectives;
- to highlight and discuss the challenges faced in the implementation of the MNCZCSOT; and
- to propose possible options for enhancing the success of the MNCZCSOT.

My request to you is to give me authority to conduct the study in your district, which is covered by the MNCZCSOT. The study is an academic exercise and the data I am going to collect shall be treated as confidential. You are free to ask me any questions related to this research. Please find, attached, a letter from the University of Zimbabwe, confirming my enrollment. I have also attached the proposed research instruments.

Yours faithfully

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[cantonamagaya@yahoo.com](mailto:cantonamagaya@yahoo.com)

University of Zimbabwe  
P.O. Box MP167  
Mt Pleasant  
Harare

21 March 2017

The Corporate Affairs Director  
ZIMPLATS

Dear Sir/Madam

**SUBJECT: AUTHORITY TO CONDUCT RESEARCH**

I am a student studying towards the attainment of the Master of Public Administration (MPA) at the University of Zimbabwe. As a partial fulfilment of the requirements of the MPA programme, I am conducting a study on *'policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy: the case of Mhondoro-Ngezi-Chegutu-Zvimba Community Share Ownership Trust (MNCZCSOT): 2012-2016'*. The primary objective of this study is to explore the policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy sector, with particular reference to the MNCZCSOT. Specific objectives are as follows:

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- to critically examine the operation of the CSOT policy instrument in the Indigenisation and Economic Empowerment (IEE) Policy;
- to analyse the effectiveness of the MNCZCSOT in achieving IEE policy objectives;
- to highlight and discuss the challenges faced in the implementation of the MNCZCSOT; and
- to propose possible options for enhancing the success of the MNCZCSOT.

My request to you is to give me authority to administer questionnaires and interview some officials in your organisation would can provide me answers to questions that I have. The study is an academic exercise and the data I am going to collect shall be treated as confidential. You are free to ask me any questions related to this research. Please find, attached, a letter from the University of Zimbabwe, confirming my enrollment. I have also attached the proposed research instruments.

Yours faithfully

Canisia Kudakwashe Magaya  
0776 144 661  
[cantonamagaya@yahoo.com](mailto:cantonamagaya@yahoo.com)

University of Zimbabwe  
P.O. Box MP167  
Mt Pleasant  
Harare

6 March 2017

The Chairperson  
Mhondoro-Ngezi-Chegutu-Zvimba Community Share Ownership Trust

Dear Sir/Madam

**SUBJECT: AUTHORITY TO CONDUCT RESEARCH**

I am a student studying towards the attainment of the Master of Public Administration (MPA) at the University of Zimbabwe. As a partial fulfilment of the requirements of the MPA programme, I am conducting a study on *'policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy: the case of Mhondoro-Ngezi-Chegutu-Zvimba Community Share Ownership Trust (MNCZCSOT): 2012-2016'*. The primary objective of this study is to explore the policy implementation dynamics in Zimbabwe's indigenisation and economic empowerment policy sector, with particular reference to the MNCZCSOT. Specific objectives are as follows:

- to analyse the legal, policy and institutional framework through which community share ownership trusts (CSOTs) are implemented in Zimbabwe;
- to critically examine the operation of the CSOT policy instrument in the Indigenisation and Economic Empowerment (IEE) Policy;
- to analyse the effectiveness of the MNCZCSOT in achieving IEE policy objectives;
- to highlight and discuss the challenges faced in the implementation of the MNCZCSOT; and
- to propose possible options for enhancing the success of the MNCZCSOT.

My request to you is to give me authority to conduct this research and to administer questionnaires, conduct interviews and focus group discussions with the trustees, the chiefs, headmen and the community members. The study is an academic exercise and the data I am going to collect shall be treated as confidential. You are free to ask me any questions related to this research. Please find, attached, a letter from the University of Zimbabwe, confirming my enrollment. I have also attached the proposed research instruments.

Yours faithfully

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