Critical Examination of Community Participation in Development Projects

A project submitted to Middlesex University in partial fulfilment of the
requirements for the award of Doctor of Professional Studies (Social Performance)

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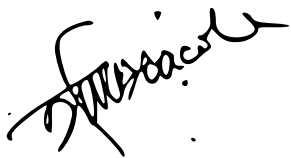
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Declaration

I, Allibay, Bankole Sulihaj, declare that this thesis titled, Critical Examination of Community Participation in Development Projects, and the Good Practice Model on Community Participation proposed at the end of the research are my own. I confirm that:

- This work was done mainly while in candidature for a research degree at this University, drawing on my previous work experiences as required.

- Where I have consulted the published work of others, adequate referencing has been provided

- Where I have quoted from the work of others, the source is always given.

- With the exception of quotations and consulted materials, this thesis is entirely my own work.

- Importantly, the model of good practice presented at the end of this research is completely my work.

Signed:

ACKNOWLEDGEMENT

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GLOSSARY

ADB	Asian Development Bank
AfDB	African Development Bank
BG	British Gas
CBO	Community- Based Organisation
CDD	Community Driven Development
CIA	Central Intelligence Agency
CSR	Corporate Social Responsibility
CSTC	Cassava Starch Tanzania Corporation
DED	District Executive Director
EIA	Environmental Impact Assessment
ESHIA	Environmental, Social and Health Impact Assessment
EIPP	European Institute for Public Participation
EIRFP	Eastern India Rainfed Farming Project
ERM	Environmental Resource Management
EWURA	Environmental and Water Utility Regulatory Authority
FGD	Focus Group Discussion
FPIC	Free, Prior and Informed Consent
GOT	Government of Tanzania
GDP	Gross Domestic Product
GIZ	German Development Corporation
GNP	Gross National Product
GIS	Geographic Information System
IBP	International Best Practices
IFC PS	International Finance Corporation Performance Standard
IOC	International Oil Companies
IDC	International Development Consultants
IISD	International Institute for Sustainable Development
ILO	International Labour Organisation
IMF	International Monetary Fund
JV	Joint Venture
KII	Key Informant Interviews
LNG	Liquefied Natural Gas
LRP	Livelihood Restoration Plan
MDG	Millennium Development Goals
MEM	Ministry of Energy and Minerals
MP	Member of Parliament
NEEP	National Economic Empowerment Policy
NEMC	National Environmental Management Council
NGO	Non-Governmental Organisation

NOC	National Oil Company
ODI	Oversees Development Institute
OECD	Organisation for Economic Co-operation and Development
OPEC	Organization of Petroleum Exporting Companies
PA	Petroleum Act
PAPs	Project Affected Persons
PSSN	Productive Social Safety Nets
PURA	Petroleum Upstream Regulatory Authority
QGDC	Queensland Government Department of Communities
RC	Regional Commissioner
RoW	Right of Way
SDG	Sustainable Development Goals
SPSS	Statistical Package for Social Scientists
SME	Small and Medium Enterprise
TASAF	Tanzanian Social Action Fund
TCF	Trillion Cubic Feet
TDL	Translantic Development Limited
TPDC	Tanzania Petroleum Development Corporation
UN	United Nations
UNCED	United Nations Conference on Environment and Development
UNDP	United Nations Development Programme
UNECE	United Nations Economic Commission for Europe
USD	United States Dollars
USDHHS	United States Department of Health and Human Services
VLA	Village Land Act
WB ESS	World Bank Environmental and Social Safeguards
WBEHSG	World Bank Environmental Health and Safety Guidelines
WB OP	World Bank Operational Policy
WCED	World Commission on Environment and Development

ABSTRACT

This research examined the role of community participation in development projects in Tanzania to gain a deeper understanding of its role in the development process and propose a good practice model towards attaining community participation in practice. The research focused on two case studies in Tanzania's Lindi region: the International Oil Company (IOC) LNG JV project in Lindi Rural and Lindi Municipal Districts and the Tanzania Social Action Fund (TASAF) in Lindi Rural District. The objectives were: to critically review literature towards establishing trends and nexus between development and participation; to explore the nature of participation in the IOC LNG JV and the TASAF projects and the roles of select NGOs towards attaining participation on case study projects; to critically examine community understanding of participation; to analyse the community participation components of the Tanzanian Village Land Act of 1999. National Economic Policy of 2004, Tanzanian Vision 2025, Environmental Management Act 2004 and the Petroleum Act of 2015 and the corporate sustainability policy of the IOC LNG JV companies; and to propose a good practice model on community participation for social performance practitioners, government policy makers and development project investors towards attaining participation in social sustainability practice.

The study was carried out using a mixed method epistemological approach for data gathering and data analyses. The study used survey tools such as interviews, focus group discussions, key informant engagements and content analyses. In total, 536 persons were surveyed using quantitative surveys tools. 32 institutional and key informant engagements were also conducted for communities and government institutions.

The main findings from the research are: participatory policy development is essential to community participation and community participation enhance project buy-in and success. Consequently, this research recommends citizenship engagement and citizenship education to attain greater community participation. The research also recommends that development projects should insist on direct consultation with stakeholders affected by projects, particularly at the community level.

As a contribution to practice, this research proposed a tool-kit for greater understanding of the concept of participation for practitioners. The tool-kit is designed to help practitioners gain deeper

understanding of participation as it relates to policy development, corporate social responsibilities and social performance in practice. The model looks at the goal of participation, rationale for participation, the mode, timing, and how to evaluate the performance of participation in development projects. This model provides guidance and clarification between social performance and corporate social responsibilities and further explains how participation applies to these two concepts differently.

CHAPTER ONE

INTRODUCTION

1.0 Introduction

This chapter explains the background and conceptualises the research. This is followed by definition of social performance, which is the author's area of practice as an environmental and social risk manager. The chapter also explores the author's knowledge, work experience and capacity as a professional to carry out a multi-disciplinary research as required by the Institute of Work Based Learning, following the author's formal and informal trainings. The chapter also gives a brief background to the research case studies, exploring how they were conceived as a development project. Lastly, this chapter list the benefits to the research area and provides definition of terms that are relevant to the entire study. Thus, enabling the author to operationalise those terms within the context of the research. The chapter introduces the entire research, establishing its relevance to social performance practice and the concept of participation in development in particular, as an expanding area of social development.

a) **Background to The Research**

This research examines the participatory component of two selected development projects in Lindi region of Tanzania: The International Oil Company Liquefied Natural Gas Joint Venture (IOC LNG JV) and the Tanzanian Social Action Fund (TASAF) project. The research is looking specifically at the development actors; the people, the investors and the government and measuring how much the people have contributed to potential growth around them.

The focus of this research is not to position community participation within the approach / process thinking but largely within the approach to result context. This means that in describing the concept of community participation, the process is not totally dependent on any single approach, rather a combination of complimentary factors and approaches that would guarantee significant buy-in and co-sharing at every level of development. The approaches and processes which has contributed significantly to the complexities of the discourse around definition of community participation are further discussed in the review of knowledge and literature section of this research (Chapter Two).

The focus of this research is Lindi Region of Tanzania, where two projects have been chosen as the case study: the Tanzania Liquefied Natural Gas (LNG) Project and the Tanzania Social Action Fund Projects (TASAF). The Tanzania LNG Project is a joint venture (JV) between the Government of Tanzanian (GOT) and a consortium of international oil exploration and producing companies referred to as the International Oil Companies (IOC). The TASAF project is jointly funded by the Government of Tanzania (GOT) and multiple development agencies which include the World Bank Group, Organisation of Petroleum Exporting Countries (OPEC), Department for International Development of the United Kingdom (DfID), now rebranded UKAid and International Monetary Fund (IMF).

The Tanzania LNG Project would affect nine communities directly. These communities are: Mbanja, Kikwetu, Mto Mkavu, Masai ya leo, Likong'o, Makonde, Mitonga, Nagiriki and Namtutu. This research has conducted a representative survey in the nine communities across demographic boundaries because the project would impact the entire community, directly or indirectly. For the TASAF projects, two of the projects implemented by the agency were chosen as case studies. The first TASAF project examined is the Livestock sub-project which involves 18 households in Pangatena community and the second project examined is the infrastructure project for Linoha community. Accordingly, all the 18 project beneficiaries in Pangatena were studied quantitatively and qualitatively, while representatives across demographic divides were also studied in Linoha community. A representative survey was used in Linoha because the infrastructure project impacts everyone in Linoha community directly. Details of the methodology and methods of the study is discussed in the Research Methodology section (Chapter Three).

Before the commencement of the full scale research, a pilot survey was carried out in the same region, Lindi, with Cassava Starch Tanzania Corporation (CSTC). The pilot survey was designed to sharpen the focus of the research and test the research tools and logistic plans ahead of the main study. Although the research was planned to be conducted in one community, the CSTC project spans across three communities, as such a representative sample was taken across the three participating communities - Mahumbika, Mtama and Muisho. CSTC project is also an international investment that looks to explore the capacity of the local cassava production in Lindi to develop an industrial but biodegradable starch for the local and international market.

b) **Social Performance**

Social performance is the area of practice that helps organisations shape, manage and achieve their social goals (Koning and Wardle 2014). In practice, social performance is a methodological approach to ensuring investments are socially responsive and taking proactive steps towards ensuring development projects do not cause more harm than good, especially as it relates to impacts of the project on the people. It affects peoples' lives positively (CGAP[1] 2014), by ensuring development projects proactively mitigate, manage and compensate for project impacts and ultimately guaranteeing that such projects do not cause more harm than good (World Bank ESF[2] 2016). The practice of social performance has become increasingly popular particularly over the last three decades when it was discovered that international development funding could go terribly wrong. A typical example is the Chinese three gorges dam (Gleick 2009, Hvistendahl 2008, Campbell-Hyde 2011), which became a prosperity gateway for the country's economy, but at the same time led to acute impoverishment and displacement of over one million of her citizens. This has drawn a significant backlash and ongoing review of the activities of international development funding agencies from non-state actors, local and International Non-Governmental Organisations (INGOs). These agencies claim that most of the development funding agencies are actually funding disasters in the name of development (Roy 1999, Bassey 2010). According to Curtis and Mbunda (Action Aid 2015), some development projects further impoverish the citizens rather than alleviate their impediments to attaining a better life. Another example of this is the Narmada Valley Dam project, funded by the World Bank Group and the government of India. Although the project was conceived with good intentions to open up the economy in terms of large-scale agricultural production and hydro-power energy generation among others, evidentially, the project has resulted in a social and environmental disaster, with the possibility to displace over 1.5million poor people, due to the impoundment of the waters (Gleick 2009). Since the beginning of a critical review of development funding agencies' activities by international NGOs (Oxfam 2012, Action Aid 2015) essentially in emerging economies, global business trend weighs heavily on the double bottom line - social responsibility and financial responsibility (CGAP 2014). Because social issues could constitute significant risk to project development (IFC PS 2012, Gleick 2009, WB ESS 2016), the practice of social performance has been described as environmental social risk management. The goal of social risk management therefore is to attain social performance.

There are significant complexities around the practice of environmental social risk management, especially as a consultant. These complexities often present themselves as challenges. In the author's experience over the last 13 years, he has learnt from practices in many countries across Africa and Europe. He has also practiced across several industrial sectors. These experiences have helped the author to understand that the challenges limit the capacity of environmental social risk management practices to reach its full potential. This means that the challenges impede social performance from ensuring that sustainable development projects are indeed sustainable and do not cause more harm than good. Importantly, the current practice of social risk management cannot survive without data (Cooke and Kothari 2001) as data is described as the new oil (Toonders 2014). This is because data has found relevance in every aspect of modern existence. This is not particular to social performance practice, indeed, data has been described as the mainstay of modern business (The Economist, Feb. 25 2010). The need to extract and use data by development practitioners necessitates interaction with stakeholders, who warehouse these data in one form or the other. This interaction necessitates participation of the party holding the data (stakeholders), consciously, to enable them give adequate and required information to empower the practitioner to effect the desired change. This requires the participation of the stakeholders. The need for data and in the case of social performance practice, its vehicle, 'participation', by every organisation regardless of the industry or community of practice, has made participation ubiquitous (Cooke and Kothari 2001). The central role of data (and its vehicle- participation) reiterates the position that the concept of participation has moved from margins to mainstreams (Cooke and Kothari 2001, Hickey and Mohan 2004, Desai and Potter 2008). However, it is also believed that because the concept of participation has moved unchecked for over half a century, it has helped tyrannise those who are supposed to be empowered through the process (Cooke and Kothari 2001).

The complexity around the definition of what participation is has polarized the sustainable development/social performance practice and obviously affected the attendant result (Marsland 2006). Also, the language of sustainable development practice has complicated the understanding of practitioners. According to Cornwall (2011), there is a conspiratorial connivance about the language of sustainability. This connivance has reduced the concept of participation to a process of comforting mutuality (Cornwall and Brock 2001). It makes participation sound more like a slogan, rather than a process in sustainable development to keep all parties in development project in a win-win scenario. Many of what is referred to as participation in current practice can be

described as manipulation, therapy, information, consultation or placation, which have been described, at best, as tokenistic approach to participation (Arnstein 1969, Cornwall 2011). In practice, tokenistic approach to participation is doing the barest minimum "form of participation", to "tick the box", which often times does not achieve any positive result or guarantee any participation. Just as opined by Cooke and Kothari (2001), this knowledge and practice gap has made the concept of participation tyrannise rather than empower, thereby depriving citizens from participating in matters affecting them. This ultimately limits their citizenship because participation is a citizenship issue (Cooke and Kothari 2001). It is believed that participation gives the ability to co-determine the outcome of a process that concerns a people's wellbeing (EIPP 2011), an upshot of democracy and a civic right of every citizen of a state (Arnstein 1969, Cornwall 2011). This challenge in the understanding of participation constitutes a major gap in practice as it currently affects the understanding of practitioners and their practice (Marsland 2006).

As a practitioner researcher with clear understanding that no aspect of social performance practice can succeed without adequate participation of relevant stakeholders, my concern has always been: *how participatory is the current practice of participation?*

Modern democracy gives everyone the right to ask questions and be informed about their rights and limitations of such rights. It also affords citizens the benefits of choosing what they believe is right for them and benefit from, and share responsibilities in what choices they have made. Democratic procedures also allow citizens to criticize what they are uncomfortable with should the system fail in its responsibilities. If the ideal definition of participation is crafted after that of democracy, a significant part of the current understanding of participation can easily be described as non-participation or at the best, tokenistic participation, as described above. The connivance is rife, essentially in emerging economies (Cooke and Kothari 2001, Maral-Hanak 2009), where policies are developed without adequate consultations or disclosure. As such, the public is usually unaware of policies that could empower them to address these failing situations, at which when they fall victim, they either result to protest, which often lead to violence (Tanzania Daily Graphic 2013) or keep quiet and get drowned in the process (Roy 1999, Bassey 2012, Young 2010).

This research is informed by the author's active learning in multidisciplinary work environment as a Social Performance Consultant with unique unbroken line *participation*, which, has created a

thirst for continuous research up to this doctoral level. This research explores some of the gaps in community participation in development projects. It takes a holistic look at the perspectives to participation in a typical development project. The focus has been on the stakeholders such as project affected entities (communities), the government, the project investors and the third parties (NGOs and CBOs), exploring their perspectives to participation. This approach is to better understand the gap in communities' participation in similar projects in similar economies. It is also to suggest possible solutions such as building tailored participatory policies to social performance practices towards alleviating development *scapegoatism* of project affected entities and creating an environment that ensures that development projects do not cause more harm than good. Justifiably, experiences have shown that development scapegotism is widespread, essentially in emerging economies because there are inadequate legal safeguards to protect communities' interests when there is a discourse around their development (Hickey and Mohan 2004, Cornwall 2011). As such, the communities often become the scapegoat of development activities to the advantage of other stakeholders (Bassey 2010).

1.1 My Vocational Habitus

Vocational habitus involves developing not only a 'sense' of how to be, but also 'sensibility': requisite feelings and morals, and the capacity for emotional labour.

(Colley H., et. al. 2003 p. 2)

Work based learning has been described as 'a process of underpinning a belief in individual potential: a way of learning from our actions and from what happens to us and around us, by taking the time to question, understand and reflect, to gain insight and consider how to act in the future' (Weinstein 1995 p.3). As markedly different from the traditional university learning structure, work based learning does not happen from the disciplinary frameworks in which knowledge has been structurally arranged within the university. It often exemplifies more local knowledge, flowing from the particular spatial and temporal circumstances of professional work contexts and situations (Papadima-Sophocleous 2006, Boud 2001). One of the outstanding features of Work Based Learning compared to traditional classroom learning is that practitioners are allowed to reflect on their past work experiences, review them and re-document them to create new knowledge. (Raelin 2000).

The author's learning experience started with working for an agriculture-based Nigerian enterprise owned by his family. This work experience shaped the author's work ethics and helped him cultivate numeracy and problem-solving skills. Although the author's academic background includes certification in Public Relations, a degree in Theatre Arts, a Proficiency Certificate in Exceptional Customer Service as well as Business Process Management Professional Certification, work-based learning has formed a crucial part of his education and contributed significantly to the author's vocational habitus.

The author's initial experience working in the family enterprise gives the author/him over 5 years' experience managing large livestock and vegetable farming business, which consist of the primary cultivation, livestock production process and the value chain systems involved. This experience took the author through the process of professional semi-intensive and intensive agriculture, learning the processes of mechanised farming, usage of simple farm tools and their basic maintenance culture. As part of the learning, the author also engaged rigorously in the processing of primary farm produce, marketing and sales. For the author, this constitutes tacit knowledge in traditional livelihoods which forms a significant part of his practice till date. Thus, it can be said that work based learning is a deep form of experiential learning because learning acquired through work experiences, which is often referred to as implicit learning, is the foundation for tacit knowledge and can be used to solve problems as well as make reasonable decisions when related instances pose a challenge at work (Raelin 1997). Having gained admission to the University, to study for an undergraduate degree in Theatre Arts, the author left this role to another farm manager.

The author became self-sponsored after his first year in the university, which necessitated working 30 to 40 hours a week in stationery shops and cyber cafés around the university. Working as an attendant in this role, the author became acquainted with using computer programmes such as Microsoft office productivity tools, cyber metering software, basic customer databases, etc. The challenges of combining this with full time degree programme built the author's multitasking and resilient work ethics. As a corporate practice, the author was trained in exceptional customer service and public relations, which ignited the author's passion to pursue public relations as an added area of study. The author registered with the Nigerian Institute of Public Relations as a student member and undertook a certification programme towards becoming a full member and

practitioner. This underscores the position that combination of theory with practice makes the most sense in learning (Raelin 1997).

After the author's degree in Theatre Arts, the author joined International Development Consultants (IDC) Limited as a Junior Consultant. This experience kick-started the author's learning till date, particularly helping to gain understanding of different stakeholders in the development practice and essentially, understanding the centrality of participation to development projects. This learning for the author has been vast and steep. The author's main learnings over the years has centred on the following areas of practice:

- Stakeholder mapping and multiple stakeholder engagement
- Resettlement planning and implementation
- Livelihoods research, replacement and improvement
- Corporate social responsibility research and implementation
- Project implementation and management
- Understanding of international best practices, as well as regional and national laws.
- Socioeconomic baseline research and analyses
- Geographic Information System (GIS) for social performance.

The author's role as a junior consultant with IDC Limited integrated all the author previously learned actions into one whole body of knowledge which became necessary and readily applicable to solve the problems the author encountered on the job (Papadima-Sophocleous 2006). In addition, the author work experience in IDC Limited helped the author gain multidisciplinary experience over the years. This has enabled the author to create a hub of knowledge from the author's multidisciplinary experience by applying what the author have learnt over the years to the author's work situations to solve new problems and contribute significantly to his current practice. This emphasizes work based learning for the author since knowledge is derived through a multidimensional, inter- professional, work-based frame of reference. It is constructing not absorbing knowledge (Lester and Costley 2010, Costley 2000, Papadima-Sophocleous 2006).

From all the author's work experiences to date as a field director and leading multiple stakeholder engagement and social surveys, participation has been central to the author practice because it

engenders a sense of ownership, responsibility and confidence in the project affected population as participation is a citizenship issue (Cupps 1977, Papadima-Sophocleous 2006, Penderis 2012).

1.2 My Current Practice

I currently work as a social performance safeguard consultant for the World Bank Group, Ghana CMU, and managing safeguard compliance in Ghana, Liberia and Sierra Leone. Aside from this, I work as the Project lead and Director for Translantic Development Limited (TDL) an international sustainable development firm that specialises in field based social performance practices in emerging economies essentially in Africa (East Africa, West Africa, Central Africa and North Africa). Also, I am involved in freelance consultancy for large global infrastructural development actors and consultancies based in the United Kingdom, United States of America, Canada and South Africa. Before starting up TDL and working as a freelance consultant to the multinational companies, I worked as the Field Director and Lead Consultant on Multiple Stakeholder Engagement and Baseline Study in IDC Ltd. As an environmental social risk management consultant, I helped clients explore every aspect of human interface on their development projects, establishing the possible social impacts, designing, implementing and monitoring management, and mitigation plans for such identified impacts. This was usually for large-scale development projects but the solutions provided often permeate every cadre of social structure affected: multinational investors, large corporations, small and medium enterprises and industries, micro business owners, tradesmen and subsistence farmers.

Over the last five years, I have led teams of multi-disciplinary field officers and consultants and subject experts working on different aspects of environmental social risk management. My practice usually involves critical field research that informs my clients' decision in overall investment, particularly on how they mitigate, manage and in most cases, compensate for social risks on their projects. Due to the uniqueness of every project, the scope of work usually informs my standpoint when recruiting, training and conducting baseline studies, which I have done in about 10 countries over the last five years.

In the last three years, I have successfully managed five major projects in Tanzania, Sierra Leone, Nigeria, Ghana, Burkina Faso, and Liberia. The project in Tanzania was a resettlement action plan for a modern sugarcane farm, looking to acquire about 22000HA of land to produce sugar, ethanol

and generate electricity from the cane molasses. On this project, I had to interface with the government of Tanzania as a shareholder and stakeholder, the investors (project), project affected entities and third parties such as the NGOs, CBOs and government of Tanzania regulators.

In Sierra Leone, I worked with a group of consultants from Dalan Development Consulting (SL), ERM London, rePlan Inc. and Boreal-Is Canada on a project to acquire additional 6000HA of land in Marampa Sierra Leone, to expand the mining operation of one of the country's major iron ore mining firms. Unlike the project in Tanzania, the government of Sierra Leone only acts as regulators on this project, but as usual, I interfaced, significantly, with project affected entities, international lenders and third parties.

The project in Nigeria was to conduct Small and Medium Enterprise (SME) baseline for a state government, to help the state better understand the SME climate, particularly to know the challenges of the start-ups in the SME sector and the existing practitioners. This was to inform the state on how to expend the US$35 million grant earmarked for the SME sector. This role required me to engage with different levels of state actors such as the Ministerial Departments and Agencies (MDAs[3]) that interface with SMEs, while also engaging non-state actors such as banks (commercial and developments), NGOs, SME practitioners and large corporate bodies who contribute to the SME operations.

In Ghana, I recently led teams of valuers, land surveyors and social scientists to conduct full asset inventory, land parcel survey and social enumeration for West African Power Pool (WAPP) and Ghana Grid Company (GRIDCo) towards acquiring a 550KM Row from Kumasi, Ghana to Ouagadougou in Burkina Faso for the WAPP 330kV line. As in other projects, stakeholders include the government, project (WAPP and Ghana Grid Company), lenders', Project Affected Entities[4] (PAEs) and third parties. Also in Ghana, I completed a Livelihoods Restoration Plan (LRP) for a major gas exploration and producing company, to manage and mitigate the livelihoods impacts of the land acquired by the project.

In Liberia, I am currently working for a major international donor agency owned by the United States Government to conduct due diligence on the social performance components of rehabilitating the country's largest hydro-power plant. My due diligence assignment on this project is to ensure the project follows internationals standards, local and national laws, particularly,

ensuring the project constitute development to the people and they are actively involved in it, jointly making informed decisions alongside the project proponents. Aside this project, I am currently involved in three large renewable energy projects in Nigeria, particularly looking at livelihoods restoration plans and resettlement action plan to ensure the projects are bankable as required by international best practices[5] (IBPs). Also, I currently perform oversight functions for other projects in Ghana, Liberia and Sierra Leone for the World Bank Group, Ghana Country Management Unit.

Working in these capacities has sharpened my awareness and understanding of the pivotal roles of stakeholders in development projects. It has also helped to shape my capacity to profile stakeholders based on the industry which such projects belong. More importantly, I have continually observed that although some of the national development policies have components of community participation, the reality in most emerging economies, especially in Africa, is that they do not have any impact on the people. This disconnect has continually marginalized the project affected persons (Bassey 2010), and as such there is the need to critically engage the concept of community participation towards developing a strategy that improves policy development on community participation and ultimately connect the policies with practices.

In light of the projects listed above, particularly working with eleven communities in Liberia, six communities in Sierra Leone and 128 communities in Ghana, it is evident that community participation is key to my practice as an environmental social risk management consultant. This research in community participation will enrich my practice and generally contribute significantly to environmental social performance, as every aspect of the practice relies heavily on the bottom-up approach.

1.3 Definition of Terms

Community participation is key to building an empowered community and has become a significant feature of development projects (Reid 2000). It has also become a yardstick for measuring the success of development projects, as a high level of community participation is critical to project acceptance and community ownership of a project. Although community participation varies from country to country or region to region, participating communities share a number of characteristics (Reid 2000). These include getting everyone or groups involved in the

community's activities, dividing tasks, engaging individuals in responsibilities, and ensuring that the community takes ownership of its development. Community in this context is a group of people that live together in a defined geographical space, who share a collection of common core features such as economy, sociology and political structure (MacQueen et. al 2001).

Therefore, this research explores the level of community participation in development projects in the Lindi region of Tanzania, by critically examining the roles of key stakeholders. The Stakeholders include government, project developers and affected communities. The government has been considered a stakeholder because the government is in-charge of policies. Project developers are also stakeholders because they design planning and implementation frameworks for projects. Affected communities are key stakeholders because they would be faced with project impacts and drive its sustainability. These stakeholders are key to this discourse because they play a crucial role in the development process. The government is responsible for designing legal instruments and creating an enabling environment to allow development to happen. The investors are the brains and resources behind development projects, essentially in corporate settings and public private partnerships (PPP), where they go into Joint Venture[6] with a government. The third parties such as NGOs, CBOs and interest groups are responsible for regulating and swinging opinions that is expected to help shape the development process. Although all these stakeholders are key to development process, the community is often the most crucial stakeholder because the community physically plays host to the projects.

Community

In the context of this research, community is defined as a group of people that live together in a defined geographical setting (MacQueen et al 2001) 'Group of people' used here refers to persons above 18 years who ought to be actively involved in the context of the project.

Participation

Participation or community participation in the context of this research means the optimal involvement of directly impacted project communities, and or project beneficiaries at every stage of project development, management, monitoring and evaluation. Understandably, there are several complexities around the concept of community participation, including: its components,

processes, appendages and approaches that has further complicated this already somewhat ambiguous but ubiquitous concept. From a practice perspective, concepts such as community consultation, community engagement, community benefits, corporate social responsibilities, social investments etc. have been misconstrued (often used interchangeably) to mean community participation. These definitions are further explored in section 2.3 of the research- Review of literature. There are two contradictory meanings of participation circulating among development workers in Tanzania. The first one concerns "empowerment". In this regard, community participation is perceived as building the capacities of participants to champion their own development through facilitation of local decision-making. This is associated with international development discourse (Marsland 2006). The other concerns the obligation of Tanzanian citizens to contribute to the development of the nation (Marsland 2006). This has severally been translated to mean that the citizens are expected to oblige the state whatever the state request of the citizens in so far as, it is to attain development. Although the level of awareness and eagerness for community participation is quite high among community members in Tanzania (Uemura 1999, Maral-Hanak 2009), 'the ideologies of participatory development promoted by development organisations in Tanzania are at odds with popular aspirations' (Green 2000:67) such as the World Bank Environmental Health and Safety Guidelines (WBEHSG) and the International Financial Corporation (IFC) safeguards on Environmental and Social Sustainability (WB OP4.12 2013, IFCPS 2012). Despite the claims by development agencies of participatory development ideologies to foster the empowerment of the poor, the interventions they promote are premised on denial of people's capacity to bring about change for themselves (Green 2000:67; de Souza Briggs 2008). This contradiction in the understanding of community participation cuts across theory, practice and policies, and has consequently led to a gap in ascertaining the impacts of community participation on development projects (Hickey and Mohan 2004).

The essence of this study was to examine factors facilitating and impeding community participation in selected, long-term development projects in Tanzania. Additionally, this research critically analyzed the extent to which participation directly impact on projects' host communities. It is understandable that the entire community cannot be involved in the decision-making process, to guarantee participation, however, a representation of their interest would be adequate in this context to guarantee that their opinion is taken into consideration.

The study focused on long- term developmental projects that are funded by international donor agencies or lenders in partnership with the government and private entities. The Tanzania LNG project and TASAF were selected because they have a lifespan of ten years and above which makes them viable projects in terms of size, capacity and impact. Such projects usually have larger social, environmental and economic impacts (de Wet 2006). Particularly because they have a component of development induced displacement, they need to be carefully examined to ensure they do not cause more harm than good. According to de Wet (2006), project affected entities do not benefit from development induced displacement except they are involved in the impact mitigation process.

1.3.1 Tanzania

Tanzania is bordered to the east by the Indian Ocean, to the northeast by Kenya, north central by Uganda, northeast by Rwanda and Burundi, south by Mozambique and Malawi and to the west is Democratic Republic of Congo. United Republic of Tanzania (Tanzania) is the amalgamation of Tangayika and the island of Zanzibar. Tangayika became a sovereign state on the 9th of December 1961, while Zanzibar became a sovereign state in 19th December 1963. Tangayika started off its sovereignty as a democracy, while the Island of Zanzibar continued its seventy-three years of constitutional monarchy, which led to the revolution of 12th January 1964, when the leadership of the Sultan of Zanzibar, Ali Muhsin was overthrown (CIA[7] 1966, CIA 2007, 2011). Following the revolution and eventual overthrow of the monarch of Zanzibar, the two sovereign states forged a united government, United Republic of Tanzania, which was in effect as at 26th April 1964. Three years after the union, Tanzania leadership under Julius Kambarage Nyerere as the president, made the Arusha declaration which was described as the African Socialist experiment (Meredith 2011, Maathai 2009). Fourteen years later, it was evident that the socialist movement has not succeeded very much (Nyerere National Address, Dec. 1981). According to Nyerere, the system failed because of systemic corruption and greed of the political class, not because the socialist experiment itself is a bad political system for the people of Tanzania (Nyerere National Address Dec. 1981). As at the year 1985, when the reign of JK Nyerere was coming to an end, the country was heavily dependent on aids from Western nations, which according to the Arusha declaration was to be avoided as much as possible. Since 1985, the country has embraced capitalism. On the political landscape, the country operated as a one-party state from independence in 1961 up until 1990, when the doors were opened for a multi-party state. Since the union in 1964, the country has been

ruled by the independence party, Chama Cha Mapinduzi (CCM), which literally translates as the party of freedom.

Tanzania has been described as a major force in the East African corridor (Dagne 2012), which means that the country is politically and economically relevant in the region. Tanzania has a landmass of 945,087 square kilometres, with a total population of 44, 928, 923 people (Tanzania National Bureau of Statistics 2013a). At the end of 2012, the A*frican Development Bank Annual Report* (2012) recognized Tanzania as one of the fastest growing economies in sub-Saharan Africa. According to United States *Congressional Service Report* (2013), Tanzania remains a 'medium poor country', which indicates that the economy has development potentials despite its current challenges such as low level of education in rural area, poor infrastructural facilities and significant level of poverty, particularly in local communities (TASAF Report 2013).

Historically, there has been a significant connection between the level of awareness of the Tanzanians on community participation and their socialist background (Marsland 2006, Maral-Hanak 2009). According to research, the socialist experiment was borne out of the zeal to make every Tanzania able to contribute to management of the country and its resources, essentially, making Tanzania work for all Tanzanians (Marsland 2006, Maral-Hanak 2009, Meredith 2011). Tanzania is well known for local initiatives and effort of community development, which suggests that the level of awareness and eagerness about collaborative work among community members is quite high (Uemura 1999, Maral-Hanak 2009). Community participation is not alien to Tanzania as seen in cases where community members contribute funds towards development projects as a sign of participation (Uemura 1999, TASAF 2013). However, most of the community participation activities are designed to mobilize local resources and sustain social dynamism to contribute towards participatory development (TASAF 2008).

Figure 1.1: Regional Map of Tanzania

REGIONAL MAP OF TANZANIA
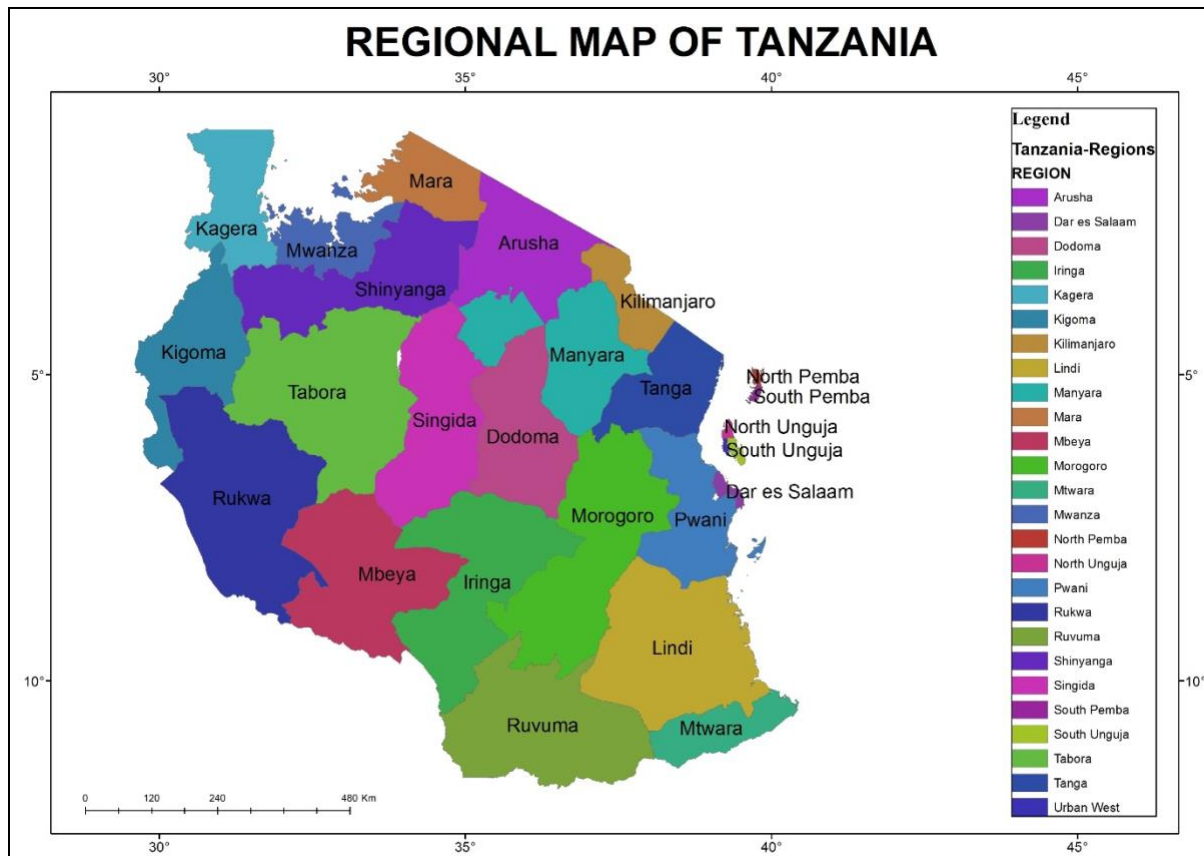
Tanzania consists of thirty regions. As shown on the map in Figure 1.1, Lindi region is located in the southern part of Tanzania, north of Mtwara region, which is on the borderline between Tanzania and Mozambique, and west of the Indian Ocean. The region has a total population of 864,652 people, 414, 507 and 450,157 are male and female respectively (National Bureau of Statistics Tanzania 2013a). It has the third smallest business unit in Tanzania with 1,829 registered businesses (National Bureau of Statistics Tanzania 2013a). The region is made of six districts: Kilwa, Nachingwea, Liwale, Ruangwa, Lindi Municipal and Lindi Rural. The rate of urbanization in the region was one of the lowest in Tanzania before the discovery of gas offshore (National Bureau of Statistics Tanzania 2013a). The focus of this research is on Lindi Rural District and Lindi Municipal, as can be seen in Figure 1.2 below.

Figure 1.2: Map of Lindi Region in relation to larger Tanzania
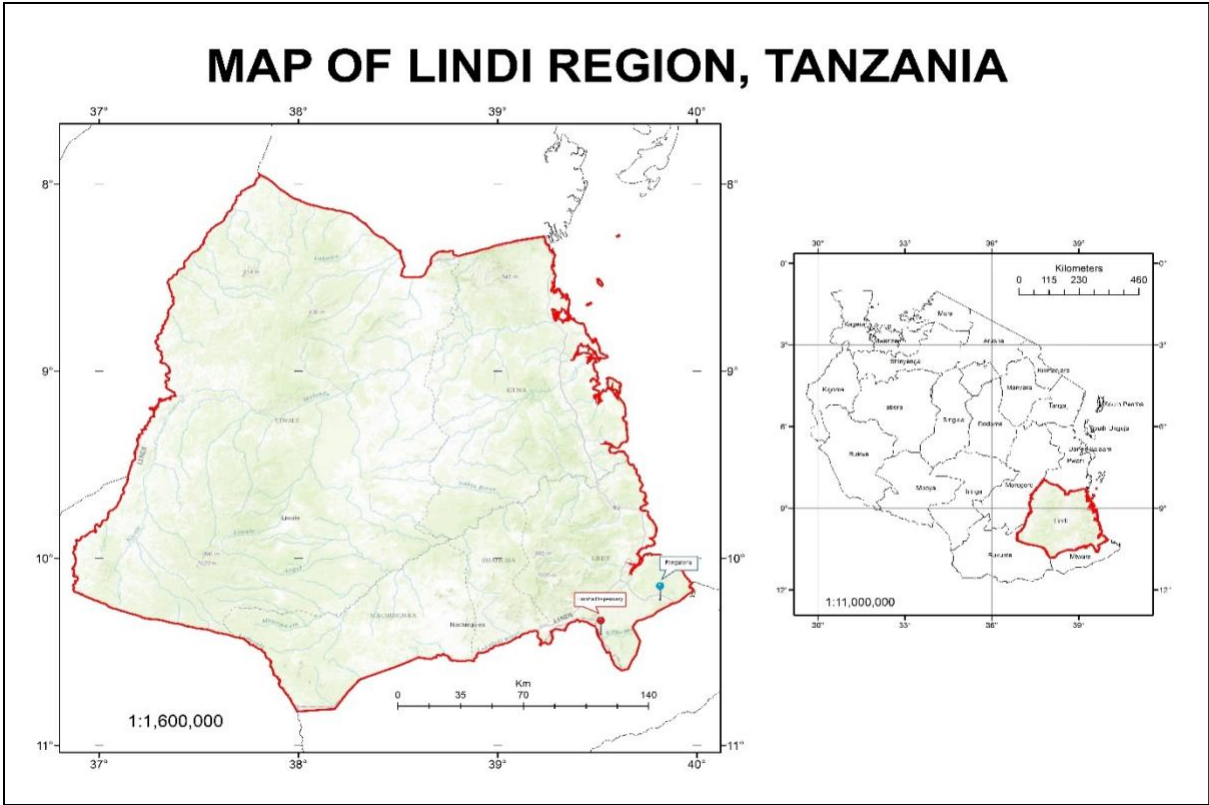
Figure 1.3: Lindi Rural and Lindi Municipal Map
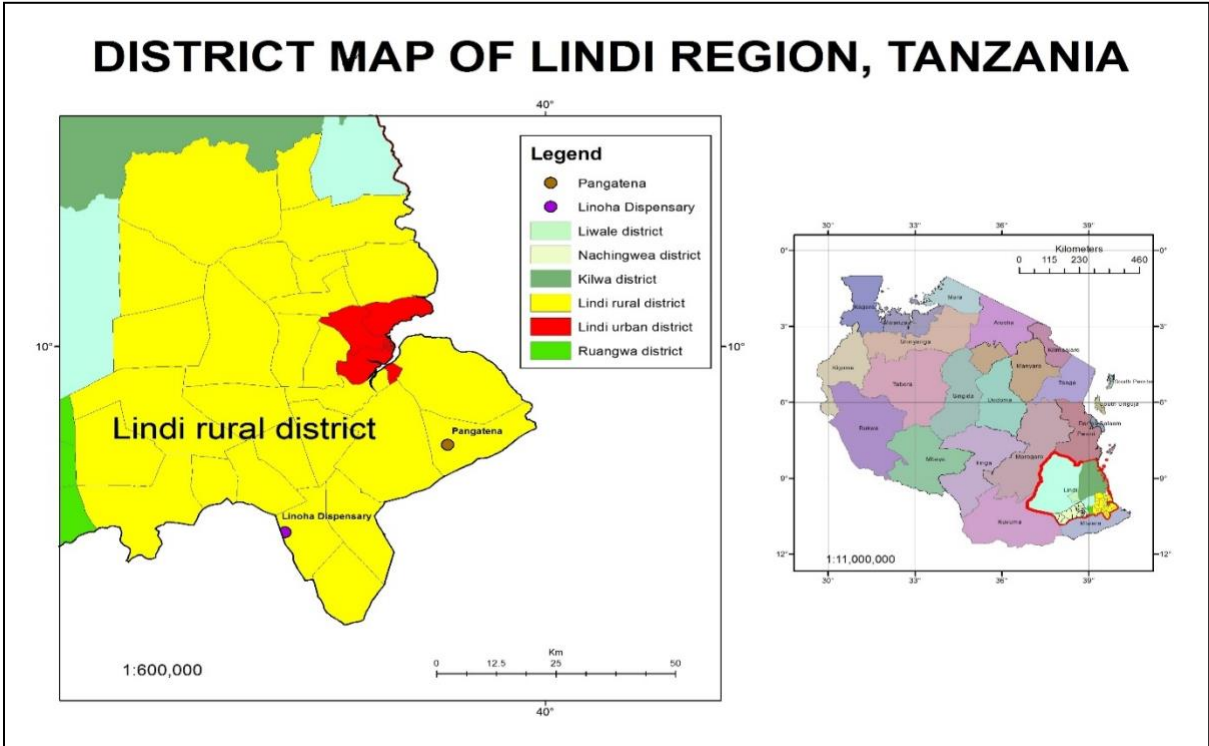
Like people in every other part of the country, community participation is not new to the people in Lindi region (Marsland 2006) however, what remains a challenge is the practitioners' understanding of community participation in the region, using it as a microcosm of the nation. Current practice does not involve the people at every level and oftentimes, does not empower them. Conversely, the people are expected to contribute to nation building, but they are excluded in the decision-making process (Marsland 2006, Mohan 2013).

Just as it is important in every economically emerging community, participation is key to development in Lindi and this is already having impacts on the lives of the people. For example, agriculture is the mainstay of the region's economy and they actively cultivate about of 25,000 hectares of land in cashew plantation. The produce marketing board excluded the farmers from participating in the decision-making process particularly in produce pricing. This has been a challenge in the region (National Bureau of Statistics Tanzania 2013b). In 2013, this participation gap created tension among the farmers leading to loss of lives and properties (Nipashe 2013). Their discontent was a product of their exclusion from the cooperative decision-making process, essentially on pricing and payment procedures (National Bureau of Statistics Tanzania 2013b). This situation indicates an absence of community participation. With the recent discovery of natural gas in the region, Lindi region now has the largest deposit of natural gas in Tanzania (Kulekana 2012; Ministry of Energy and Minerals Tanzania 2013). This discovery would transform the infrastructure and economy of the region as the government has proposed the building of what is expected to be the largest gas processing plant in East Africa in Lindi region (Ministry of Energy and Minerals Tanzania 2013, Bloomberg 2013).

Tanzania was chosen for this research because the country is very conversant with the concept of participation (Uemera 1999, Maral-Hanak 2009) and importantly, because of its positive economic rating by the big development banks over the last three years (see, for example, World Bank 2016; African Development Bank 2015). In fact, according to the *African Economic Outlook* (AEO):

> *Tanzanian economy has continued to perform strongly, recording growth of 7.3% in 2013, up from 6.9% in 2012, driven by information and communications, construction, manufacturing and other services. Medium-term prospects are favourable, with growth*

projected to remain above 7%, supported by public investments in infrastructure, particularly in the transport and energy sectors. Agriculture remains the mainstay of the economy, employing the majority of the workforce, but the sector is plagued by infrastructure gaps and low productivity. Despite Tanzania's impressive macroeconomic achievements, growth is not sufficiently broad based, and poverty levels remain high.

(AEO 2015, pg. 285).

Moreover, in view of the aforementioned contrasting understandings of community participation in Tanzania, there is a need to develop a model of good practice. This model could be used by social risk management consultants and particularly the government to inform national development and investment policies in Tanzania and comparable economies. Additionally, the findings from this study would serve as benchmark/ provide evidence for further studies in community participation in Tanzania and other similar economies. To achieve this model of good practice and a resource material for sustainable development, this research examined important economic development policies that have significant implications for community participation in Tanzania, primarily the 2004 National Economic Empowerment Policy, the 2002 Village Land Act and 2002 Investment Policy Review of Tanzania and the Petroleum Act of 2015. These operational policies have been used to assess the level of compliance by the selected organisations. Finally, the directly impacted communities were engaged in the course of the research surveys to establish the negative and positive impacts of the projects from a community participation perspective.

This research adopts a mixed method epistemological approach. Mixed methodology has been described by Desai and Potter (2012) as a capable tool to reach complex areas in development research. This means that a mixed methodology can explore the core of 'social dysfunctionalities', which often characterises development projects using diverse but complementing epistemological approaches; either empirically or qualitatively, in critical observation, participatory or in any other forms. Cooke and Kothari (2001) believe that development consultants often assume absolute knowledge of communities' challenges by providing them 'what they think they need'. This process has not yielded the required result over time, hence getting input directly from the communities concerned have become imperative (de Wet 2006). A typical example of this failure is evident in the work of Corbridge et al. (2004), detailing the shortcoming of the EIRFP[8] project

in Eastern India, where assumptions were made by the investors (Governments of UK and India) on level of participation of one of the communities, a decision that has not yielded desired results.

1.4 Potential / Expected Benefits of the Research

- **Public Benefit**

This research would contribute to the awareness on the importance of community participation in development projects. Community Participation or Participation is a crucial aspect of Environmental Social Safeguard framework set out by the International Development Funding Institutions for global sustainability. Environmental Social Safeguard practice is an emerging branch of project management that deals with managing socio-environmental impacts on large projects. It is an aspect of the project development that looks at how social impacts would be mitigated or managed if such impacts are not avoidable. Being an emerging area of practice, this research would contribute to the body of knowledge for practitioners, investors, government planners and the general public interested in the field. For an example, the findings from the research could help government policy makers, social development practitioners and the public to make an informed decision during policy development. The benefits of developing such a nexus between all stakeholders cannot be underestimated. Development consultants can only effect a change in any community if they work directly with the relevant community every step of the way (Cooke and Kothari 2001, Hickey and Mohan 2004, Nelson and Wright 1995). Additionally, this research will develop a model of good practice in community participation as well as suggests solution and pathways for further research. The research outcome would be made available to the public at the Middlesex University Library, Hendon Campus, and my local library in Lewisham Council for public access. The outcome would also be shared among my colleagues on social performance practitioners' platform on LinkedIn (social media) and my immediate colleagues at the World Bank Group, ERM North America, Europe Middle East and Africa and importantly TDL International.

- **Benefit to my Organisation**

I currently work for consultancy groups that specialise in environmental social performance with presence in over one hundred countries. In one of the firms, TDL, I work with teams of young

consultants. This would afford me the opportunity to share the learning outcomes and findings from this research. This research will contribute new knowledge to the organisations and further help to standardise what is essentially a disparate practice-approach to community participation in the organisations. For an example, the findings on importance of direct participation of project beneficiaries could help the organisation design a more engaging strategy towards achieving buy in from hard-to-reach participants. The outcomes would be shared through webinars among colleagues across many countries and physical trainings and workshops among the field consultants I work with regularly. The expected benefit to the organisations which I practice with is an important point of the research because Work Based Learning is essential to organisational learning because it is about encouraging a culture of organisational learning (Seufert 2000).

- **Benefits to the Ardhi University, Tanzania**

This research has benefitted significantly from partnership with researchers from Ardhi University in Dar Es Salaam Tanzania. The outcome of this research would help strengthen the research focus of these researchers and would contribute significantly to the department of community development where most of the field researchers are currently studying at Masters Level. This is because the study has identified areas for further research which they can explore, gaining direction from this research. The outcome of the research will be made available at the Ardhi University Dar Es Salaam and a Webinar will also be organized with the social performance researchers at the University to share the research outcomes.

- **Benefit to Government of Tanzania**

In the last five years, I have worked extensively with professionals in the ministry of land, housing and human development in Tanzania among other agencies. My activity as a professional has very much influenced some of the ministry's procedures, essentially on managing development induced displacements in activities such as asset inventory and valuation, citizenship engagement and community participation particularly when working as a consultant to the government. The outcome of this research will be shared with these professionals to help them gain better understanding of citizenship engagement. I believe that this process will help them better position the social performance component of their practice. I also believe that the outcome of the research would contribute to sustainable policy development.

- **Benefit to Personal Career Development**

I am convinced that investment in self-competence is the best investment. Over the years, I have observed from my personal experience and in managing others that the more skills I gain, the more competent and confident I become in solving problems. Doing this research has greatly enhanced my understanding of community participation, which would enable me contribute more to my practice. Community participation is practical to me in my work as a consultant for large scale development projects all over Africa. This research provides a good model practice for community participation based on both theory and practice that can be generalized in different areas.

1.5 Conclusion

This chapter demonstrates my capacity in terms of knowledge and experience to conduct multidisciplinary research as required by Institute of Work Based Learning, following my formal and informal trainings. This clarification is essential because Work Based Learning expressly merges theory with practice and knowledge with experience (Seufert 2000). As such, this chapter sets the ramifications for this research. It clarifies the directions taken and provides justifications for the locale and topic under review.

CHAPTER TWO

TERMS OF REFERENCE AND REVIEW OF LITERATURE

2.0 Aim

The aim of the research is to critically examine community participation in development projects in the Lindi region of Tanzania in order to gain deeper understanding of its role in development.

2.1 Research Objectives

1. To critically review literature towards establishing trends and nexus between development and participation.
2. To explore the nature of participation in the IOC LNG JV and the TASAF projects and the roles of select NGOs towards attaining participation on development projects in Lindi region.
3. To critically examine community understanding of participation.
4. To analyse the community participation components of the Tanzania Village Land Act of 1999, National Economic Empowerment Policy of 2004, Tanzania Vision 2025, Environmental Management Act 2004 and the Petroleum Act of 2015 and the corporate sustainability policies of the IOC LNG JV companies.
5. To propose a good practice model on community participation for social performance practitioners, government policy makers and development project investors towards attaining participation in social sustainability practice.

- **To critically review literature towards establishing trends and nexus between development and participation.**

To better understand the phenomenon – participation and its role in development, this research has conducted a critical review of some major trends in development as well as in participation. These trends are discussed in the literature review section of this research. This objective is targeted at exploring the parallel evolvement of the two concepts, participation and development in recent past and how they have grown organically intertwined to pursue social sustainability.

- **To explore the nature of participation in the IOC LNG JV and the TASAF projects and the roles of select NGOs towards attaining participation on development projects**

To gain understanding of the nature of participation of the communities on the IOC LNG JV and the TASAF projects for this research, this study has explored ways in which the respondents'/ community members and non-state actors within the project communities have participated in the chosen projects. Non-state actors such as NGOs and CBOs have been engaged in this study to understand the role they have played and the outcomes therein for the stakeholders. This is aimed at getting individual perspectives and the groups' understanding on the participation process. Emphasis has been on modes and forms of communication, the suffrage system of participants and level of participation in the course of the project development and implementation. This is essential because every intervention must meet the needs of the intended beneficiaries and this can be achieved through participation. It is also assumed that through participation, the people are able to demand accountability because the process empowers them to do so (Chambers 1997, Hickey and Mohan 2004). This has been done in a culturally appropriate manner against the backdrop of the people's cultural realities. This is necessary because the cultural realities of a people are unique to them, although it may not be replicated elsewhere, it is essential to the survival of the people (Brett 2003, Desai and Potter 2008). The details of how these parameters (community perception, modes and forms of communication, suffrage system and the level of participation, cultural appropriateness and cultural realities) have been further discussed in the review of knowledge and literature in this chapter.

- **To critically examine community understanding of participation**

There is a contrasting understanding of participation in Tanzania (Marsland 2006). This objective is designed to gain the communities' understanding of participation, to see what they conceive as 'participation'. This objective has been pursued with the respondents individually and in groups to understand what they conceive as participation and what they believe the components are. Following the mixed method epistemological orientation, the directly impacted project communities have been engaged individually at the household level and collectively as a community to pursue this objective. Details of the approach and depth of the engagement has been

captured in the methodology section (Chapter Three) and the research activity section (Chapter Five).

- **To analyse the community participation components of the Tanzania Village Land Act of 1999, National Economic Empowerment Policy of 2004, Tanzania Vision 2025, Environmental Management Act 2004 and the Petroleum Act of 2015 and the corporate sustainability policies of the IOC LNG JV companies.**

A critical analysis of government policies and legislations on community participation is crucial to achieving the aims of this study because in many instances, participatory development has not successfully engaged with issues of power and politics and has become a technical approach to development that, in many ways, depoliticise what should be clearly, a political process (Cooke and Kothari 2001; Hickey and Mohan 2004). In the course of this research, the Government of Tanzania's *National Economic Empowerment Policy (2004),* has been the primary text analysed. Other documents analysed include *The Tanzania Development Vision* 2025, the *Village Land Act* of 1999, *Petroleum Act of 2015* and the *Environmental Management Act, 2004*. These policy documents are standards that guide the establishment, regulation and monitoring of investments and performance of development projects in the country to ensure they are in the interest of the average Tanzanian. To achieve this, the select policies and legislations have been analysed critically, using content analysis approach to establish their community participation components. This analysis is to establish the political and legal requirements of community participation in development projects. Political and legal documentation are crucial to participation research because participation is not just a method of project work, rather it is a political methodology of empowerment (Rahman 1995; Carmen 1996; Cleaver 1999). Ali and Cotton (2012), argue that research involving government policies are usually beneficial to the government because this helps sharpen the focus of government policies to hit the desired targets. They believe that this kind of research is important to understand good governance, the contribution of policymaking to development and the dynamics of research with government as a main focus.

Regardless of national policy or international performance standards either as stipulated by lenders or by regulating agencies, the implementing organisation's corporate policy propels its course of action. Because community participation usually involve tussles; a situation whereby those with

greater influence fight to retain privileges, many supposedly participatory actors often show a marked reluctance to release control (Mohan 2008). This research has engaged the IOC JV investors' project planning, implementation and operational policies to understand their community participation plans and components. This is primarily to establish the participatory approach, if it is intrinsic (invited) or reactionary (claimed) (Cornwall, 2002).

- **To propose a good practice model on community participation for social performance practitioners, government policy makers and development project investors towards attaining participation in social sustainability practice.**

Having critically examined community participation in select development projects, this objective is designed to plug some of the identified gaps in practice by proposing model of good practice to guide practitioners. This model of good practice is proposed to extend the frontiers of knowledge in the areas of social sustainability practice, where participation plays a key role. Importantly, the tool-kit is also to serve as a ready guide for government policy makers to help bridge the gap between policy and practice, and development project investors to enrich their social performance knowledge.

2.2 Research Questions

The research questions include:
- What are the recent notable trends and nexus in development and participation?
- To what extent does the community participate in the IOC LNG JV and the TASAF projects and what are the roles of NGOs towards attaining participation in development projects in Lindi region?
- What constitutes the communities' understanding of participation?
- To what extent does the select government development policies protect community participation and what level of 'invited' participation has been created by the select projects?

The rationale for the questions above are discussed further in the paragraphs below.

The first research question is designed to critically explore the current trend in development and participation. This question also looks to discover the nexus between participation and development, particularly within the social sustainability discourse / practice. It is expected to give a picture of the development and participation landscape, which would help situate the entire research within the existing body of knowledge. This question is essential because there are several perspectives to the discourse just as there are several practitioners in social performance practice. Hence it is necessary to navigate some of the cogent perspectives on development and participation in recent times. This is to gain understanding of where they stand in relation to the current thinking in discourse and practice and ultimately how they are conceived in this research.

In relation to the second research question, community participation has been described as the co-sharing in the roles, responsibilities and benefits of a development project at every level. It is important to clarify that the entire community cannot be engaged at all times in the process of project development. However, it is important to create an avenue that would accommodate the most popular opinions without neglecting the genuine reservations of the minorities, whose opinion may not be in the majority. Cornwall (2011), exploring the work of Arnstein (1969) argued that the foundation of participation is rooted in the concept of democracy, which give rooms for representative opinion. To this end, though it is understandable that the entire community cannot be co-opted in the planning process, it would be important to gain understanding of the extent to which the community have been involved in the planning and development of the select project. This question also looks to explore the franchise system of selecting who in the community is representing the opinion of the people. More so, the roles of local and international NGOs cannot be over-emphasized essentially in emerging economies (Creswell 2013). This is particularly the case of international NGO involvement in and around Multinational Corporation's development projects, which has been argued has the capacity to bridge the gap between the local practices and international standards (Creswell 2013, Buckley 2002, Lambell et al. 2008). Because the NGOs are neutral to public (government) and corporations (businesses), they have been described as representing communities, social and political interest groups and diverse ideological persuasions across different geographical levels from the micro unit of states up to the global community level (Lambell et al. 2008). Lambell et al. argued further that NGOs have been seen over the years as the watchdog on multinational investments to monitor them particularly in the area of sustainability. This research question explored the extent to which NGOs have played this role in

this specific situation. Importantly, how has these roles been played on the selected projects to help gain community participation.

Concerning the third research question, Uemera (1999) argued that though the concept of community participation is not new to Tanzanians, the understanding of the concept is not completely at par with the popular international position on community participation. This has significantly been observed in the course of practice in Tanzania over the years. This has been confirmed by Marsland (2006) who indicates that the local understanding of participation among professionals in Tanzania is different from the international community's definition of the concept.

In regards to the fourth research question, Cornwall (2002) argued that there are two forms of community participation in practical terms. He opined that there are situations in which the principal actors, such as government and investors open their doors to the immediate community to gain objective criticism of their development plans towards building a win-win relationship with the community. Cornwall further described this as "invited participation" because there is conscious effort by the principal actors to bring the community to the table. On the other hand, Desai and Potter (2008) describe instances where the community reacts to the activities of such principal actors by protest or other means to forcefully bring them to the negotiating table. This is described as a reactionary participation. It is important to gain understanding of which of these two approaches the selected projects have adopted, so we can measure the attendant results more accurately. Additionally, government regulatory policies are instruments of the state that help shape the activities of every actor within its sovereignty. Policies under review in this case are select government policies that has to do with the socioeconomic development of the people. It is pertinent at this point to highlight that the policies are not developed specifically for community participation, but they are policies that guide public and corporate positions on development projects. These policies have been explored to determine whether there are rooms within the policy design and in practical terms, their operation, for community participation. This is to help measure the legitimacy within the legal framework of the state for community participation.

2.3 Theoretical Framework

Works of scholars such as Sherry R. Arnstein *A Ladder of Citizen Participation* (1969), Cooke and Kothari *Participation: The New Tyranny?* (2001), Hickey and Mohan *Participation: From*

Tyranny to Transformation: Exploring New Approaches to Participation in Development (2004), Rebecca Marsland *Community Participation the Tanzania Way: Conceptual Contiguity or Power Struggle?* (2006), Andrea Cornwall edited *The Participation Reader* (2011) and Desai and Potter edited *The Companion to Development Studies* (2008) have contributed greatly to this research. Of all these materials, the works of Sherry R. Arnstein and Rebecca Marsland stands out because they underpin the fundamental structure of this study. The works of Cooke and Kothari (2001) and Hickey and Mohan as stated above are purely looking at a contradictory perspective to participation practice. From the title of the book, *Participation the New Tyranny*, Cooke and Kothari present an argument that participation has been reduced to a slogan. They argue that participation is a tool expected to empower the people, but the concept has been reduced to a mechanism for tyranny. However, they further maintain that many participants, essentially at the community level still take the word participation at its face value, to mean a mutually beneficial process, which in reality is not (Christens 2006, Cooke and Kothari 2001, Cornwall, 2011). In a reaction to this, Hickey and Mohan has written to reposition the argument that the phenomenon participation can actually be made functional when placed within the right space in terms of policy, politics and citizenship (Hickey and Mohan 2004).

The work of Marsland explored the contradicting understanding of participation amongst the development practitioners in Tanzania. This work of Marsland underpins the construct that informed the title of this research. An important aspect of Marsland work is that it explores the social and political antecedents of the country using ethnographic and desk researches to arrive at its conclusions. One of the conclusion of the research is that the local understanding of participation is based on the African Socialist Experiment definition of it, which implies that the citizens have to oblige to the state of whatever is required in as much as it is to attain development. Although this phenomenon is expected to ensure all Tanzanians participate in their development (Arusha Declaration 1967, Nyerere Address 1981), unfortunately, this socialist experiment places significant emphasis on the role of the leadership, which only allows the followers to oblige. In Marsland's opinion, this "oblige syndrome" is what constitutes participation under the Arusha Declaration and ultimately formed the local understanding of the concept, which unfortunately has affected the way the people believe they can participate.

But far more relevant is the contribution of the work of Sherry R. Arnstein. From a theoretical perspective, Arnstein's ladder of participation (figure 2.1) has been relevant in the description of the types of participation and non-participation, and the relationship between participation and power play. This model of participation even though established in 1969 has shown relevance in the participation discourse in academia till date and has been applied and adopted in different participation models (Cornwall 2011, OPM 2013). The model shows the 8 levels of participation which has been grouped into Non- participation, Tokenism and Citizen Power, which is the highest Level. It underpins the changing interplay of power between the participating parties. Just as reiterated in the works of Desai and Potter (2008) and Cornwall (2011), that participation is a concept enshrouded in power play, the work of Arnstein kick-started this argument in1969. Her ladder of participation further argues that participation is a consistent battle, essentially when the parties involved are of unequal power relations such as in the case of the government or multinational investors versus local community. Although the Arnstein ladder of participation was documented in 1969, the work has found relevance till date and has been applied and adopted in different participation models (see Cornwall 2008, Cornwall 2011, OPM 2013, Carpentier 2016). Cornwall (2008 p.2) describes Arnstein's ladder of participation as "one of the best known models of participation, as it retains considerable contemporary relevance". He analyses different participation models and states that Arnstein's work describes participation from the perspective of the people and in accordance with the influence of power. Later in his submission, he argued that at the community level participation is not a matter of absolute involvement of people in decision making but which decisions the public can actually influence or participate in.

Choquill (1996) in agreement with Norad (2013) also affirms the relevance of Arnstein's work. In their opinion, many participation frameworks have been derived from Arnstein's ladder of participation. For example, Connor's ladder of participation (1988), Hart's ladder of children participation (Hart 1997) and Rocha's ladder of empowerment (1997). They also admitted that Arnstein's ladder is one of the best attempts at classification of participation even though it has its own criticisms. An example of the criticism is the work of Norad (2013), which posits that Arnstein's ladder is more normative and hierarchical rather than being contextual and specific on the different conditions that participation calls for, which should be the current approach to participation. Although this calls for more subject specific perspective to this discourse, it runs the

risk of limiting the potential of a largely complex framework such as participation, which scholars have argued to be both complex and ubiquitous (Cooke and Kothari 2001, Hickey and Mohan 2004). Another criticism is from Carpentier (2016) who further argues that the ladder approach to participation is a political approach that distinguishes power roles but in recent times, it is necessary to go beyond the ladder to conduct in-depth analysis of the different levels of power, stakeholders, situation and other complexities in order to measure or understand participation. This specific argument forms the base of other theoretical materials that has been used to cross examine the works of Arnstein in this research such as the work of Sumner and Tribe (2013). Sumner and Tribe (2013) believed that neither of the blocs (the powerful and the powerless) within the participation struggle is a homogeneous bloc. Thus, there is need to attain participation within each bloc before participation can be said to be achieved at the global stage. This sits well within the structure of this research theoretical framework because in addition to the above, the work of Arnstein further helps to establish some categorization which has been able to measure the degree and stages in participation which expound the phenomenon, participation beyond a mutually consenting slogan to appease the parties involved. This forms the theoretical base for allowing the work of Arnstein and other scholars mentioned in this framework to feature prominently in this research. The arguments of these scholars in participation and development are further discussed on section 2.3 below.

From a practice perspective, the work of Arnstein was originally written to address the issue of urban planning social and housing system in America in the mid-20th century involving the Blacks and American states. The work of Arnstein has been applied to strategy development in several areas of human challenges such as Climate Change Mitigation and Adaptation, Tourism, Health Care, Education, etc. (Mak et. al., 2017, Marsland 2006, OPM 2013, Carpentier 2016, etc.). In these cases, the work of Arnstein has been used to describe the different types of participation, a measure of the extent of participation and a scale of participant expectation in project cycles. The work of Arnstein has found great relevance in Social Performance (Carpentier 2016, Mak et. al., 2017) because Social Performance is a multidisciplinary area of practice, calling on skillsets, theories, frameworks and methodologies across various areas of practice such as, social sustainability, urban planning, green economy, health, enterprise and general human wellbeing, all targeted at making life better for project affected entities.

2.4 Review of Literature

2.4.1 The Concept of Development

Definitions of Development

There are numerous definitions for the concept of development (Haque 1999, Sumner 2007, Desai and Potter 2008). Effectively, scholars often define development differently, depending on what they perceive as crucial components of the subject. According to Mabogunje (1980), there are four ways in which development has been identified which include: economic growth, modernization, distributive justice and socio- economic transformation. He stated that after the 2nd World war, development was seen as growth in per capita income and a change in economic structure. This was replaced by the modernization theory whereby development was seen as increase in consumption of goods produced by the industrialized nations and social transformation. Development was also defined as distributive justice, characterized by reducing poverty levels and increasing access to basic needs in a country. Mabogunje (1980) identified that all the above could not take place in the then prevailing governing systems hence there was the need for mobilization of society and redefinition of the country's international relations. Todaro (1994) proposed that there are three objectives of development: (1) Raising peoples' living standard levels, i.e. incomes and consumption, levels of food, medical services, education through relevant growth processes; (2) Creating conditions conducive to the growth of people's self-esteem through the establishment of social, political and economic systems and institutions which promote human dignity and respect (3) Increasing peoples' freedom to choose by enlarging the range of their choice variables, e.g. varieties of goods and services.

Peet and Hartwick (2009) argue that development is making life better for everyone. This is conceived out of the notion that for a situation to be termed as development oriented; it should guarantee positive outcome for all and sundry. While this is ambitious, it can be assumed that if the development situation provides positive outcomes to the life of the majority, particularly those that are less able to survive within the system, this can be seen as development. This follows in part, the argument of Mabogunje (1980) about the distributive justice system, tailored towards eradiation of poverty, and increasing access to basic needs. According to Todaro and Smith (2012),

"development must be conceived of as a multidimensional process involving major changes in social structures, popular attitudes, and national institutions, as well as the acceleration of economic growth, the reduction of inequality, and the eradication of poverty" (Todaro 1985 p. 85, Todaro and Smith 2012, Makura 2016). In agreement with Peet and Hartwick, Todaro and Smith (2012) submit that development is improving the quality of all human lives. Their argument summed up the three core values of development as: (1) Sustenance- the ability to meet basic needs. (2) Self- esteem- to be a person having a sense of worth and self- respect and (3) Freedom from servitude- the ability to choose. This position stabilises the argument against some notions that development is just about growing economies or measured by per-capita income (Dang and Pheng 2015).

According to Dang and Pheng (2015), Adam Smith's *market forces*, the *invisible hand* and *market expansion* is the precursor of the notion of economic growth being the same as economic development. This position premised on the fact that in describing economic growth, which was then same as development (Makura 2016), Adam Smith has only mentioned the market forces, not the people, as the modern development economists would have argued. To this end, economists believed that his position has encouraged the argument that economic growth was equal to economic development. Researchers who identified that there are many paths to development have criticized this approach that every nation does not necessarily have to follow the same path due to the vast difference in socio-cultural and economic realities, which birth the structural differences in nations.

Development as Economic Growth

Development as economic growth has been influenced by two theories of economic development namely the linear growth models and the theories and patterns of structural change. The linear growth model emphasized successive stages of growth, which developing countries must go through to transit from being a developing state to a developed state. A typical example of linear model is the Harrod-Domar model (1946) which emphasizes the necessity of investment for growth in per capita income, as the measure of development. The argument of this model is that more investment in technology and labour force will increase the growth of the national income, which will lead to development in the society. This model has been faulted (Mabogunje 1980,

Todaro and Smith 2012, Makura 2016) because there are several factors that contribute significantly to development which are not market focused as this Harrod-Domar model argues. In Walter Rostow's (1960) linear growth model, he emphasize the five stages of growth, which a developing country must go through to become developed. These stages include traditional society, pre-condition for takeoff, takeoff, drive to maturity and age of high mass consumption. This argument is premised on the fact that developed countries started out as traditional societies and they set out pre-conditions to attain development, which is followed by the takeoff on these development goals which drives them to the age of high mass consumption. This argument presupposes that only the "ability to consume", which is a significant feature of large economies constitute development and that all nations must follow these outlines to attain development. This has proven incorrect over the years (Mabogunje 1980, Mabogunje 1983, Todaro 1994, Todaro and Smith 2012, Makura 2016).

The structural change models emphasize the structural shift developing countries will have to undergo to achieve rapid economic growth and development. Lewis (1954) Two Sector Model, considers structural change as the reallocation of labour from a primary production such as agricultural sector to a secondary one such as the industrial sector which will serve as an engine for growth. Other economists such as Chenery (1960) and Kuznets (1971) expanded Lewis's model to include the accumulation of human and physical capital for economic growth (Todaro and Smith 2009, Dang and Pheng 2015). These theories of development focused on economic growth as the singular factor responsible for economic development. In reality, the adoption of these models though led to the increase in per capita income of some countries, however the growth experienced was not commensurate with standard of living of the people as poverty, inequality and unemployment levels increased.

Development as Human Wellbeing

Over the last half century, the argument of development has moved from economic growth and market forces to human wellbeing (Sen 1999, Haque 1999, Streeten, 2008, Rist 2009, Gasper 2007, Makura 2016). Towards positioning development within a populist framework, scholars have argued over the last three decades, the differences between development and economic growth (Desai and Potter 2008; Hickey and Mohan 2003; Mohan 2001; Sen 1999; Peet and Hartwick

2009). Peet and Hartwick (2009) admit that the modern understanding of development has been narrowed down to the concept of economic growth which is measured along the lines of Gross National Product (GNP) or Gross Domestic Product (GDP). This is mainly because it de-emphasizes the bottom-up approach, which is an essential part of development. Sen (1999) also argues that development should follow a populist process, which embraces bottom-up approach. He submits that this could not be measured by the GNI, GDP or per capita spread rather should be measured by the quality of life of nationals in terms of affordability of the basic necessities of life (Sen 1999; Drèze and Sen 2013). Galtung, (1978) (in Rist 2009) recognise that the primary unit of development is the human being and previous development agenda has been focused on structures, institutions, production and distribution, culture and nature without any relation to the human being. Understanding of development was therefore broadened by going beyond GDP to other indicators that measure human wellbeing (Gasper 2004, Makura 2016). This argument birthed the basic need approach, which posits that the affordability of basic human needs is the yardstick for measuring development rather than the size of the per capita or the GDP.

Human wellbeing as an argument of development in recent times cannot be described without mentioning the contribution of Nobel Prize winner Amartya Sen. In describing the concept of development, Sen (1999) submits that even though increase in GNP can enhance standard of living, it is not a good measure of development as there are other factors that enhance standard of living. He further noted that life expectancy is also not a good measure of development as it focuses on the length of days and not the nature of life that people live at each moment which connotes the quality of life. He stated that the wellbeing of a person is characterized by the person's ability to do things which he termed as "functionings". In other words, a person's wellbeing is not only determined by the commodities the person consumes but what he is able to do with the commodities he has and the public goods available. One important functioning is the freedom to choose or the capacity to function which means that every individual must have the capacity to control their own lives and make their own choices – which is wellbeing (Sen 1999; Todaro and Smith 2012, Gasper 2007). This concept of capability and functionings set the stage for human development (Fukuda-Parr 2003, Streeten 2008, and United Nations Development Programme 2015).

Basic Needs Approach to Development

The Basic needs approach to development confers the idea of access to the basic necessities of life, which gives a more "human" face to development (Galtung 1978, Gough et al 2006, Rist 2009). The approach was rooted in the dissatisfaction from other development focus such as economic growth which has failed to solve the development problem of poverty and inequality. Even though it had been in existence, it was embraced more globally in the 1970s when international development discourse such as the Cocoyoc Declaration in 1974, the Hammarskjöld Report in 1975 and the ILO World Conference on Employment 1976 report endorsed the basic needs approach towards development. Basic needs were seen to involve two elements: "as a set of minimum requirements of a family for private consumption- adequate food, shelter and clothing are obviously included, as would be certain household equipment and furniture" and social services provided for the community (ILO 1977 p.32). The concept of basic needs also covers psychological needs as well, though it is understandable that needs are not finite as they change and the satisfaction of one need leads to another (Galtung, 1978 in Rist, 2009 and ODI 1978). Basic needs approach is characterized by the redistribution of productive resources from the rich to the poor, increase in employment, provision of services and improvement of technology which will allow the poor to have better quality lives and standard of living (ILO 1997). It has been described as an effort by the industrialized North to placate the Third World countries and global South (Desai and Potter 2008) for the inequalities brought about by the North in an attempt to attain their development, which has led to exerting their influence on developing nations of the global South (Rist 2009). This is because the successful implementation of basic needs strategy outlined by the ILO required heavy investment in the economy and central planning. This means that developing countries, which largely belongs to the global south will have to rely on aid from external donors which will come with the necessary conditions attached to it to fund these strategies. Because these funds are continually being spent on the basic needs strategy, it does not take these nations out of the spin cycle of underdevelopment (ODI 1978, Rist 2009). This has come under heavy criticism as a strategy designed to keep the aid-funded global Southern hemisphere stagnant (Moyo 2009).

Gough et al, (2006) reiterates the position of ODI (1978) identifying the major flaws of basic needs approach to development. According to Gough et al., the definition of "needs" and the ability of the state to determine which "needs" were basic was heavily questioned. It also criticizes the fact that the basic needs approach focuses on the poor rather than the society as a whole, individual

consumption rather than market consumption and immediate gratification rather than the distant future. Despite this heavy criticism, the relevance of need based approach to development has been accepted and traces of the approach can be seen in more recent development patterns such as the development of Millennium Development Goals, 2000 (MDGs) and Sustainable Development Goals, 2015 (SDGs). From these two recent instruments, the UN has set some development targets, which are basic needs focused, that must be achieved within a specific timeframe. The understanding of UN is that if these basic needs are attained by the target population in the specified time frame, the indication is that they have reached an acceptable level of development.

Human Development Approach

"Human development is defined as an expansion of human capabilities, a widening of choices, an enhancement of freedom, and a fulfilment of human rights" (Fukuda- Parr 2003 p.307). It has also been defined by the United Nations as the process of enlarging choices. "Human development is about expanding the richness of human life, rather than simply the richness of the economy in which human beings live" (Human Development Report, 1990). This indicates that human development is an embodiment of economic growth and human wellbeing. Jahan (2000) in Arab Human Development Report (2002) explains that the human development approach does not out rightly reject economic growth as development but accepts that income is an important means but not the only means to development. He further explained that income growth does not necessarily mean human wellbeing and that development must focus on strategic ways to translate economic growth to human progress. Human development therefore focuses on long and healthy life, knowledge, decent standard of living, promoting equality and social justice, human security and rights, environmental sustainability and participation in political and community life (Human Development Report, 2015). From 1990 to date, Human Development Reports are published every year with different themes on development and measurements of human development in all the United Nations' member states. The Human Development Index (HDI) has been developed to measure human development. It is assessed based on indicators for long healthy life measured by life expectancy, education measured by literacy and school enrolment and standard of living measured by gross national income per capita. These indicators are computed into the HDI with equal weight for each index (UNDP, Stanton 2007).

Sustainable Development

According to Murphy (2012), it is established that the focus on economic development and growth alone has not solved the world's problems, just as it is evident that development ought to be people centered. This led to the emergence of a new development thinking – Sustainable Development, which has been accepted since the 1980s (Murphy 2012). Sustainable development is an all-inclusive development focus to address environmental degradation in the light of both people and economic development. It was evident that in an attempt to develop, human activities had caused harm to the environment and development will be unsustainable if environmental degradation is not managed (Roy 1999, Bassey 2010). Several United Nations Conferences led to the entrenchment of sustainable development and these include: the 1972 UN Conference on the Human Environment held in Stockholm which clarified that development and environmental sustainability must not be addressed separately since they are interdependent and should be integrated for mutual benefit (Sustainable Development Commission 2011). This led to the UN General Assembly's decision to set up the World Commission on Environment and Development (WCED) in 1983, also known as the Brundtland Commission to formulate a "global agenda for change" that encompassed long term strategies for sustainable development and international co-operation for environmental sustainability. The Brundtland Report published in 1987 argued that sustainable development is better defined as "development which meets the needs of the present without compromising the ability of future generations to meet their own needs" (WCED 1987, IISD[9] 2015). Thus, sustainable development approach was established and embraced by the United Nations and other international development agencies. However, researchers and practitioners having explored the term found it to be vague and subject to many interpretations (UNECE 2004).

According to Drexhage and Murphy (2010 p. 6), "it is generally accepted that sustainable development calls for a convergence between the three pillars: economic development, social equity, and environmental protection." The UN Rio summit on Environment and Development in 1992 developed the "Agenda 21" which was the "blueprint for sustainability in the 21st century". Agenda 21 contained a comprehensive plan of action for sustainable development to be implemented by United Nations organisations, governments and all necessary stakeholders at all levels (UNCED 1992, Drexhage and Murphy 2010). It emphasized on participation which was coined with the term "roles for major groups". Strategies were formulated for strengthening the

roles of women, children, youth, NGOs, local authorities, businesses and industry, workers and trade unions, farmers and indigenous people and communities (UNCED 1992). The implementation of Agenda 21 had many challenges. There has been the problem of measurement of sustainability, inability of developing countries to implement due to financial and technological challenges and focus on environment among others (UNECE 2014, Drexhage and Murphy 2010).

The UN Millennium summit of year 2000, birth another major milestone in sustainable development- the adoption of the UN Millennium Declaration. This was a global partnership to eradicate hunger and extreme poverty by 2015. The Millennium Development Goals (MDG) were launched consisting of eight goals- Eradicate extreme hunger and Poverty; Achieve Universal Primary Education; Promote Gender Equality; Reduce Child Mortality; Improve Maternal Health, Combat HIV/AIDs, Malaria and other diseases; Ensure Environmental Sustainability; and Develop a global partnership for development. Targets and strategies were set for each goal and governments under the United Nations committed to the implementation of the set targets. The MDGs were not just global goals but they were a mix of global and national targets for individual countries which made them more implementable (McArthur 2014). Developing countries adopted national plans for the implementation of the MDGs and integrated these plans into their local plans. The implementation of the MDGs for over a decade has hit the target of halving extreme poverty rate by 2015. This has been achieved alongside other great targets of the MDGs, particularly in the health and social inclusion sector (14% of the world's population live below 1.25 USD a day in 2015, a drastic reduction from 43% in 1990). However, the rate of progress of MDGs have been uneven in different regions for different goals and some developing countries still face extreme hunger, poverty, diseases and underdevelopment, etc. (WHO 2014, World Bank 2015, UN 2015).

To consolidate the achievement of the MDGs, the United Nations Conference on Sustainable Development Rio+20 was convened in 2012 (Sustainable Development Knowledge Platform). This led to the new approach to global development thinking, the Sustainable Development Goals - SDGs. The SDGs was launched in addition to policies and practical strategies for its implementation. In 2014, a SDGs fund was set up for the implementation of the SDGs which took over the MDGs fund. The focus of the SDGs is on the three pillars of sustainable development identified by Drexhage and Murphy (2010), it includes building a sustainable world where environmental issues are sustainably managed, social inclusion attained, and economic

development are equally valued (Sustainable Development Goals Fund). There are 17 SDGs which include: No Poverty; Zero Hunger; Good Health and Well- being; Quality Education; Gender Equality; Clean Water and Sanitation; Affordable and Clean Energy; Decent Work and Economic Growth; Industry, Innovation and Infrastructure; Reduced Inequalities; Sustainable cities and communities; Responsible Consumption and Production; Climate Action; Life below water; Life on Land; Peace, Justice and Strong Institutions; and Partnership for the Goals. The SDGs focus on people, the planet, peace, prosperity and partnership. This means that it looks at development from the economic, human and environmental perspective in addition to peace which is necessary condition without which any development can take place as well as partnership (linkage and interdependence between nations). The UN's Transforming Our World: 2030 Agenda for Sustainable Development sees the participation of all countries, all stakeholders and all people as a prerequisite for sustainable development.

Community Development Approach

Studies revealed that community development cannot be explored without first defining community (Cavaye 2015, Phillips and Pittman 2009). McCloskey et al. (2011) argue that community can be defined from four perspectives- system, social, virtual and individual perspective. System perspective sees community as a living creature with many integrated parts that function together to meet the needs of the community. From the social perspective, the community is described as the social and political web that link individuals, community organizations, and their leadership. Virtual perspective to community considers social groups that interact on a virtual space such as the internet, usually referred to as the virtual communities. Individual perspective to community is the sense of membership or sense of belonging that an individual attach to a geographical community and may influence the extent of participation. This indicates that community can be defined as groups of people linked together by a system of networks to achieve a particular purpose and could be within a specific geographical area or not. This in consonance with the assertion of Phillips and Pitman (2009) that a community can simply be defined as people, the ties that bind them and those ties may or may not be related to a defined geographical location. However, within the confines of this research, community has been explained as "a group of people that live together in a defined geographical setting" as proposed in the definition of terms section in chapter 1. Consequently, community development can be

defined as development led by the community and relays the idea of joint action towards the achievement of set goals to bring about positive change in the lives of a group of people. The Hong Kong declaration on community development explains community development as "a way of promoting active civil society by prioritizing the decisions and actions of communities, and their perspectives in the development of social, economic and environmental policy" (Craig and Wah, 2007 p. 2). This shows community development as a process. Phillips and Pitman (2009) concludes that community development is better portrayed within the "process- action- result" framework and as such define community development as:

> *"A process: developing and enhancing the ability to act collectively, and an outcome: (1) taking collective action and (2) the result of that action for improvement in a community in any or all realms: physical, environmental, cultural, social, political, economic, etc."*
>
> Phillips and Pitman (2009, p.6)

The definition of Philip and Pitman (2009) sits within the four scenarios established by McCloskey et al. (2011) as captured above. The definition also situates community development within the process – action – result framework. The definition shows the collaborative nature of the concept and also presents development as a rounded phenomenon, encompassing the physical, environmental, cultural, social, political and economic areas of the people's lives. In agreement with Philip and Pitman, Cavaye (2015) posits that the community is the most important stakeholder in community development. They argue that the process of community development is a process in continuum essentially when the community actively participates in their own development. This means that when the community participates in any act of their own development, they are better strengthened to do the same in the future because every step of the participation in development builds their capacity for the future. According to the United Nations, community development involves collective action taken at the grassroots level to generate solutions to common problems. Grassroots level here establishes the bottom up approach to development. This means that community development can either be generated from the community or external actors but participation is instrumental to achieving community development. This brings to bear some of the principles of community development which includes self- help, inclusiveness, capacity building, community ownership, community inclusion and joint decision making (Cavaye 2015, Phillips and Pittman 2009).

Wlokas et al. (2017) point out the role of external actors in their definition of community development. They situate community development within a policy- oriented framework and an organizationally- diffused framework. They argue that community development is a policy oriented framework that is based on interventions and programmes particularly implemented by the state aimed at addressing income, basic needs, social inclusion and sustainable livelihoods. They further argue that community development is an organizationally- diffused framework whereby practitioners define community development based on the organizations they are aligned. They cited four main organizationally- diffused terms associated with community development in South Africa which includes community led development, rights- based community development, asset- based community development and sustainable livelihood approach.

Scholars have described the hallmark of community development within the three concepts: Participatory Development, Bottom-Up Approach and Multi-Sector Approach (Cavaye 2015, Philip and Pittman 2009, Wlocas et al. 2017). Participatory development has been described as a process whereby stakeholders possess the capacity to influence, and take part in the control of development initiatives, decisions and resources that affect them (Ondrik 1999). This implies that participatory development is a facet of community development as communities are the main stakeholders. Multi- sector approach can be explained as holistic efforts that promotes the collaboration of all sectors which includes institutions, agencies, resources and individuals towards the achievement of a set goal (Ward, 2013). This illustrates that community development is not just individuals coming together but a complex mix of individuals, institutions and resources to meet community goals. Bottom-up approach to development is where local people participate in decision making regarding development policies and programmes that affect them (European Communities, 2006). It can be concluded that community development cannot be effective without participation as it involves change by the people, for the people.

2.4.2 Participation: from Margins to Mainstream

Over the last half century, the concept of participation has moved from being just a radical movement as an offshoot of the Second World War to a conventional practice in international development (Nelson and Wright 1995, Mohan 2008, Gómez-Baggethun, et al. 2010). Arnstein's (1969) argues that the concept of participation is as an upshot of democracy, which has been

applauded world over. In *A Ladder of Citizen Participation*, (1969) (Cornwall 2011), Arstein argues that participation is another term for 'citizen power'. In a more critical submission, speaking to the challenges of the time, Arnstein argues that:

> "*It is the redistribution of power that enables the have-not citizens, presently (1969) excluded from the political and economic processes, to be deliberately included in the future. It is the strategy by which the have-nots join in determining how information is shared, goals and policies are set, tax resources are allocated, programs are operated, and benefits like contract and patronage are parceled out. In short, it is the means by which they can induce significant social reform which enables them to share in the benefits of the affluent society*" (Cornwall 2011, p.3).

From the extract, Cornwall (2011), reiterates the position of Arnstein (1969), emphasizing that to attain participation the process should be driven by co-determination of the rich and the poor. It should consider the interests and opinions of the 'haves and have-nots', same for the politically powerful and the powerless. In this argument, Arnstein and Cornwall's submission is that it is only by taking these actions consciously, that a social reform can be achieved. This means that to attain development, there should be conscious effort at ensuring free flow of information and participatory decision-making.

Frère (1970) describes participation as an emancipation strategy that could equate the oppressed to the oppressors, giving room for empowerment and a balance in power relations. In *Pedagogy of the Oppressed* (1970), Frère describes community participation as integral to development, emphasizing that it is neither a gift nor a self-achievement but a mutual process. From this springs, avant-garde discovery such as 'Participatory Action Research' and works of other scholars, critics and practitioners exploring how to make imprint of this 'mutual process' into development (Frère 1970, Chambers 1987, Mohan 2001, Peet and Hartwick 2009).

Public critique of international development agencies also contributed to shaping the participation discourse (Desai and Potter 2012). Negative impacts of the development projects in the mid-1980s, such as the Chinese Gorges Dam Project (Gleick 2009), and many others, essentially in emerging economies necessitated the World Bank Operational Safeguards (World Bank Group 1987, Hickey and Mohan 2004), which are prerequisites for funding development projects. Other international

development agencies such as the IFC, European Bank for Reconstruction and Development (EBRD), African Development Bank (AfDB), Asia Development Bank (ADB), the Equator Principle III (EP III), International Council for Mining and Metals (ICMM), etc. have all developed social and environmental safeguard policies which entrench community participation as central to the implementation of any project.

In the last decade, there has been a measurable increase in the study of participation or participatory development (Desai and Potter 2008). There has also been crosscutting definitions, opinions, descriptions and understanding of what the concept of participation entails. It has been defined as a form of empowerment, which co-opts the participants at the highest level of involvement (Shah 1997, Gómez-Baggethun, et al. 2010). This definition is result focused because the end point – 'involvement at the highest level' is the focus of participation. This often time does not guarantee participation (Maral-Hanak 2009), as the process is of essence in defining what constitutes participation. In a more process driven definition, participation has also been defined as co-determination and power sharing throughout the program cycle (Nelson and Wright 1995, Mohan 2001, Desai and Potter 2008). From a mutual learning perspective, participation has been defined as a methodical and realistic process of understanding where others are coming from and deliberately learning from one another, to accomplish a better outcome (Cornwall 2002, Desai and Potter 2008). In a more detailed definition, Mohan (2001) describes participation as sharing by the people in the benefits of development, by actively contributing to development and getting involved in decision making at all levels of society (United Nations 1979, Mohan in Desai and Potter 2008, Cornwall 2011). From the definitions, it is evident that participation involves deep level of mutually beneficial relationship, empowerment and knowledge sharing to make an informed decision (Hickey and Mohan 2004).

Community participation has undergone several criticisms both in theory and practice. Some critical submissions have argued that community participation has been reduced to slogans by practitioners (Cooke and Kothari 2001, Hickey and Mohan 2004, Cornwall 2011). In some quarters, it has been observed that the conversation with practitioners and 'participants' is often characterized by a mildly humorous cynicism. In many instances, participants experience participatory process undertaken ritualistically, which often results in manipulation, or which had in fact neglected those the process set out to empower (Cooke and Kothari 2001). From a remedial

perspective, Hickey and Mohan (2004) remarks that participation in the new millennium could be deepened to extend its role in development. They argue that this can be achieved through the introduction of a new range of methodologies to participation, which will cut across theory, policy and practice (Hickey and Mohan 2004).

In continuation of the discourse on participation, Hickey and Mohan (2004) take another perspective on the discussion. Although they do not refute any aspect of the viewpoints established in Cooke and Kothari (2001), they, however, opine that, the situation could be remedied. In *Participation from Tyranny to Transformation*, Hickey and Mohan (2004), submit that if the right political participation is instilled in the system and the participants have the right sense of citizenship and partnership, then participation would be easier to manage and yield the right results (Gómez-Baggethun, et al. 2010, Christens and Speer 2006, Hickey and Mohan 2004). This position clearly agrees with the last three rungs of the Arnstein ladder of participation: partnership, delegated power and citizenship control, which signifies participation. It is also in consonance with Peet and Hardwick's position that participation is a citizenship issue (Peet and Hardwick 2009).

Cornwall (cited in Hickey and Mohan 2004) suggests that participation would be productive if the right space is encouraged for its propagation: the right political space, the right citizenship space, the right policies and right methodologies. Gómez-Baggethun, et al. (2010) further affirm that the current trend in participation suggests social control of participants, but beyond the challenges, if the right space is provided, adequate participation could take place. This argument projects that the survival of community participation depends on the systems' structure and the ability of the system to create requisite spaces within the system to accommodate the operationalization of community participation. From a political perspective, there is need for a viable political system such as democracy to allow participation to thrive. On the civic side, the right citizenship spaces such as respect for human rights is also crucial to the survival of participation. And very importantly, the methodology applied, which is the epistemological approach to the concept itself such as "bottom up" approach is very essential to achieving community participation.

After exploring the recent surge of Chinese investments in Africa over the last decade, Mohan (2013) submits that these investments do not consider community participation. In his argument, Mohan believe that the directly impacted communities are at risk of negative social, economic and

environmental impacts, at the benefit of the investors, the capitalist partners and the government. This presents the argument of power relations in participation, where the powerful often show marked reluctance in the release of power. This divide is very popular in emerging economies because the powerful actors; the state, the investors and in some cases the media, often see such investments as boosting GDPs, and GNIs rather than a holistic look at the projects in relation to the impacts and the needs of the impacted, vis-à-vis their quality of life. This engenders another critical area of discourse, participation and power relations.

2.4.3 Participation and Power Relations

According to Arnstein (1969), the concept of participation is a product of democracy, an ideal that has been popularized the world over. Arnstein argues that the democratic roots of participation wanes drastically when the participating parties do not hold the same level of power in the process. This argument has also been reiterated by Cornwall (2011). Arstein's (1969) position as reiterated by Mohan in this argument is that the world has come to accept democracy and the ideals. Extending the argument further, Cooke and Kothari (2001) in agreement with Hickey and Mohan (2004) substantiates that just as in the case of democracy, the world has come to accept participation as a requisite concept for the wellbeing of the society. In the case of Cooke and Kothari, participation is a great tool for human emancipation and development which has measurable positive impact on human development. Cooke and Kothari (2001) however argues that whenever there is imbalance in the power relations of the participating parties, the concept is usually reduced to a slogan, which is used to tyrannize the weaker party in the participation process. Hickey and Mohan, agrees with the argument of Cooke and Kothari but maintains that, if properly positioned within a policy and politically egalitarian framework, the concept of participation can actually play a positive role in development. This extends the argument for power relations as a key player in participation.

Many participation scholars (Arnstein 1969, Fréire 1970, Nelson and Wright 1995, Cooke and Kothari 2001, Hickey and Mohan 2004 and Cornwall 2011), argue that when participatory procedure involves two unequal powers such as the people and the state, participation somewhat becomes unpopular. In pursuit of the argument that participation hardly favours the weak, essentially when there is unequal power relations, Arnstein (1969) presented a typology that the

concept of participation exists in hierarchies, which can only be achieved when the weak is able to make it to the top of the ladder. In *A Ladder of Citizen Participation*, Arnstein (1969) in agreement with Cornwall (2011) describe the eight stages of citizenship ladder (as shown in Figure 2.1), starting with manipulation and therapy which are described as non-participation; placation, consultation and informing, which was described as tokenism; and partnership, delegation of power and citizenship control, described as the real sense of participation. The eight rungs proposed by Arnstein (1969) were calibrated into three sectors; Non – participation, Tokenism and Citizen Power. From the description, it is evident that participation is a subject for power which is the ability to influence the trend of happenings and contribute to the decision-making process. It is arguable that the three categories suggested are the three levels of power status citizens wield in participating in development around them. From the descriptions, Non-Participation category has no power at all to participate. The Tokenism category only knows about the power but unable to participate in the use of it to influence their situation. Only the last category, the Citizen Power knows the power and can unlock its use as it is shared at that level.

Figure 2.1 Arnstein's Ladder of Citizen Participation
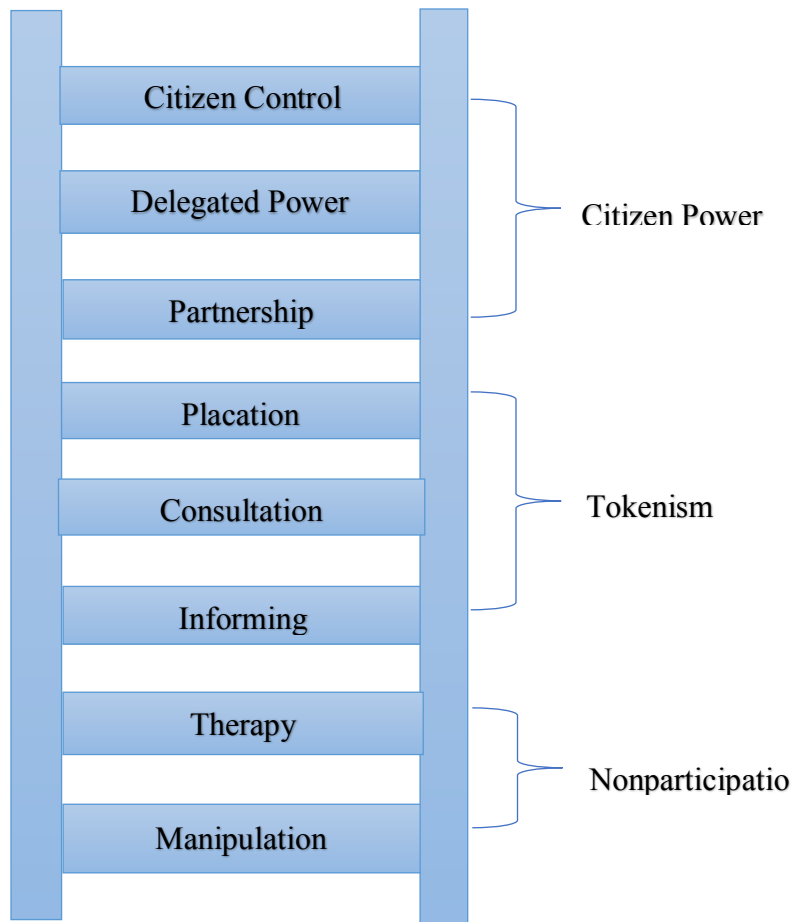
Source: *Arnstein (1969)*

Carpentier (2012) argues that the key defining element of participation is power. Decision making is characterized by the distribution of power among actors in the society, to influence the decision to their advantage. Participation in this instance is political, with decision-making influenced by power relations. Just like in a modern democracy, the level of power wielded determines the extent of influence to deliver the outcome. Hickey and Mohan (2005) suggests the politicization of participation on the basis that contemporary participatory approaches that have achieved transformation had engaged with power and politics. They further opine that these approaches have challenged existing power relations, monitored closely the development process, and focused on citizenship participation to alter level of inclusion and achieved actual political transformation. This is primarily because power and politics are intimately connected with participation (Carpentier 2012). Thus, due to the pivotal role played by power relations in participation, participation is better situated within political dynamics as, the more favourable power relations

is, more substantive it is likely to deliver on participation.

Exploring the dynamics of power relations further, Arnstein argues that: "In actuality, neither the have-nots nor the powerholders are homogeneous blocs. Each group encompasses a host of divergent points of view, significant cleavages, competing vested interests, and splintered subgroups" (Arnstein 1969, Cornwall 2011 p.13). This agrees perfectly with the argument of Nelson and Wright (1995) that power relations is not just between the powerful development agents such as the state or the investors against the locals, but often within the locals and their power sharing models. This advances the discourse around participation and local dynamics such as gender and participation, cultural diversity and wealth formula (Nelson and Wright 1995). The essence of Anrstein's position which is in consonance with Nelson and Wright in this submission is that power relations is not just a two-way traffic of the oppressor and the oppressed. Even within the oppressed, there are several layers of power play, which often times are direr compared to the struggle between the two main blocs. According to Nelson and Wright, power relations issues are often underestimated from the populist perspective on gender issues. In some societies, they still do not believe women have the same rights as men and in other societies the girl child is assumed to be less important than the boy child, as such denying them freedom or even human rights such as education or right of self-determination in marriage among several others. Although these may be viewed in some societies as minor issues, having nothing to do with power relations, the argument here is that they are not less a power relations issues compared to the bloc struggles (Cornwall 2000). Other critical examples that exemplify power relations in participation are cultural diversity and wealth formula. At a bloc level we are often quick to criticise the action of the haves against the have-nots when it comes to wealth distributions, which is hardly the case when the same happens within the bloc of the have-nots. This is the same portion meted out to less privileged such as refugees and the vulnerable groups in the society (Cornwall and Brock 2005).

Hildyard, et al. (2001) submits that the development agencies and 'change agents' are exploiting local power relations, models and indigenous knowledge. With specific examples in the article, *Pluralism Participation and Power: Joint Forest Management in India*, Hildyard, et.al (in Cooke and Kothari (2001) unveils how change agents explore the loopholes in the power structures among the locals, using community participation as a slogan propagated by international development agencies. From the research, it is evident that the locals are torn between immediate

gains and their active participation, which leads to real power sharing and co-determination which has a long term benefit. However, since this form of community participation hardly ever emphasizes knowledge sharing, the knowledge gaps always make the participants see nothing wrong in the process in the short term (Christens and Speer 2006, Cooke and Kothari 2001, Hickey and Mohan 2004). Thus, it is arguable that a typical way to disenfranchise anyone in a participatory process is to deny them access to knowledge sharing. This is because knowledge sharing is a major component of participation as it guarantees empowerment (Desai and Potter 2008). Piovesan (2013 p.104) states that one of the attributes of developent from a human rights'perspective is the "participation, accountability and transparency (through free, meaningful and active participation, focusing on empowerment)".

Discussing empowerment as requisite to community participation, Cooke and Kothari (2001) state that the current trend in the practice of participation in development does not guarantee empowerment; rather, it emphasizes the state of mind of being empowered. Several instances of projects were cited to explain that the two concepts are not the same. They argue that people become empowered when they have been positively impacted and actively involved in making informed decisions, as against making decisions and explaining how people can benefit from it, which usually serves the participants immediate needs such as financial compensation or job opening opportunities for community members. This is very popular in emerging economies (Marsland 2006, Cornwall 2011). Many have translated participation to mean contributing to a collective goal, without explaining the backwards integration of the process, which is to empower the participants to make an informed decision in the participation process.

From a practice perspective, participation is often very challenging to attain where there is multiplicity of interest groups, essentially in managing project developments. This is often the case with international donor funded projects. Aid plays a crucial role in development and can either promote or minimize participation in development. This is largely dependent on the process. Swindler and Watkins (2009) in Oxford Policy Management (2013) argues that when development initiative is financed through aid, there is potential tension relating to the ownership of the development intervention- the government or the beneficiaries. This is also a power relation issue. To show leadership, the government is likely to take ownership of the process which limits public / beneficiary's participation. This has often constituted an albatross in donor funded projects as the

direct beneficiaries are not likely to participate because they perceive the intervention as "foreign", just as presented by their government. As such they do not take ownership of the project for their development process. This power play affects project sustainability significantly and it has been the case of some interventions such as building of schools, provision of water facilities among others which did not involve local people, due to the power relations.

2.4.4 Development and Participation: A Nexus

Chambers (1987), argues that the way forward in development is involving local communities in the affairs of their own development through informed participation to ensure that development does not just grow the economy, but also conveys what the people actually conceive as 'development' within their own social, cultural and economic realities (Chambers 1987). This sets the pace for modern widespread of community participation (Mohan 2001).

Modern development approaches such as human development and sustainable development are people-centered. This underscores the reasoning that for development to focus on people, the people must be involved in development - hence participation. For people to be put first, they need to be given opportunity and choices for well- being and happiness (Sen 1999, Gasper 2007). Participatory development is not new (Desai and Potter 2008) hence the shift in the focus of development from the "economy" to "human" over half a century ago has led to the emergence of participation in development. It was a point in history where development researchers and international organisations acknowledged the involvement of people in their own development, particularly at the local level through establishment of cooperatives and community-based initiatives. However, some of these initiatives were unsuccessful because the involvement of the beneficiaries particularly at the decision- making was minimal and the focus was on the top- down approach to development (Barasa and Julegat, 2013).

The importance of participation to social development cannot be over-emphasized because it benefits both the unit of development (the people), the development structures and the process (Sisk et al, 2001). Participation allows people to be involved in decision- making that concerns them. This is a demonstration of the right to development which has participation, accountability and transparency as some of its elements to be achieved through free, meaningful and active participation (United Nations 2013). It also connotes democracy which is the "inclusion of people

in the political decision- making process" (Carpentier 2012). This indicates that people have a right to be involved in decision- making that affects them and participation is an exercise of this right. Chamala, in Claridge (2013) argues that getting stakeholder involved and empowering community participants in programs at all levels, from local to national, creates a more effective solution when managing sustainable resource challenges. All stakeholders work towards achieving one goal and through dialogue, knowledge sharing and collective decision making, and sustainability is achieved. Thus, community participation in development allows the building of capacities and acquisition of skills at the local level which reduces dependence and enhances self- reliance (Barasa and Julegat, 2013).

Entrenching participation in development often guarantees the flow of benefits of development to intended beneficiaries. Kumar (2002) in Barasa and Julegat, (2013) submit that when local people and local resources are used for development, it ensures ownership which *to an extent* guarantees sustainability of the development intervention and cost- effectiveness due to efficient use of resources. Mansuri and Rao (2013 p.15) affirms that "one of the key objectives of participation is to incorporate local knowledge and preferences into the decision-making processes of governments, private service providers, and donor agencies". In their argument, they opine that through effective participation, there would be better planning and implementation of projects and enhanced service delivery which gives satisfaction to the beneficiaries. Furthermore, the creation of social capital is agreed to be one of the benefits derived from participation (Mansuri and Rao 2013, Sisk et al 2001). Keely (2007) defines social capital as "networks together with shared norms, values and understandings that facilitate co-operation within or among groups". When communities, civil society, government and development partners work together to pursue a common good, trust and confidence is built which facilitates the development process (Putnam in Sisk et al, 2001). This is because participation ensures buy- in of all stakeholders and development activities are carried out more effectively.

There are some challenges to participation in development. The European Institute for Public Participation (EIPP) as cited in Holmes 2011 mentions that one main challenge to successful participation is the challenge of representation and whether it actually articulates the opinions of the populace. This is an issue of franchise system. The issue of representatives is a double-edged sword in participation and development. On one hand, they play a crucial role in community

development and participation through decision-making, knowledge sharing, management of natural resources and community facilitation. On the other hand, they can hinder participation. This is mainly because of the quality of the representation, which is a true-reflection that the franchise system can either make or mar the representation. A good representative which has undergone a viable franchise system is more likely to deliver effective representation compared to a representative which has gone through a faulty system. Discussing the importance of representation, Dom (2012 p.6) submits that "How poor people are represented within the community, at the local government level and at higher levels is critical to the extent to which they can actively participate in local decision-making processes". This agrees with Mansuri and Rao's position that the challenges of representatives' system is the inability of the representative to represent the interests of their base. They argued that often, the decisions taken sometimes reflects the opinions of themselves - representatives, rather than the community in general. This usually happens in local politics, where political affiliation of local representatives influenced resource allocation. A typical example of this is TASAF Project in Tanzania, where the village elites are responsible for selecting projects to be implemented, which would be targeted at those in extreme poverty (Mansuri and Rao 2012). Thwala (2010) and Mohamad (2010) in Waweru and Ndati (2015) opined that decision- making by community leaders was one of the main challenges of participation in Bangladesh and South Africa. Sisk et al (2001) suggest that one of the ways of ensuring participatory development is to allow the people directly affected by the process to drive the process while community leaders and other representatives facilitate the process and coordinate activities. Marsland (2006) argues that a poor understanding of the concept of participation amongst the people opens the door to unaccountable leadership and more importantly unsafe local and international investments.

Another major challenge of participation is the sustainability of the process, particularly when there are involvements of external forces. When capacity of local people is not built, and social cohesion is formed out of external development intervention, it can easily be dissolved when the external forces are taken away. Arnstein identifies this as placation in the ladder of citizen participation and it is not a reflection of absolute participation. Placation focuses on local power holders who are trained to fit an already pre- determined state (Arnstein 1969). The roles and responsibilities are not negotiated but rather imposed.

In social development, there is the challenge of the choice of participatory methods. There are numerous examples of projects that have failed even though it was assumed that there was community participation. The UN Committee of Experts on Public Administration (2006 p.5) states that "Attempts to achieve effective participation do not always work. There is a need to determine the conditions that enable participation to be effective". Practitioners often fail to recognize that there are differences in conditions of communities as each place has its unique socio- economic, political and cultural structure and hence participatory methods must be designed to suit the particular context and meet the development objectives of the targeted audience. O'Faircheallaigh (2010) argues that the different participatory methods interact, and failure to recognize this does not facilitate participation. The drive of this discourse is that participation is central to development. However, to attain participation, the epistemological approach must be socio-economically and culturally appropriate and adequately responsive to the people's developmental goals.

In agreement with Hickey and Mohan (2004), de Wet (2006) asserts that authentic participation by the affected people in all phases of the project, which involves building their capacity to make informed decisions is the only way to ensure that the impact of the project could be properly managed. Exploring the dangers of development induced displacement, de Wet (2006) submits that the impacts of displacement is often colossal because the directly impacted citizens do not have access to the decision-making process, as such the decision often do not protect their interests. They either live with the discomfort of the development which does not develop them or react which often create crises that usually makes development project cause more harm than good (Bassey 2012).

In a more critical submission, Hickey and Mohan (2004, p.3) affirm that:

> "*The notion and practice of participation in international development stands at an uneasy crossroads reviled in some academic and practitioner circles, yet as ubiquitous as ever in others. Having moved virtually unchecked from the margins to mainstream of development since mid-1980s, the past decades witnessed a growing backlash against the ways in which participation managed to 'tyrannize' development debates without sufficient evidence that participatory approaches were living up to the promise of*

empowerment and transformative development for marginal peoples".

The argument of Hickey and Mohan here is that despite the popularity of participation, the people are yet to reach its benefits. Rather the people are becoming tyrannized by strategies that is meant to empower them. Even as this becomes clearer, the argument for genuine participation become strengthened.

It is evident that the concept of participation has become a necessary part of development (Shah 1997, Marsland 2006, Desai and Potter 2008); however, its 'popularity' and 'success' have been questioned in several quarters. In fact, according to Cooke and Kothari (2001), it has succeeded in tyrannizing the development system. The assertion of Hickey and Mohan clearly corroborates what Arnstein describes as the "empty ritual." Arnstein submits that there is a critical difference in going through the empty ritual of participation and having the real power that is needed to affect the outcome of the process (Arnstein 1969, Cornwall 2013 p. 3-18).

Similarly, Peet and Hartwick (2009) argue that development means making life better for everyone. But development is not the ultimate destination. They noted that the process of achieving development is of essence. They opine that it should take the form of an egalitarian and democratic process in making decisions on the basic needs and survival of a people based on their social, cultural and material vision. They, however, submit that development has been reduced to a political language to serve the purpose of a selected few while it is used to arouse the interest of many and not living up to their dreams. In this direction, many development attempts have failed for not embracing participation.

Sumner and Tribe (2008) and Willis (2011) submit that development is a concept that has been contested both in theory and in practice, and it is characteristically complex and ambiguous. They explore development from a very practical point of view, examining the theoretical backgrounds against the practical evidences. Hence, the conclusion that development means change -- positive change. However, there are several unknown factors that must be approached very carefully, one of which is the participatory process, a major defining factor in development. In agreement with Desai and Potter (2008), Cooke and Kothari (2001), Hickey and Mohan (2004), participation process need to be examined and re-examined from time to time to establish the status and popularity of decision making process essentially in governance and project development. This

will help keep the process in the interest of the people that it was meant to serve and be in the interest of all.

2.4.5 The Language of Participation and Development

Cornwall and Brock (2004, p.2) recognize that there is a gap between the language of development and activities therein:

> *There is something about today's development language that is quite at odds with the hard- edged linearity of the dominant tropes in development thinking. Many of the terms with which we have become so familiar in recent years evoke a comforting mutuality, a warm and reassuring consensus, ringing with the satisfaction of everyone pulling together to pursue a set of common goals for the well-being of all.*

The position of Cornwall and Brock (2004) above sums up the unchecked mutuality with which participation and development has been conveyed over the years, which apparently has failed to deliver result, essentially in emerging economies as Maral-Hanak (2009) noted in the case of Tanzania. Just as mentioned in the works of Cooke and Kothari (2001) earlier in this chapter, there are so many participatory development slogans which has 'evoked the feeling of participation', and 'empowerment', without any evidential power to participate or influence the decision being made. As mentioned by Cornwall and Brock above, there is a strong suspicion around the current language of participatory development which does not particularly feel right, but yet, there is comforting mutuality to it, a public acceptance.

A number of terms have been used to define community participation. A few of them include: community engagement, consultation, community needs assessment, community benefit sharing/ co- sharing, empowerment, among others. Although it is arguable that these terms are related to community participation, and in some cases, forms a major component of the process. None of the terms can adequately replace the term, community participation. In fact, according to some scholars, depending on the context, these terminologies may mean something completely different from the concept of community of participation (Brand, 2011; Mathbor, 2008).

Community Engagement

According to Li et al. (2014) community engagement is a broad and inclusive instrument used by organisations to facilitate continuous two-way communication process between themselves and their stakeholders, such as community members, NGOs, and local/regional government. They argue that "community engagement has three key themes: an obligation for two-way open and clear communication; transparency and accountability; and responsiveness to local context" (Li et.al. 2014. p.6) Although these themes are in consonance with community participation (Pillay 2013), it particularly does not gurantee co-sharing in power, responsibilities and benefits which are the hallmarks of participation (Cornwall 2011). In a related argument, Wallis (2006) in Preece et al. (2012 p.180) states that community engagement is more than "community participation, community consultation, community service and community development" and is better defined as "a two-way relationship leading to productive partnerships that yield mutually beneficial outcomes". The assumption around this ambitious definition is that the community engagement is believed to involve sharing, particularly in power, roles and responsibility and eventually in benefit which plays crucial role in participation (Raelin 2000, Cooke and Kothari 2001, Hickey and Mohan 2004, Cornwall 2011). This argument has been debunked by many scholars of participation (Cooke and Kothari 2001, Cornwall and Brock 2005).

It is arguable that the picture of community engagement painted by Li et al. (2014) and Wallis (2006) above is a generic perspective to the discourse on relationship between community engagement and other participatory model, such as consultation and community needs assessment. This explains why Wallis (2006) believes that Community Engagement is the umbrella term for all participatory methods and processes. From a practice and more dialectical perspective, community engagement is a structured process with the primary goal of *working with identified groups of people*, either connected by geographic location, special interest or affiliations; *to address issues affecting their well-being* (Department of Sustainability and Environment, 2005). This does not in any way complete the cycle of participation as it does not guarantee the end-point – co-sharing on all fronts. Although linking the term "community" to "engagement", two powerful keywords in modern participatory development tends to widen the reach, shifting the focus from the individual to the collective, with the consequent implications for inclusiveness of all relevant stakeholders in the community. In practice, community engagement is not the same as participation but could form part of the mix through which participation can be achieved. Participation is an embodiment of several approaches and methods, which community engagement is just one of the

approaches in mix. A typical clarification for the discourse above is the OECD's Model of participation (2013), which clarifies that in achieving community participation, community engagement will have to be combined with other instruments such as knowledge/information sharing, active consultation, delegation of roles and responsibilities targeted to increase the level of stakeholders' influence, hence, participation. This position agrees with Holmes (2011), who argued that community engagement involves information access and consultation of stakeholders, which are pathways to participation but cannot be conceived as participation.

Information Sharing

Information sharing is a one-way flow of information from proponents to beneficiaries (Mathbor 2008). Mathbor further points out that information on benefits, cost, financial, implementation arrangements and identified project risks should be shared with the affected persons which promotes transparency and enhances trust. In a study conducted by Mathbor in the coastal area of Bangladesh, it was identified that most communities could not answer simple questions about the project such as project benefit, impacts, budget, policy determination procedures, and evaluation and needs assessment procedures. Findings from this research (Chapter six) further confirms Mathbor's study in Bangladesh. According to Lossy (2009), information sharing varies from passive means of dissemination such as notices, websites, publications, radio and TV advertisements to active means of dissemination such public meetings, community forums and participatory research (Sisk et al 2001, QGDC[10], Lossy 2009). The bane of the discourse around information sharing in relation to participation is that the proponent decides the kind of information to share. This implies that the capacity to influence the discourse resides exclusively with the originator of the message, without any confirmation of adequate communication. This subjective position evidentially does not give enough room for a collective action and co-sharing, which participation obviously requires. Information sharing is not an adequate communication tool in participatory development because it does not guarantee a feedback. According to Lossy (1999), exploring the works of Shannon and Weaver (1949), communication can only be said to be effective if there is an element of measurable feedback although Holmes (2011 p.13) argues that "the ready availability and accessibility of relevant information from diverse sources is a bedrock condition for effective citizens' participation". It is arguable that, this can only be operational if the information sharing has other components of participation such as knowledge sharing which

requires significant exchange of information with measurable feedback often in a mutual learning environment (Desai and Potter 2008), roles, responsibilities and benefits. Unfortunately, information sharing does not give room for any feedback system, which makes it grossly inadequate to guarantee participation.

Consultation

Consultation has been defined as a form of community engagement which describes how local councils approach communities about decisions that affect them. Consultation specifically targets the views and opinion of the interested parties and affected persons in the decision-making process, to ensure they input to the process in a bid to influence the final outcome (Council of the City of Gold Coast 2016). Consultation is a two- way flow of information between the proponent and the public (Mathbor 2008, Paul 1987). It involves the seeking and receiving of views on policies, programs and services. For consultation to be effective, there must be a shared understanding of how the view points of the public will be incorporated into decision- making and a good feedback mechanism (QGDC). Although, community consultation is important, Chappell (2008) argue that because community consultation focuses more on capturing feedback, it runs the risk of building unrealistic expectations in communities. This is mainly because community consultation measures the pulse of the respondents, with the 'supposed' aim that it would be used to influence project decisions. Experience has however shown that consultation has been reduced to a "listening post", because the respondents are often not empowered to make any decision (Roy 1999, Bassey 2010). Exploring the discourse from a state perspective, Holmes (2011 p.14) indicates that even though consultation aims at including the views of affected persons in decision making, government still remains at the helm of affairs as they "define the issues, set the questions and manage the process" (OECD 2001). This suggests that ultimately, regardless of the level of community consultation conducted, the government, just like any other power bloc still has the "near absolute" power to make decisions on matters affecting the people, without necessarily considering their inputs. This does not protect the people's participation although community consultation could be a start point towards the process.

Community Needs Assessment

Community needs assessment is an expression associated with participation and development. It is closely related to participation as it is used to describe a sum of activities conducted to measure the preference of the beneficiaries during participatory development project. As such it has been argued significantly that it is not just an approach or method, rather it is a combination of several activities that helps critically capture the organic root causes of community interests. Fulton (2012) defines community needs assessment as a way of gathering information about a community's opinions, needs, challenges, and assets, which is used to determine which project(s) will meet the real needs of the community. The USDHHS[11] report, further iterates that needs assessment focuses on the capabilities of the community, including its citizens, agencies, and community based organisations, which forms the social capital within the community. It provides a framework for developing and identifying services and solutions and building communities. From the foregoing, it is evident that community needs assessment is very crucial to participation component of development project but it does not represent the entire participatory process. Very much like the other components above, it is one of the tools towards attaining effective participation.

Benefit Sharing

Benefit sharing is a widely accepted way to spread resource utilization benefits across the economy, catalyse broader-based growth and support social equity policies" (Haas and Phonekeo 2011 p.4, Skinner et al 2009). Community benefit sharing is the monetary and non-monetary benefit arrangements arising from the use of local resources, shared equitably and fairly with the people or communities (Fauna & Flora International 2014). Community benefit sharing therefore, applies to communities living within the impact zone of a project and could include individuals, households and local businesses based in the project area (Haas and Phonekeo 2011). Since communities control local resources which provides sustenance, means of livelihood and has cultural and social value; they should benefit from any development activity that makes use of these resources. IFC and World Bank have policies which provide guidelines for the development of projects that lead to loss of livelihoods, loss of assets and loss of access to assets (IFC PS 2012, WBOP 4.12 2013, and WB ESF 2016). Project proponents are required to share the benefits of the projects with the affected persons in addition to compensation for losses and livelihood restoration (IFC PS5, WB ESF 2016). However, Haas and Phonekeo (2011), argues that compensations are in contrast to benefit sharing. Whilst compensations represent one-off package covered under the

costs of the project financed by the developer, benefit sharing consists of a range of long-term mechanisms that project proponents apply based on an agreed regulatory framework. Development agencies and multinational companies have embraced benefit sharing as Corporate Social Responsibility – as a way in which they give back to the community. However, this is not the same as building the capacity of the benefiting community, which is the goal of participation (Friere 1970, Cornwall 2011).

Empowerment

Empowerment is a sub-component of participation which relates to the "power to act". Empowerment is explained by Pettit (2012 p.2) as a "multi- dimensional process involving change in economic, social and political condition to reduce poverty and exclusion". Dom (2012 p.4) also indicates that "empowerment happens when people, individually or collectively, conceive of, define and pursue better lives for themselves". Dom (2012) argues further that empowerment is the opposite of powerlessness and to ensure participation at the local level, there is a need to change the dynamics of power for decision- making importantly, to ensure that the less powerful have significant level of capacity to influence the outcome of the decisions that shape their lives. From the interplay between participation and power relations, it is clear that empowerment in itself is not participation but a necessary tool to achieving participation.

2.4.6 Public Policy and Participation

The involvement of citizens in decision-making and implementation of projects is crucial but participation extends beyond that. This is clearly articulated in the report, "A Framework for Analysis of Participation in Development" as it states that:

> *Gaventa (2003) notes that the meaning and scope of "participation" in development discourse has expanded from engagement or involvement in community projects to participation in policy – the discourse of politics and governance – encompassing of forms of participation in the economic and socio-cultural spheres.*
>
> (Oxford Policy Management 2013 p.6).

The expectation of citizens has increased from just electing representatives through the electoral process to direct involvement in policy making. Governments also admit that to maintain stability

and govern effectively, they need to harness both human and natural resources for development through engagement of stakeholders such as civil societies, NGO's, technocrats, business community and trade unions in policy development. Engagement here is seen as "a moderately but continuous and systematic exchange between the parties" which involves information sharing, accountability, reason sharing and articulation of values (Holmes 2011, UN Committee of Experts on Public Administration 2007).

Public policy is the broad framework of ideas and values within which decisions are taken and action, or inaction, is pursued by governments in relation to some issue or problem (Brooks 1989 p. 16). Public policy is influenced by power and control of resources which is often in the hands of the government and international corporations. There are power relations among various stakeholders and groups of people that affect the extent to which people participate as some groups might be overlooked, marginalized and vulnerable (Gul 2009). Smith (2003) and Irvin and Stansbury (2004) argue that in recent times, there is more room for participation of individuals and interest groups in policy making through contribution to policy discussions and demands for accountability which suggests a more bottom up approach to policy development. Policies formulated also reflect citizen preferences and government gets citizen support in its implementation. Nevertheless, government still dominates in policy making for development. Baccaro and Papadakis (2008) agree with the assertion above as they state that participatory policy development has shifted in recent times from a more government-centered approach where the state formulates the strategies, organizes forums that inform the people to a more people- centered approach whereby the government empowers the people and allows them to identify their problems, brainstorm on solutions and together with government formulate policies to guide the process of solving the problems. Huang (2002), also states that public policy making has changed from having only two actors: the legislators and the state, to an inclusion of a wide range of stakeholders which includes representatives of citizens, experts and scholars, which indicates increased participation in policy making. This clearly shows that there is increasing involvement of citizens in policy development but the government and development actors are still in the helm of affairs.

Irvin and Stansbury (2004) establish that public participation in policy making benefits both the state and the citizens in decision making and leads to positive outcomes for projects or policy

implementation. Some of the benefits include knowledge sharing on both sides, persuasion for support on both sides and better policy and implementation decisions. The involvement of citizens in formulation of policies improves outcome of policies because citizens gain a high level of understanding of the policies and can understand some difficult policy decisions made by the government. The UN Committee of Experts on Public Administration (2007) confirms this by suggesting that participation in policy making has implications for every facet of development, democracy and decentralized governance. Holmes (2011) suggests that public participation in policy making ensures formulation of policies that meet the needs of the people.

To improve participation of citizens, the government must play the role of facilitator and coordinator of the decision- making process. Sensitization of the populace is also essential to enable them understand the issue and contribute to the policy dialogue as identified in Smith (2003).

> *"Effective public participation requires that citizens be informed and knowledgeable about the topic being discussed. They must be willing and able to be involved- having the interest, the time and the opportunity to access. Citizens must take responsibility for the quality of their participation and be accountable to each other for effective use of time and other resources". (Smith 2003, p. 34)*

This suggests the need for public policy education. Policy education should be embraced to ensure public participation in policy making, such that policies can be more beneficial to the public. Citizens become aware of the outcomes of their contributions and the policies that have been formulated which contributes to participation.

2.4.7 Community Participation in Tanzania

Marsland (2006) argues that the Tanzanian traditional understanding of participation only sees the participants 'locals' as 'fulfilling a quota', while the government or international development agencies make the decisions. According to the research (*Community participation the Tanzanian way, Conceptual Continuity or power struggle (2006*), the challenge is borne out of the semantic translation of participation in the nation's language Kiswahili, a definition carried over from the early days of the country's African socialism experiment (Marsland 2006, Meredith 2011, Maral-

Hanak 2009). Apparently, people are being told about participation, empowerment and self-emancipation, which has been reduced to feelings, rather than been seen in action (Marsland 2006, Christens and Speer 2006). Pursuing the same argument, Maral-Hanak, (2009) argued that programmes emphasising community development and participation for rural development have a long history and continuity in what constitutes today's Tanzania. In *Language, Discourse and Participation: Studies in Donor Driven Development*, Maral-Hanak (2009) argued that the concept of participation has been so sloganized that even when a new crop of development actors in early 1990s used the word participatory development, the people were not bothered because it is the same tokenistic (Arnstein 1969) approach, by a different set of actors. As such, the concept of participation is only in language, not in action, as people only get to hear about it. Scholars have argued that Tanzanians are conversant with local initiatives and pulling resources together towards development. This explains why the level of awareness and eagerness about collaborative work among community members is quite high (Uemura 1999, Maral-Hanak 2009).

Kamuzora et al. (2013) posit that even though there are impressive community structures in some communities in Tanzania which suggests community participation, power is still centralized in Tanzania. This is indicative of the top- down approach to development. They further state that the extent to which communities participate is affected by the lack of information about policies, laws and happenings in the country.

Community leaders and the elite are crucial to community participation in Tanzania. Evidence from health and forest management programmes show that community leaders are responsible for decision making, poverty targeting, information dissemination, implementation of projects and monitoring and evaluation (Lund et al 2010, Kamuzora et al 2013). In some cases identified by Mansuri and Rao (2012), village elites and community leaders capture the participation process by making decisions that reflect their individual interest rather than the interests of the entire community. An example is the TASAF project where choice of projects in some communities were highly influenced by representative preferences. The municipal allocation rules for funding proposals were not applicable but rather proposals were funded based on community leaders' preferences.

2.4.8 Conceptual Framework

In this section, I have explored the concept of development and how it has evolved overtime in terms of definitions and approaches. Also, the different dimensions of participation and how it interplays with power relations and development were examined. More so, the complexities around terminologies which are often misconceived as community participation such as; community engagement, consultation, empowerment, benefit sharing, information sharing and needs' assessment were critically examined. This chapter discussed the nexus between public policy and participation. From the case study perspective, this chapter also assessed community participation in Tanzania. Within the context of this research, development is human capital emancipation and shared value for positive change. From this chapter, it is evident that in reality, participation does not simply connote involvement in decision-making and taking control of one's development. Rather, there are several levels in participation and underlying factors that determine the extent to which community participation occurs. The level of power determines the level of participation and participation propels development. From the review of conflicting understanding of participation, it was identified that none of the misconceived terms can adequately replace participation, rather they can only form components of it. In relations to participation in Tanzania, it is evident that the concept is not new to the people, however, the outcome has not proven most of the developmental activities to be participatory. Thus, it is evident that public participation would enhance public knowledge of policies and policy education would help institutionalize the knowledge of public policy. Also, discussions from this chapter clarifies that participatory policy development would make the policies fit for purpose. These findings are further established and reinforced in the research finding section Chapter six.

The next chapter is the research methodology, which presents the epistemological framework through which this research was conducted.

CHAPTER THREE

RESEARCH METHODOLOGY

3.0 Introduction

This chapter explains the methodology that was applied in the study and the rationale for selecting appropriate research methods. It analyzes the research methods and research instruments applied during the study as well as other methodologies used in social performance research. Explanations on how the research methods and instruments were applied have been further discussed in Chapter Five of this research- Project Activity.

The methodology is the overarching systematic and theoretical analysis of methods applied to a field of study (Irny and Rose 2005, Bhattacharyya 2013). It is the sum of all avenues to ensure that the research is carried out under critical, measurable and universally acceptable processes to ensure research credibility (Desai and Potter 2012). Thus, this section details the overall framework of approaches and perspectives in which the research has been conducted: the research process as a whole, stating the approach to data collection and analyses. Prior to data collection, a pilot survey was conducted to help sharpen the focus of the search and at same time fine-tune the research tools, approval processes and the logistic plans.

3.1 Methodological Framework

Due to the multidisciplinary nature of work-based learning and the concept under review, community participation, this research was conducted using a mixed methodology approach. Desai and Potter (2012) describe the mixed methodology approach as guarded integration of select research methods that complement each other in order to execute a research. The position of Desai and Potter in this definition is not prescriptive, but provides guidance to what should be an ideal. It is not prescriptive because the definition has not necessitated any specific mix (of methods), rather, they suggest very strongly that for the methods to work together, they should be able to complement each other. Towards a more specific definition, Miles and Huberman (1994) suggest that quantitative and qualitative research methods can complement each other during research design, research data collection and research data analysis (Hall 2010, Teddlie and Tashakkori 2003, 2009).

In relation to development studies, Desai and Porter (2012) suggest that research deals with people, emotions, social dysfunctionalities and some crosscutting issues of real-life situations, and thus suggests that research in development is best conducted using a qualitative research approach among other methods such as quantitative and participatory methods. This specification mix required to conduct research in development studies is borne out of the nature of the subject, which requires tools that can be explored far beyond the periphery. Mayoux (in Desai and Porter 2012) submits that the following four areas should be considered in choosing research methods or survey instruments for any research relating to development study:

- Relevance of the information to the questions being asked and to the context;
- Reliability and credibility of the information and analysis;
- Ethical considerations in both means and ends of the research; and
- Manageability in relation to skills, resources and time available.

The use of mixed method approach is increasingly popular with research in community participation. A study of past research in community participation reveals that mixed method approach is often used in the research design, data gathering and data analyses. Typical examples are the works of Leksakundilok (2004) and Kanyanya et al. (2014). In *Community Participation in Ecotourism Development in Thailand*, (2004), Leksakundilok applied a mixed method approach which was referred to as a triangulation approach. According to the work, the triangulation approach is defined as the use of *triangulation process* to ground-truth or reconfirm data gathered using two main complementary research methods. The understanding is that the research findings from each method already applied can help triangulate one another towards enhancing validity. According to Leksakundilok, this research is divided into three areas: the literature review, the generic study and the specific study. Ultimately the research was conducted using questionnaires and interviews to ensure the complexities, essentially in dealing with people in the course of the research are adequately captured in interviews; while the concrete numbers can be captured using questionnaires. Importantly, the researcher affirms that the study findings and study conclusions benefitted significantly from his past experience, which has been the base of the research.

The framework adopted by Leksakundilok is very similar to the approach adopted by Kanyanya et al. In *Community Participation in Development Projects in Kenya,* Kanyanya et al. also applied

a mixed method approach although using a slightly different strategy from what Leksakundilok (2004). In the case of Kanyanya et al., a descriptive approach was used instead of a 'triangulation' approach. According to Kanyanya et al., this approach has been adopted in order to describe the phenomena of the community water projects in Shianda division. This research was conducted using a mixed method approach, because the researchers conducted significant qualitative interviews among the service users to understand their level of satisfaction on the service provided. Importantly, additional quantitative data was collected through questionnaires and analyzed through descriptive statistics, where frequency table and percentages were used to represent the data. The study also applied a multivariate regression model to determine the relative importance of the three main project variables. The depth of quantitative details applied in the works of Kanyanya et al. (2004) markedly differentiates it from Leksakundilok's study, although they both applied a mixed method approach.

From the foregoing, it is evident that mixed method approach is very popular with research in development, essentially in research focusing on community participation. Just as the two case studies above, this research also adopted a mixed method approach but uniquely different from the works of the two researchers examined. Data gathering tools used include: quantitative questionnaire, focus group discussions, key informant interviews, institutional engagements (interviews) and content analyses. The quantitative data gathered were analyzed using SPSS and correlation to identify the relationship between the variables, while the qualitative data gathered were analysed using thematic analyses. It is important to note that the mixed method applied in this research benefited significantly from triangulation, where the survey tools were used to further ground-truth one another. Aside from questionnaires and interviews, content analysis was used to review the content of policies and safeguard materials studied in the course of this research. Although mixed method is common in development research essentially in community participation discourse, the approach adopted by this research is partly inspired by the argument of Desai and Potter *Doing Development Research* (2012) that mixed method approach is better for development research. However, the main motivation for this approach was borne out of practice, which permeates the entire research. From a practice perspective, social performance research is usually conducted using a mixed method approach particularly a mixed method of quantitative, qualitative and participatory approaches. Although some practitioners are using qualitative approach, this practice is gradually being discontinued because there is increasing need to

demonstrate in quantitative terms the nature, extent and degree of impacts so that more precise and calculated management and mitigation plans can be designed to manage such impacts. This necessitates the use of mixed method approach which has also been applied in the course of this research.

3.2 Pilot Study

A pilot study refers to a small-scale version of study conducted in preparation for the main study, to pre-test specific research instruments (Lewis-Beck et al. 2004). The pilot study is not only useful for testing data collection instruments but also to enhance the validity of the study (Marshall and Rossman, 2011). Pilot interviews were used to refine survey instruments such as questionnaires and interview schedules. It is a very effective tool to gain understanding of approaches to data collection in foreshadowing research problems and questions. It also helps in identifying gaps and wastages in data collection and in clarifying broader and highly significant issues such as research validity, representation, ethics, and researchers' health and safety (Sampson 2004).

A pilot study was conducted between July 2014 and August 2014 to test the validity of the survey instruments, the methods and the focal points of the studies to ensure that the proposed strategies to be implored could actually deliver the anticipated result when deployed full swing. The pilot was conducted in three communities that has been part of an internationally funded agribusiness – Cassava Starch Tanzania Corporation, which has workers and out-growers across the select communities. The sampled communities surveyed include: Mahumbika, Mtama and Muisho. These communities are all in Lindi Rural District of Lindi region where the CSTC project farm is located and essentially where they have out-growers. Although this alters the initial project proposal that the survey would take place in one community, the pilot project spread across three villages and as such, conducting the research in the three communities was considered. It goes to confirm the position of Rein and Schon (1977) that a pilot study does not only help fine-tune the survey instruments, but it also helps to sharpen the focus of the whole research. The project has strong ties with about 7 communities all within the Lindi Rural District. Some of the communities are involved in the project training sessions, some benefitted in the seed sharing while some were employed by the project to work as farm hands.

3.3 Research Methods for Primary Data Collection

Describing what constitutes rigor in development research, Sumner and Tribe (2011) argue that a mixed method approach is often quintessential. Mixed method they argue means adopting a research strategy employing more than one research method. The methods may be a mix of qualitative and quantitative methods, a mix of quantitative methods or a mix of qualitative methods. Mixed methods research also means working with different types of data (Brannen, 2005; Sumner and Tribe 2011). In contrast, White (2002) argues that it is not much the combination of different epistemological perspective, rather it is the proper application of complementary methods and tools by the researcher that guarantees rigour in doing development research. White (2002) submits that:

> *The basis for 'rigour' is the proper application of techniques. Badly or misleadingly applied, both quantitative and qualitative technique gives bad misleading conclusions… different techniques are appropriate to different settings… … combining quantitative and qualitative work can strengthen both*

(White 2002 p. 512).

The argument of White (2002) from the extract demonstrates that in applying mixed methods, the selection of methods should complement each other enough to guarantee optimal accuracy of the research findings. Following the argument of Sumner and Tribe, Brannen, and White, this research has been conducted with significant level of rigour. The research methods used for the field survey (primary data collection) of this research include quantitative and qualitative research methods.

3.3.1 Quantitative Method

"Positivist scientific methods (also known as quantitative method) is based on underlying philosophical assumption that reality is composed of unambiguous facts which awaits discovery by the observer" (Mayoux in Desai and Potter 2012 p. 115). Quantitative research deals with numerical data and it sometimes has specific hypothesis and indicators of the anticipated result already defined at the start of the investigations (Desai and Potter, 2012). One major characteristic of quantitative method is that it produces the 'hard facts' and statistical evidence to underpin the observations of the research and the results of conversations (Desai and Potter, 2012, Teddlie and

Tashakkori 2003). This method has been used in this research to gather responses in numeric terms from the participants in this study. In social performance practice, quantitative data helps measure the degree of digression of the social realities of the people. It helps provide a measurable and objective guidance to the environmental and socio-economic details, which needs to be assessed empirically. The use of a quantitative approach is essential in development study because it helps to gain statistical standpoints from which measurable conclusions can be reached with some level of precision in the degree of occurrence, particularly in working with people.

The quantitative data collection tool used in this research is the questionnaire, as discussed in the research tools section below.

3.3.2 Qualitative Methods

A qualitative research approach seeks to explore details and examine the holistic aspect of data gathering as against the gathering of only numerical data, which is the case in quantitative approach (Desai and Porter 2012). Sumner and Tribe (2011), argue that this method is often suitable for analysing very detailed and complex research processes such as informal interviews, participant observation and visual media, but often for a micro sample due to the details involved. As described by Sumner and Tribe above, it establishes preferences, priorities and perception about the subject matter. Qualitative approach usually apply purposive sampling and semi-structured interactive interviews to collect the data – often, this kind of data are based on the respondent's judgement, preferences, priorities, and/or perception about a subject – and analyses is usually through sociological or anthropological research techniques (Sumner and Tribe 2011, Carvalho and White 1997). Qualitative research method is often open-ended and suggests a cumulative formation of questions and scope. It uses inductive causal inferences from detailed systemic analysis of patterns of differences and similarities among the various accounts and case studies. It does not only give answers to immediate questions, as coded strictly in the survey tools, it also indirectly answers evolving questions and gives the researcher an opportunity to digress into new discourse should there be new discovery during the engagement. Owing to its detailed and complex nature, the method usually requires the researcher to be immersed in the research process (Desai and Potter 2012, Hickey and Mohan 2004). Qualitative method is crucial to social performance research and in particular, participation because some of the approaches to community

participation such as community engagement and community consultation are traditionally carried out using qualitative methods.

This method has been used extensively in this research, to carry out detailed and exploratory aspects of the research essentially data gathering from key informants and triangulation of the early feedbacks that emerged from quantitative surveys. Qualitative research tools used in the course of this research include: semi-structured interviews and focus group discussions. The research instruments are further discussed in section 3.4 this chapter.

3.3.3 Participatory Methods

Participatory research typically involves the use of diagrams and oral tools to make the discussions and analyses accessible to the less educated respondents, even in a multi-lingual setting. Participatory method improvises with diagrammatic tools where the respondents play an active role in the research and analysis, using oral and visual tools (Desai and Porter 2012).

This research method is designed to aid participation and promote interaction among researchers and research participants specifically for the attention of the less educated respondents and it is used more in activism to capture grassroots views. Just as the name suggests, it is participatory in nature as both the researcher and the respondents are involved in the process of data gathering and sometimes the analysis of data gathered. This method was initially proposed for the final study at the community level, as it was anticipated that the community respondents are locals with minimal level of education, which would make it challenging to get them to participate in the research. However, the realties as confirmed during the pilot study have proven otherwise. As evident during the pilot study, though the level of education was low as anticipated, the respondents were very motivated and responsive to the study. This outcome from the pilot study confirms that the level of awareness and motivation of the participants was adequate and as such, the participatory method would not be required for the final research.

3.4 Research Method for Secondary Data Collection

In addition to primary data collected from the field surveys, the research relied on secondary data particularly for the examination of the Tanzanian development policies and the corporate policies of the IOC LNG JV companies.

- *Selection and review of Tanzanian Development policies*

The Tanzanian Development policies were reviewed to understand how the policies ensure participation of communities in projects that affect them. The policies were assessed to check the number of times participation was mentioned, sections that connote community participation, how the policy will achieve participation when enforced and the shortfalls to community participation in the policies.

The National Economic Empowerment Policy was formulated specifically to address the limited participation of Tanzanians in the Tanzanian economy. The purpose of the policy is to empower Tanzanian individuals and local companies to participate in the growth and development of the economy. This is clearly a participation policy and necessary to this study which is focused on community participation.

The Tanzanian Development Vision 2025 is the national policy document prepared to guide economic and social development of the people of Tanzania. The objective of the policy is to channel all resources (including human resource) towards achieving development goals. The rationale for establishment of this policy aligns with the aim of this research.

The Village Land Act of 1999 (VLA 1999) is "An Act to provide for the management and administration of land in villages, and for related matters (VLA 1999)". Since the IOC LNG project involves acquisition of a large expanse of land, it is necessary to understand how land is managed at the village level and the extent of community participation in land issues.

The Petroleum Act 2015 is "An Act to provide for regulation of upstream, midstream and downstream petroleum activities… to secure the accountability of petroleum entities and to provide for other related matters" (Petroleum Act 2015 p. 6). This Act regulates the activities of the IOC's operating within Tanzania hence it is imperative to review this act and how it relates to community participation.

Engagement with the Ministry of Environment revealed that the Environmental Management Act is a cornerstone for community participation. Consequently, the research explored this Act to find out whether community participation in indeed entrenched in it.

- *Selection and Review of Corporate Policies*

The companies responsible for the IOC LNG JV which include: StatOil, BG Group (which is now Royal Dutch Shell Plc), ExxonMobil, Pavilion Energy and Ophir Energy refused to provide information on the project when they were engaged in the course of the research. As a result, the corporate policies of the companies with respect to community participation were accessed from the public domain and company websites. The policies were reviewed to understand the company's perception of participation, the provisions for community participation and shortfalls in ensuring community participations.

3.5 Research Instruments

For the purpose of this research, research instruments are the specific research techniques that were used in gathering research information. Due to the different kinds and sources of information needed for the research, the following data collection instruments were used: semi-structured interviews, questionnaires, focus group discussions and content analysis.

3.5.1 Interview

An interview is a data collection instrument that involves an interviewer and the interviewee, the purpose of which is to obtain valid and reliable information (Marshall and Rossman 2011, Kvale and Brinkman 2009). It involves data gathering using presentation of oral-verbal stimuli and response (Kothari 2004). This presupposes that the strength of interview lies in direct delivery of the information from the 'horse's mouth' and also the viability of the researcher to study the verbal and non-verbal cues of the interviewee. Interview has been described as the 'Construction Site of knowledge' (Kvale 1996). Since interviews involve the interviewer and interviewee exploring a topic of mutual interest (Kothari 2004), it means that the interview is engaging and could digress into far more interesting and effectual data that could help the research far beyond the originally anticipated focus of the researcher especially in the case of semi structured and unstructured interviews.

Kothari (2004) submits that an interview could take two forms: face-to-face and telephone interview. For the purpose of this study, these two forms of interviews were utilized to give room for flexibility. Kvale (1996), Desai and Porter (2008), and Kothari (2004) outline three structural

patterns of interviews – they are structured, semi-structured and unstructured interviews. Unstructured and semi-structured interviews were proposed for this study to give room for flexibility. However, only semi- structured interviews were conducted.

3.5.1.1 Unstructured Interview

Unstructured interview allows for remodeling or outright change of the interviewer's questions to suit the respondent (Kvale and Brinkman 2009). Unstructured interview provides the interviewee an advantage to take the interview to whichever direction they choose. Unstructured interviews often become discursive in that the respondents share the control of the interview with the interviewer and may cover topics which are completely unexpected (Desai and Potter 2008). This approach does not limit the responses of the respondents; rather, it challenges the researcher (interviewer) to concentrate on the interview and align it to the emerging facts as detailed in the responses of the respondents. Unstructured interview can also be described as a community congress. It is a research tool which allows respondents to digress completely from the topic under review, to whatever they choose to discuss with the interviewer.

It was initially proposed that one unstructured interview would be conducted per community to gather general community feedbacks on development projects around them. However, during the pilot study, it was discovered that almost every member of the community belongs to one group or the other. As such it was better to engage with the people at a group level rather than in a community congress. More so, observation in the course of the introductory visits revealed that there are issues in the community among those that felt they did not benefit from the project and the community leadership. Consequently, conducting a community congress could lead to arguments and confrontations which would negatively affect the ethical standing of this research. From the foregoing, unstructured interview was not used due to the high level of emotional attachment to the projects under review and the several social dysfunctionalities trailing development projects where so much emotions are involved. From experience and evidences from the pilot study, this research tool can easily degenerate into heated and uncontrollable arguments, confrontations and avoidable violence leading to communal crises, which may be counterproductive for the research and negate the Middlesex University research ethical standards.

3.5.1.2 Semi-Structured Interview

Lindlof and Taylor (2002) submit that the semi-structured interview is a method common in the social sciences, because it is flexible and allows other questions to be asked during the interview as a response to the answer provided to a previous question by the respondent. It is not strictly codified as in the case of the structured interview since it allows for side discussions and explanations that are framed within the discourse at hand (Desai and Potter 2008). This tool was valuable to this research because many of the survey instruments were designed to capture both core quantitative data and upshot discussions in order to gain understanding of appropriate discursive elements that could emanate from the respondents. In the course of this study, semi-structured interview was used extensively to gather information from sizeable respondents, especially the focal heads such as government representatives in terms of policies; community heads or representatives in terms of impacts; projects representatives in terms of project planning and implementation; and NGO heads to understand supports provided.

Semi-structured interviews were also used to collect data from key informants such as community leaders and opinion leaders. A total of five semi-structured interviews was planned to be conducted per community representing one male or female community leader, one male, female and youth leader and one opinion leader who either can be male or female. This was streamlined to four semi-structured interviews per community due to the significant increase in the number of project community and the need to cover sizeable number of communities. Details of the use of this research instrument are discussed in chapter five and a sample of questionnaire used is attached to the Appendix of this research.

3.5.2 Questionnaire

The term questionnaire denotes the collection of items designed to measure one or more underlying constructs. It is a series of questions asked to obtain tailored responses from respondents on a research topic (Fabrigar and Ebel-Lam 2007). Traditionally, questionnaires are designed to capture statistical responses; however, the cross-cutting nature of research, especially in the social sciences and some other multidisciplinary fields of study, have made the use and design of questionnaires more encapsulating as they capture both quantitative and qualitative responses (Desai and Potter 2008). Simon (2012) posits that conducting questionnaire research is rewarding

if carefully planned and executed. He further notes that the types of questions usually captured in the questionnaire include: open-ended and closed-ended ones, depending on the targeted respondents and the kind of information to be gathered during the research exercise. Questionnaires was proposed in DPS4561 document to collect information that would give empirical and evidential facts and figures to support the research outcomes in numerical terms with very brief details. Questionnaires played a significant role in the course of data gathering on this research and was used to gather quantitative data in the selected communities of the IOC LNG JV and the TASAF project. A sample of questionnaires is attached to the Appendix of this research.

3.5.3 Focus Group

The focus group is a research tool used in gathering data on perception and viewpoints of the public. Focus Group provides rigorous support to other qualitative and ethnographic techniques. As such, it provides an excellent tool for exploring group behaviours, interactions and norms. Focus group is usually applied as part of multi-method approaches to development field research (Morgan 1997, Desai and Potter 2008). Focus group discussions aim to get the communal angle to the discourse as against one-on-one interviews (Merton 2008). It involves bringing people of a uniform trend or situation together to hold a semi-structured interview where the responses are triangulated on the spot for clarification of previously unclear issues. If well conducted, focus group discussion or interview can be used as a stand-alone technique and in some cases can be used in combination with other mix (Desai and Potter 2008). Focus group is relevant to this research because it helped measure and consolidate the feedback from group reactions to the discourse, as an action item to triangulate the individual responses that the qualitative and quantitative surveys generate. It has also helped in aligning the responses captured to decipher coherence and divergence of information shared

3.5.4 Content Analysis

Content analysis is an epistemological approach that applies set of procedures to generate valid inference from texts. The inferences generated are often codified to reflect the sender(s) of the message, the message itself or the audience of the message (Weber 1990). Neuendorf (2002) says content analysis has its roots in journalism, sociology, psychology and business. Marshall and Rossman (2011) describe content analysis as involving physical counting of appearance of specific

words and their order or importance in a text document. Content analysis can be used to critically analyze policy documents, press cuts and other textual documents crucial to development research. Content analysis was used to analyze the Tanzania Village Land Act of 1999, National Economic Empowerment Policy of 2004, Tanzania Development Vision 2025, Environmental Management Act 2004, Petroleum Act of 2015, and the corporate policies of the IOC LNG JV companies.

3.6 Sampling Method

The sampling method used for this research was mainly random sampling and snowballing. The random sampling methods used include simple random sampling and stratified sampling. Simple random sampling is a basic technique whereby each individual within the population is chosen by chance and each individual has the chance of being included in the sample. Stratified sampling is obtained by partitioning the population into mutually exclusive groups based a factor that may influence the variable that is being measured and random sampling from these groups.
In the case of the IOC LNG JV project and the infrastructure project by TASAF, stratified sampling was used to select the communities. For the IOC LNG project, the nine communities were chosen because they will be directly affected by the project. For the TASAF project, two projects were selected based on information received after engagement with TASAF representatives.

Stratified sampling was used because this research strives to attain adequate reflection of the sampled community, by exploring gender, age and other differences such as vulnerability and differently-abled persons amongst the respondent. The rationale here is that the respondents are jointly cohabiting in the community and it would be crucial to see how they perceive the changes around them in view of their socio-structural differences. However, at the community level, respondents for both the quantitative survey and FGDs were sampled randomly.

3.7 Data Analyses

Data analyses are the approaches applied to ensure that the data gathered in the course of the research were critically processed to give truthful, measurable and acceptable research outcomes (Onwuegbuzie 2000). This study has used various analytical and complementing tools to analyse the different sets of data gathered. As such, a mixed method has been applied. Mixed methods data analysis has been defined as the use of qualitative and quantitative analytical techniques, either

concurrently or sequentially, at some stage beginning with the data collection process, from which interpretations are made, in either a parallel, integrated or iterative manner (Teddlie and Tashakkori 2009). Onwuegbuzie and Teddlie (2003) argue that mixed method data analyses can be used to analyse research data from variety of research designs, regardless of the epistemological orientation of the data gathering methods. Mixed method data analysis has become necessary in this instance because of the diversity of the data gathered from the study. Onwuegbuzie (2000) argues that there are elements of 'additional qualitative information' in quantitative research analyses and so are there 'quantitative details' in core interview research, which requires quantitative research analyses. Therefore, it was concluded that the method of data gathering does not strictly imply the data analyses approach. For the purpose of this research qualitative method was used to analyze the qualitative data gathered, using thematic analyses and quantitative method was used to analyze the quantitative data gathered using software such as SPSS and Excel and correlation analysis.

Correlation

Correlation is a statistical technique used to describe the relationship between two variables. It is used to describe whether there is a positive or negative relationship between variables and the strength of that relationship. There are different types of correlation based on the types of variables being measured and the relationship between them. Some of the types of correlation include Pearson's Moment Correlation, Kendall's Correlation and Spearman's Rank Correlation. Correlation coefficient (r) is the result of correlation which is a numeric value between -1 and +1. The closer the result to -1 and +1, the stronger the relationship and the closer the result to 0 the weaker the relationship. When r>0 there is a positive relationship and when r<0 there is a negative relationship. Positive relationship between variables indicate that as one variable increases the other increases and a negative relationship indicates that as one variable decreases, the other variable increases and vice versa.

Correlation as a statistical tool is used to identify the relationship between variables but does not fully establish causality. A positive or negative relationship between two variables does not necessarily mean one is the cause of the other but that there is a direct or indirect link to the other. For this research, this limitation of correlation was plugged through the qualitative survey. The

qualitative survey provided explanations for the outcomes of the correlations and was used to either confirm or downplay the results of the correlation.

The type of data used for the research was the nominal data and ordinal data. The nominal data used were dichotomous (Yes/No, Male/Female) while the ordinal data was a five point Likert scale ranging from strongly agree to strongly disagree. Because of the type of data gathered, the data was analyzed using non- parametric statistics in this case Spearman's Correlation to determine the correlation between the variables. Spearman's rho was used because of the data was not normally distributed and there was a monotonic relationship between the variables. Monotonic relationship means that as one variable increases the other increases or decreases.

3.8 Translation

Bujra (2012) opines that a full knowledge of a community requires a faculty in local language, and researchers should aim at gold standard of achieving proper language skills. Regardless of the language competence, it was further argued that that there are circumstances that the researcher legitimately requires translation assistance. Translation is essential to research in second language because it would help to place the discussion within its proper cultural context.

Translation has played a vital role in the course of this research. Although I have a working knowledge of Tanzanian national language, Kiswahili, in the course of this research, a Tanzanian research assistant was engaged during the fieldwork to support the quantitative surveys and a professional translator from the University of Dar-Es-Salaam in Tanzania was also engaged to review all translated materials to ensure accurate account of events.

Desai and Potter (2008) propose two levels of translation to be involved in social development research at the fieldwork stage. They propose the research assistant should carry out the initial level of translation to help deepen the level of discourse during the data gathering process. This advice is borne out of the belief that oftentimes; research assistants are locals with social development background and sound understanding to convey the message of the researcher aptly to the respondents. The second level proposed is the role to be played by the translation experts immediately after the fieldwork. They advised that the interface is recorded for the first-hand listening of the translation experts so as to enable extraction of critical meanings from the

discourse. This position by Desai and Potter form the framework for this research. The research assistant is a graduate student of community development from the Ardhi University, Dar Es Salaam Tanzania, while the official translator for the field data is a post graduate instructor at the Institute of Development from the University of Dar Es Salaam.

3.9 Critical Review

Desai and Potter (2012) explain that in disseminating research outcomes, it is crucial to engage a critical practitioner when conducting research in development to critique the outcomes. This, they argue, is necessary to give integrity and validity to the research outcomes rather than a single view of the researcher, which may be biased. Lewis (2009) emphasize on the need to check the validity of research findings. He states that there are possible threats particularly to qualitative research because of researcher bias and proposes that validity can be checked through member checking, peer review, triangulations, collaboration and audit trial.

In the course of the research, from the planning stage up until final documentation of findings, there has been consistent and rigorous reviews by peers at professional level to help critique the research process and the research outcomes from time to time. This peer reviews were designed to ensure that the outcomes are valid, empirical, objective and realistic. Importantly, the peer review has focused on the research process and the analyses of outcome in line with social performance ethical standards and professional practices.

3.10 Summary and Conclusion

This chapter provides an overview of the research methods and instruments used in data collection and analysis. As mentioned above, the application, practicalities and challenges encountered in the application of these methods are discussed in detail in Chapter 5. Table 3.1 below shows the relationship between research aim, research questions, objectives, data collection tools and the type of statistical tool used to analyze the information collected.

Table 3.1: Relationship Matrix

Aims	Objectives	Research Questions	Data Collection Process	Statistical/ Analytical Tools
To critically examine community participation in development projects in Lindi region of Tanzania to better understand its potency and how it can be improved to enhance the development of the people.	To critically review literatures towards establishing trends and nexus between development and participation.	To explore the trends and nexus between participation and development	Desk Research	
	To explore the nature of participation in the IOC LNG JV and the TASAF projects and the roles of select NGOs towards attaining participation on development projects in Lindi region.	To what extent does the community participate in the projects and the roles of Non State Actors (NSA)?	Questionnaire and FGD	SPSS and Thematic Analysis
	To critically examine community understanding of participation	What constitutes the communities' understanding of participation?	Questionnaire and FGD	SPSS and Thematic Analysis
	To analyse the community participation components of the Tanzania Village Land Act of 1999, National Economic Empowerment Policy of 2004, Tanzania Vision 2025, Environmental Management Act 2004 and the Petroleum Act of 2015	To what extent does the select government development policies protect community participation and what level of 'invited' participation has	Content Analysis, FGD and KII	Content Analysis and Thematic Analysis

	and the corporate sustainability policies of the IOC LNG JV companies.	been created by the select projects?		
	To propose a good practice model on community participation for social performance practitioners, government policy makers and development project investors towards attaining participation in social sustainability practice.			

The next chapter discusses the ethical issues that underpin this research.

CHAPTER FOUR

RESEARCH ETHICS

4.0 Introduction

"Ethical behaviour helps protect individuals, communities and environments, and offers the potential to increase the sum of good in the world" (Israel and Hay 2006 p. 2). This study maintained ethical standards described below in every way to ensure that the research does not have a backlash on the society, either on the respondents in the course of the research or the academic community.

Brydon-Miller (2012 p.25) notes that regardless of the brilliancy and incisiveness of a field research, "gouging out the 'truth', warts and all, of a range of social situations, it may leave behind social chaos, breakdown and conflict in the field" (ibid p. 25). This observation reflects the challenges and complexities involved in managing ethical realities in research related to development studies. Development research deals purely with people, emotions, realities and dysfunctionalities (Desai and Potter 2012). As such, this section of the research defines the ethical challenges and ways in which this research has dealt with each identified challenge.

Ethical positions have been critically examined along with practical and professional practice standards to ensure the research embraces a win-win situation for all and more tailored to practice based research. Ethical issues in this research have been managed along thematic areas that could generate ethical challenges as highlighted below.

4.1 Thematic Areas of Ethical Concerns

Cooke (2004) submits that the data gathered from the local communities belong to them; it is their property, their realities, history and a part of their cultural archives. To get something as valuable as this from a people, they deserve some level of respect and decent treatment because they are not a by-product in the process; they are the main ingredients, resource persons volunteering information to make the research possible.

Desai and Porter (2010) present the same argument. They note that respondents in terms of research or project affected population in case of project impact monitoring should not be seen as

'objects' by the researcher. They propose that the researcher ought to see them as visible – the same way the researcher considers any other party in the research. This position fed significantly into this research. All the respondents in the course of this study were briefed on the provision of Middlesex University research ethics and ethical requirements of conducting social performance research. To attain the ethical goals of this research, the following steps were taken:

4.1.1 Clarity of Purpose

Brydon-Miller (2012) projects that it is crucial to clearly inform all parties of how their relevant inputs contribute to the research, and what the anticipated outcome would be for all. Following this line of argument, the aims, objectives, outcomes and dissemination of this research was clearly communicated to all respondents. Prior the data gathering, respondent were briefed properly on the aims, objectives and anticipated outcomes of the research. The briefings were conducted to help the respondents understand the bigger picture; the extent to which their contributions would be utilized as well as who would have access to the finished work.

4.1.2 Informed Consent

The United Nations Free Prior Informed Consent (FPIC) primarily protects the right of indigenous people, but generally, the concept applies to any project affected person subject to any research. It stipulates that all impacted persons need to be engaged in a medium of their understanding and their permission sought and provided before they can be co-opted into any programmes or projects. In the course of the research, all potential respondents were pre-briefed in their first language to help them gain understanding of the overall goal of the research, aims and objectives, methodology, the anticipated outcomes and most importantly, how they come into the picture. To properly document this, all respondents were advised to fill the consent form. The consent form was designed in Kiswahili, which is the first language of the respondents, and it was issued to respondents during the second visit after the survey appointment had been agreed with the community, about 48 hours before the surveys were conducted. This allowed respondents time to choose if they wanted to be part of the survey or not. For respondents unable to read, the consent form was read to them at the point of issuance so they can understand the content. Fortunately, all potential respondents were happy to be part of the survey after the briefing, which was conducted on a one-on –one basis.

Prior the survey as well, the respondent choice of being part of the survey was confirmed orally, and they were all assured that their responses would be managed in strict confidence. At the point of the survey, it was routinely confirmed that the respondents said 'yes' before they were surveyed.

4.1.3 Confidentiality

Jamison (2007) describes research confidentiality, as an implied or explicit agreement between the researcher and the respondent, whereby the respondent is assured that any information provided to the researcher cannot be traced back to the respondent. In the course of this research, confidentiality of the respondents has been prioritized. Thus, although respondents' bio-data was captured in some of the quantitative data gathering, these data has been treated as strictly confidential information, though many of the respondents are happy to make it public.

According to Kaiser (2009), the complexity of maintaining respondents' confidentiality in qualitative research cannot be underestimated. It is a delicate balance that needs to be maintained to gain reliable entry into the research process to present factual information to the academic audience, without jeopardizing the privacy and confidentiality of the respondents. Every survey instrument, attendance registers and signed consent letters have been properly documented, but was only made available to the advisor and consultants for verification and has since been kept confidential from any other party.

4.1.4 Confidential Data Management

Guerin (2014) argues that one of the ethical challenges emerging from postgraduate research is data storage as an aspect of general data management. The argument presents four key areas which include; awareness of data protection laws, collecting only the necessary data, a more secure storage for identifiable data and being aware of security standards and failsafe measure of the data storage system. These areas are generally designed to help maintain the ethical promise made to the respondents in the course of the study to guarantee that the information they volunteered has not been compromised in any way and importantly, it has only been used in the pursuit of the goals that are largely disclosed to them. This viewpoint agrees largely with the ethical responsibilities on data storage as captured in the works of Weikgenannt and Turner (2013), who argue in the same

direction raising these four critical points although with significant argument towards a business responsibility in customer protection, trades and financial accounting. The main argument of Guerin is that if the research data is not properly "treated" and stored safely, it could cause harm to the response. As such, the research suggested that research data need to be anonymized and for those with graphic contents such as containing visuals be de-identified, so that they are protected even when they fall to the hand of third parties. The de-identification process is targeted at coding respondents' details and responses alphanumerically, rather than storing them with their real names or the community from which they have come. This research has already conducted a process of anonymisation of respondents, in keeping with the University Ethical standards and the consent agreement signed with the respondents and the de-identification process has also been applied to the visual materials captured. Importantly, all the research data has been stored in the researcher local system and a personal data storage drive dedicated to the research. The use of cloud storage and other online sources has been minimized because of the risk of hackers, who can remotely access the data and use it for other means different from the research purpose.

4.1.5 Conflict of Interest

A conflict of interest is a scenario whereby professional judgment concerning a primary interest is impaired by a secondary interest (Thomas 1993). The research case study has been chosen to completely avoid any known conflict of interest. Prior to this research, the researcher had not had any interaction with any of actors in the discourse: British Gas, StatOil, ExxonMobil, TPDC or Ministry of Energy. Also, for the TASAF project, the researcher had not had any interaction that could influence my findings in the course of the research with the project team. As such, this research is completely independent of the case study to prevent conflict of interest, to protect the research integrity and ensure objectivity of the research findings.

4.1.6 Acting in Good Faith

The Encyclopedia of Commercial Law (2012) describes acting in good faith as an overarching term that connotes a sincere belief or motive, without any malice or desire to defraud others. All actions and interactions in the course of the research has been carried out in good faith in the interest of all parties, particularly to protect the research integrity. As such, all information gathered in the course of the research has been strictly used for research purposes only and

protected in line with the United Kingdom's Data Protection Act (2010). The information gathered has not, and would not be subjected to any business use or legal prosecution use. Ultimately, this ethical code has been adhered to strictly in line with Middlesex University's research ethical standards.

4.1.7 Avoiding Inducement

Mosse (1995) argues that inducements could corrupt the outcome of a research. This could be in terms of financial inducement or a promise of power in terms of power relations. In the course of this study, efforts were made to ensure there are no inducements either to influence respondents to be part of the study or influence the viewpoints on the discourse. Practical efforts were also made to ensure that the research is conducted independently from any investor's support either by direct funding or by providing associated supports such as logistics or influencing government approvals. This was designed secure research independence, data integrity and adhere strictly to Middlesex University Ethical standards. Although it should be noted that this constitutes a major challenge to the research, it has been skillfully managed with adequate consultation, transparency and engagement with respective parties to understand the ethics behind the research.

4.1.8 Frauds and Financial Sensitivity

Brydon-Miller (2012) opines that researchers in development studies could easily become stooge to large investors or corporate bodies for funding their research, which may influence the research outcomes. This is primarily because a research could make discoveries that would damn the image of the corporate organisation. On this note, it is pertinent to reiterate that the research is personally funded to plug this gap. External funding has not been sourced because of the sensitivities of the concept in question – participation of project affected persons. More so, this research complied fully with the UK Financial Service Authority (FSA) guidelines and Anti-Money Laundering Act.

4.1.9 First Language

The World Bank Social Environmental Health and Safety Guideline (2001, reviewed 2013) and the IFC PS (2012) place strong emphasis on conducting community research in first language. This is to ensure effective communication between the researcher and the respondents, and to allow the respondents the true comfort of providing the right answers to the questions asked or contribute

meaningfully to the discourse. All survey instrument used in communities in the course of the research were designed and administered in Kiswahili, the first language of the respondents. This was maintained throughout the surveys to make the respondents comfortable throughout the research process.

4.1.10 Political Sensitivity

This research involves government at several levels and could be used to influence political opinions as well as equip local respondents with a sharper sense of awareness of issues involving them. Hickey and Mohan (2001) in agreement with Peet and Hartwick (2009), submit that development research always raises the question of citizenship especially when discussing community participation, and it could cause a sharper sense of awareness in the respondents. However, the research has skillfully maintained a balance to ensure that adequate information was gathered with utmost sense of carefulness not to heat the polity, particularly as this research was conducted close to the national electioneering campaign period for change of government at all levels in Tanzania.

4.1.11 Race, Gender and Vulnerability

Mensah (2008) argues that gender often times has been the least considered factor when planning participatory development. This is usually because when considering the locals, the researchers suddenly forgets that regardless of all being locals, there also exist several categories: the weak, the strong, the powerful, the powerless, the vulnerable and the power-mongers. He concludes that researchers should be gender sensitive and status aware when conducting development research and also consider the opinions of the vulnerable. Throughout this research, special emphasis was placed on the opinions of the women, children, youth and the vulnerable groups in the communities. This was specifically positioned to make their opinions count.

4.1.12 National Research Ethics

It was confirmed in the course of the research that researchers are not allowed to ask questions about the religion of the people. This constitutes a major ethical challenge for our research, as religious background was one of our guide questions. We had to eventually take out the questions

in compliance with the national research ethics standards and as stipulated by the Middlesex University Ethical Codes that recommends that researchers needs to comply with ethical standards of their research regions.

This research made adequate preparations to ensure that ethical breaches were avoided in the course of the study. This research followed closely with the Middlesex University Research Code of Ethics and also complied strictly with the ethical standards guiding research locally and nationally in Tanzania and United Kingdom. Also, being a work based research; extensive effort was also made to integrate the professional ethical standards applicable in the practice of social performance in every aspect of the research.

4.2 Research Ethical Challenges

Obstruction on Gender Sensitivity: At the inception of the study, the original design was to conduct the qualitative surveys along gender lines. This design was altered during the second phase of qualitative data gathering when the women self-help movement titled *No Need for Women Empowerment* gained momentum in Tanzania. This movement was popularly referred to as a *Wanawake Tunaweza Bila Kuzewesha* in Swahili. The focus of the movement was to scrap the nomination of women as Member of Parliament, rather, political parties should create political space to allow more women to be elected by popular vote. According to the activists involved in this campaign, the nominated female members of the parliament do not command the same respect as their male colleagues in the parliament. This movement created significant gender awareness far beyond the political space. As at the second phase of this research data gathering, some community women refused to be separated from the men during the meetings as they believe that they have equal rights to men.

Data Request by Project Coordinators: During the scanning phase of the research (see Chapter Five), the management team of the select projects engaged were briefed on the research ethical standards, which includes data confidentiality. However, when the survey started, many of the facts released by the project beneficiaries' / impact persons were new to the project managers. As such they saw the data as an opportunity to evaluate their works and make amendments. They requested for the raw data, particularly where the project has not succeeded. This request constitutes a breach of Middlesex University research ethic which has confidentiality as one of its

cornerstones and therefore the request for the research data was not granted after a long discussion to explain the University Confidentiality policy which negates such practice.

Ethical Complexity on Reporting Sensitive Information: In the course of the data gathering and the triangulation process of the data gathered, this research has gathered some information which appear valid, but do not have authority to publish. The complexity is divided into two areas; Senior Public Servant providing information under anonymity and dissatisfied community members expressing anguish due to the project impacts and anticipated impacts. In the case of the public service personnel, they provided information on the government's incapacity to implement policy action items as it relates to community participation in development projects. Unfortunately, because these details are provided anonymously, the source cannot be quoted. The same applies to affected communities with significant impacts as a result of the project development and implementation. Due to their unique situations and environmental realities, unpleasant information they shared could easily be traced back to them. This is capable of having significant backlash against them from the organisations and arguably, the government. This has become an area of significant complexity in the course of this research because although the information could have better enriched this research, publishing it could significantly endanger the wellbeing of the responsible party. Should this happen, it would breach ethical standards for Middlesex University and the ethical provisions of Social Performance practice.

4.3 Managing Research Ethical Challenges

The three ethical issues listed above constituted potential ethical challenge during the field work but they were properly negotiated with the stakeholders to reach a resolve. For the obstruction of gender divide during community meetings, some of the women who insisted they would join the men meeting were allowed after consulting with the men. According to the protesting women, separating them from the men during the meetings was a sign of inequality. To assuage this opinion, the women who are interested in joining the men in community meetings were allowed to do so, while a separate meeting was set up for the women who still want to be separated. This space has been created to ensure that the community members are not disenfranchised because of the research design to ethically protect gender divides. For the data request, the project stakeholders were engaged many times to help them better gain understanding of the ethical

standards they signed to on the research, which promises data confidentiality. Although they have some reservations about this, they understand ultimately that the primary aim of the study was for the University evaluation. Importantly, the project stakeholders were promised to be allowed access to the research once the University has approved it for the public. For the complexity on reporting sensitive information, data gathered from these sources are carefully exempted from the mainstream research findings, and confined to being used as "triangulation" materials when needed to ensure they do not breach the research ethical standards. The collected data have also been handled as such to ensure their integrity.

4.4 Conclusion

This section described the ethical standards that were adhered to in this research which have been described under thematic areas. In the course of this study, all the respondents were briefed on the provision of Middlesex University research ethics and ethical requirements of conducting social performance research. Steps taken to maintain ethical standards include: informed consent, confidentiality, acting in good faith, avoidance of conflict of interest, avoidance of inducement, clarity of purpose, compliance with international best practices on avoiding frauds and financial sensitivities, the use of first language of respondents and avoidance of politically sensitive issues. In addition, this research ensured that it adhered to national research ethics of Tanzania and United Kingdom. The research ethical challenges and how they were managed was also discussed under this section. The first challenged faced was the obstruction of gender divide where some women refused to be separated from men during the FGDs and felt it was a sign of inequality. This was managed by allowing the women to join the men but with consent from the men. Separate meetings were held for women who wanted separate meetings. The second challenge was that project managers' request for raw data from the survey to evaluate their works and make amendments. To maintain the Middlesex University's research ethics, the project representatives were briefed extensively on confidentiality and the dataset was not released to them.

The next chapter is project activity. The project activity chapter highlights the activities carried out in the course of the research by describing the application of methods and tools listed in the methodology chapter.

CHAPTER FIVE

PROJECT ACTIVITY

5.0 Introduction

This chapter gives an account of all the activities directed toward the research since the title registration. Although chapter three of this document already describes the methodology of this research, this chapter gives an account of how the methods are applied, step by step activities to achieve the field study that has informed this thesis.

5.1 Pilot Study

5.1.1 Background

The research topic is "Critical Examination of Community Participation in Development Projects in Tanzania". The case study for the research is Lindi Region, south of Tanzania by the border of Mozambique. The research proposal module (DPS4561[12]) clarified what would be considered a development project in the course of this research to be long term projects that are either funded by international development agencies, local investors, joint ventures partnerships with the government, either as a public utility, a core corporate investment, a public private partnership or any large scale investment specifically developed to better the lives of the people. It was also established that long term in this context would mean a project that operates or would operate for a minimum of 10 years. This was specifically highlighted because this period is to give enough time for the investors to manage anticipated project impacts. This is essential because projects within this category are usually prone to substantial land loss and /or other social and environmental impacts, leading to development induced displacement (de-Wet 2006), either physically or economically, directly or indirectly. Cassava Starch Tanzania Corporation (CSTC) was the case project for the pilot study. CSTC cultivates cassava for commercial production of cassava starch for both industrial and domestic use. As at the time of pilot study, CSTC holds about 4000 hectares of land in the Lindi Rural District, while they also depend significantly on the community farmers who have gone through their tutelage to produce cassava for them as out-growers. Three communities along the Lindi – Mtwara road – Mahumbika, Mtama and Muisho – are currently out-growing cassava for CSTC.

The aim of this research is to 'critically examine community participation in development project in Lindi region of Tanzania'. To pursue this aim, the research examined the activities of different stakeholders that make community participation work in development projects, identifying their understanding, roles and responsibilities, their commitments, actions and results thereof in pursuit of community participation, towards enhancing participatory development. This focus informs the objectives of the study which was designed to:

- To critically engage with identified development actors to examine if the identified stakeholders are adequate for the study.
- To critically engage with the respondents using all the proposed tools to ascertain if they are adequate for the study, exploring ethical challenges and anticipated research goals.
- To explore the nature of participation in the CSTC Project and the roles of select NGOs towards attaining participation on development projects in Lindi region.
- To critically examine community understanding of participation.
- To analyse the community understanding of relevant development policies to the project context such as the Tanzania Village Land Act of 1999 and the National Economic Empowerment Policy of 2004.

In the course of the pilot study, each of these areas were carefully examined to ascertain what research methods and survey instruments would best fit for the research and this has been developed alongside the contribution from the respondents during the introductory visits, considering their time in terms of availability, interest and readiness in discussing the topic at hand – community participation.

5.1.2 Methodology

As indicated in chapter three, the pilot study also applied a mixed methodology that involves the use of qualitative and quantitative methods for the study. During the community introductory meetings, it was discovered that the community members were better informed than it was anticipated. Although the level of education was not as high, the willingness to participate in the process and their experience in being part of development research was adequate hence the use of participatory research method was not necessary. The survey tools used for this research include: content analysis, semi structured interviews, questionnaires and focus group discussions.

5.1.3 Respondents Demographics

Total Number of Respondents		
Survey Instrument	**Female Respondents**	**Male Respondents**
Questionnaire	11	20
Interview	6	6
FGD	14	8
Sum Total	31	34
Grand Total	**65**	

A total number of sixty-five (65) respondents took part in the pilot study. The respondents were specifically chosen to reflect gender sensitivity, equal opportunity and in fact the vulnerable groups. However, there was a challenge in getting the same number of women, as there were more men in attendance for the quantitative survey due to the communities' social structures[13]. The pursuit for gender and vulnerability sensitivity is crucial to this study because research into social development often omits the roles of women and vulnerable groups, which are often times the most negatively impacted groups (The Calabash 2005 p. 6). More importantly, this is in compliance with the Middlesex University research ethical standards.

5.1.4 Pilot Study Challenges

a. Logistics

The team planned to book a bus service from Dar es Salaam to Lindi which price was pegged at thirty thousand (Tso 30,000: equivalent of about $20 each) as at the time of the proposal. Unfortunately, because the team scheduled to travel over the weekend, the price was doubled. This affected the financial projections of the pilot study and the main research in no small measure.

b. Gender Sensitivity

It was observed in the course of the study that men in the community are relatively more available to attend meetings because of the power structure in the family system. This is because women are more involved in the activities at home compared to the male partners. They do this as an addition to the normal farm works, which they are both involved. Based on this premise, setting up meetings for men and women at the same time was found to be impractical. The gender divides in roles and responsibilities in the communities affected the turnaround time of all the surveys.

c. Approvals

It was anticipated that getting approval for academic research would take a minimum of two working days to maximum of five working days following the standards as contained in the Ministry of Education protocol schedule. Unfortunately, in course of the pilot study, it was clearly communicated that such approval takes fifteen working days on the average and could extend up to three calendar months. This is due to limited number of district officers who are required to be present during the research process.

d. Livelihoods and Social Calendar

In the course of the pilot study, the communities had a couple of traditional burial rites (*Msiba*), which are usually delayed till during the dry season. During these rites, the communities do not attend to external issues such meetings or being part of any study until this period is over. The same applies to planting or harvesting seasons because they would be busy in their farms because cultivation activities are time bound. Aside from this, it was also confirmed that the communities usually have very busy schedule towards the *Eid* and during Ramadan, when they would be doing a lot of shopping and last minute harvesting in preparation for Ramadan or *Eid* festival.

5.1.5 Lessons Learnt

a. Methodology, Methods and Survey Instruments

Although pilot study was conducted using mixed method being the preferred approach for development research (Desai and Potter 2008), the use of unstructured interview as a survey instrument in community research essentially working on sensitive project is sometimes delicate. This is because people are often emotional when discussing project impacts, which may contradict the opinion of others. As such significant profiling to ensure that the respondents are of similar interests are considered before grouping them into a focal group for discussions, which is been used to replace community congresses.

b. Logistics

It is essential to have a back-up plan when designing the logistics program for field surveys. In the case of this study, all anticipated prices for the in-country study needed to be reviewed and the

team needed to avoid weekend travelling. Also, alternative field vehicle need be planned to move from Dar-Es-Salaam to Lindi rather than hiring vehicles in Lindi, far more expensive than anticipated.

c. Approvals

There should be prompt application for approval to carry out an academic research. This should be done well ahead of the survey period. There should also be follow up calls and reminders, to ensure approval is granted well ahead of the field trips.

d. Gender Sensitivity

Engage with the women separately to get a consensus of when they would be likely available to join the survey during the initial community congress. Although this played both ways at the final research, the point is, the socio-cultural realities in terms of gender issue should be considered critically in planning research studies.

e. Social and Economic Calendars

It was also learnt that there is need to engage with the community before planning the fieldwork calendar. This is to ensure that the survey does not affect the people's social or livelihoods calendar. If this is not done, it could lead to poor response or incomplete feedbacks as some key informant won't be available for the study.

5.1.6 Summary

Following the outcome of the pilot studies and lessons learnt, it was decided that the final study would be conducted using content analysis, questionnaires, semi-structured interview and focus group discussions.

5.2 Main Research Studies: Introduction

5.2.1 Case Study One: Tanzania LNG Project

International Oil Companies (IOC) in conjunction with the Tanzania Petroleum Development Corporation, (TPDC) looks to develop a Liquefied Natural Gas (LNG) plant in Lindi Region of

Tanzania. The IOC is a consortium of international oil and gas exploration and producing firms that has signified interest in gas exploration, production and marketing in Tanzania following the discovery of the over 13.5 trillion cubic feet of gas (TCF) in Tanzania between 2011 and 2012 (StatOil 2013, East African Business Week Oct. 19 2014, Offshore Technology, Oct. 15 2014, Oil Review Africa 28 Sept. 2012). The IOC LNG JV is made up of StatOil, British Gas (BG), Exxon Mobil, Ophir Energy and Pavilion Energy. The consortium is formed out of the joint interest to explore the block one and two of the of the Tanzania gas field which has yielded over 21 trillion cubic Feet (TCF) of gas as at the end of second quarter of 2015 (Bloomberg 2015). Additionally, two members of the IOC have also started additional exploration on the gas field two popularly referred to as the Tangawizi field. The Tangawizi field was reported to have discovered gas within the range of 10 to 13 TCF, which bring the entire Tanzania gas discovery to over 21 TCF of gas.

Indications from international analysts show that this discovery is capable of positioning Tanzania as one of the largest supplier of gas, not only along the East African corridor but across Africa. This is particularly possible due to the location advantage of the East African Country along the Indian Ocean, giving it direct access to the Asian market. The Asian market has been projected to be the highest consumer of energy as from 2021, the same year the Tanzania's LNG plant is expected to be fully operational (Bloomberg 2015).

5.2.2 Case Study Two: Tanzania Social Action Fund

Tanzania Social Action Fund (TASAF) was launched 2000 by the government of United Republic of Tanzania. The project focus mainly on improving social service delivery, addressing extreme poverty, essentially for the able bodied particularly in the area of food insecurity and to enhance their earning capacity. The main focus of TASAF is to deliver on its mandate through a Community Driven Development (CDD) Approach, which is believed to guarantee optimal participation and deliver best suited benefits (TASAF 2008).

The TASAF project is jointly funded by the Government of Tanzania (GoT) and multiple development agencies which include the World Bank Group, Organisation of Petroleum Exporting Countries (OPEC), Department for International Development of the United Kingdom (DfID), now rebranded UKAid and International Monetary Fund (IMF).

Since its establishment, the project has provided support for over ten million Tanzanians spread across the mainland Tanzania and the island of Zanzibar. The project has been developed in streams. Over the last 16 years, there have been three streams. The Stream one of the project was between 2000 and 2005. The first stream funded 1,704 subprojects with implementation cost running at TZS72 billion, an equivalent of 50 Million US$. The stream one of the TASAF project alone benefitted about 7.3 million people in Mainland Tanzania and all the districts in Zanzibar were reached. The second phase of TASAF took place between 2005 and 2013, which was mainly designed along the lines of the Millennium Development Goals (MDGs), with its attendant strategy by the Government of Tanzania (GoT) captioned Mkukuta, targeted towards delivery by the year 2010 and Mkuza 1 targeted towards delivery by the year 2015. TASAF Stream 2 focused more on capacity building to improve availability and delivery of social services as well as significant support for vulnerable households. It is also geared towards developing the participants' capacity to embrace savings culture via creating a voluntary savings group alongside the community-based conditional cash transfer projects. In all, a total of 12,347 subprojects are funded to the tune of TZS 430 billion. The third stream of the TASAF project has been designed to consolidate on the existing successes of TASAF over the last two streams spanning 13 years, plus the new national agenda to eradicate extreme poverty, the Productive Social Safety Nets (PSSN). PSSN is targeted at building permanent blocks of a social safety in the country. The stream three is designed to consolidate on the achievement of TASAF over the years and reaching out to additional 1 million households across the country. Following the same CDD approach, the TASAF III is expected to:

- Put in place the building blocks of a permanent national social safety net (PSSN)
- Scale up budget for PSSN to reach over 1 million poor households
- Consolidate the impressive achievement of TASAF-II using CDD approach to facilitating implementation of public works, income generating activities for poor and vulnerable groups
- Fill gaps in light of demand expressed by communities
- Scale up conditional cash transfers, community savings and investments, and livelihood enhancement
- Ensure functionality of created assets (education, health and water)

- Improve Institutional Arrangement for effective support to poor communities

5.2.3 Research Studies Approach

As mentioned in chapter 2 of this research, the concept of development has been contested theoretically and in practice, and it is intrinsically complex and ambiguous (Sumner and Tribe 2011). Sumner and Tribe (2011) further argue that research in development has epistemological variety, which reflects in its cross-disciplinary nature. The understanding here is that there are several areas of practice that contribute to what is termed development as they have opined above. As such each of these diversities have to be ably represented to make the research rigorous and reflective of their roots. In conducting the fieldwork in development, Binns (2012) opines that from a logistic and research planning point of view, there are several factors that should be considered. The important factors include: willingness of the local elders to support the research, local transport and travel arrangement, accessibility of the research area and health and safety related issues. Binns emphasizes the need for adequate time planning around the livelihoods and social seasonality of the community as it affects the research interest. Binns (2012) argues that:

> *The timing of the fieldwork can be quite crucial and should be based on local knowledge that you have managed to acquire. For example, undertaking fieldwork during the rainy season can be difficult and uncomfortable. But if you avoid the rainy season, you could actually miss much of the farming activity, when people are working at their hardest, when food may be in short supply (the so called 'hungry season'), and when community health and welfare are usually under considerable pressure.*

(Binns in Desai and Potter 2012 p. 14-15).

The perspective from Binns as stated above has greatly influence on the planning procedure adopted for this research study, particularly in scanning, scoping and agenda setting to ensure there is adequate buy-in from the communities. This has been designed to ensure that the community surveys are feasible. From an epistemological standpoint, Sumner and Tribe (2011) believe that research in development usually benefits from a combination of epistemological approaches. Summer and Tribe (2011) argue that:

In contemporary development studies, both Positivism and Relativism have a clear influence. Positivism, with a descriptive function in measuring and quantifying phenomena (...) and also with analytical function in the type of quantitative modelling, which is particularly prominent in the research output of IMF and the World Bank has an important role. Relativism also has a strong influence in the interpretation and understanding of development through discourses such as the post-development critique, and also in the rise of participatory approach to research in development studies.

(Sumner and Tribe 2011 p. 69 to 70).

From the perspective of Sumner and Tribe (2011) above, a systematic approach has been adopted in this research, to critically screen and evaluate the case studies, weighed against the criteria set out in the research terms of reference. This is to ensure they fall within the planned project perspective. Thus, a structured procedure has been set out to ensure that the objectives of this research are reached by following these clearly spelt out processes. The processes below have been designed to ensure that the research is replicable and measurable particularly as it is a research in development studies, which is often poised to not just contribute to knowledge alone, but rather to contribute to knowledge and practice (Sumner and Tribe, 2011 p.69). This section focuses on four main approaches that guide the choice and methodology, particularly in the selection of the case study, to ensure they reflect the Terms of Reference of the Research. They are namely: scanning, scoping and agenda setting and study.

a. Scanning

This is a preliminary exercise that was conducted to understand the project situation in Lindi region of Tanzania that fits within the TOR of the research. This period entailed a critical exploration of projects and a consistent cursory review of the research proposal to better refine the direction of the research in selecting projects that contains adequate characteristics to fulfil the project TOR. According to the project TOR, this research looks to conduct a critical examination of community participation in development projects in Lindi region of Tanzania. A development project in this context has been defined as any project that is geared towards making the lives of the people better (Peet and Hardwick 2009). Closing up on the TOR, it has been further defined within the TOR that projects within the confines of this definition would ideally be an internationally funded project, public-private partnership or any international initiative that is directly targeted at

emancipating the quality of the lives of the people. In terms of timeline, it has also been designed in the TOR that the project should be a project with a lifespan of ten years and over. The two select projects for this research fits adequately within the TOR of this research.

The LNG Project led by the IOC LNG JV with the TPDC is a long term project with a pre-operational period of over 5 years and the lifespan of the plant in excess of 40 years of operation. Furthermore, this project fits within the project terms of reference because the IOCs are international investors and by the research TOR, it is also a long-term project which aims to better the lives of the Tanzanians.

TASAF Project is a social action project designed specifically to deliver value for the people by creating a chain of activities that makes the people's lives better. It is a development project with a lifespan of over 10 years as it has been in operation for over 13 years already. TASAF is funded partly by the Government of Tanzania and mainly by international development agencies such as the World Bank and UKAid (DfID).

b. Scoping

This is more like a design phase of the study. It was a period of analytical engagement of the selected projects to gain an understanding of the project component, project goals, anticipated project deliverables and the key results so far. It was taking a closer look at the chosen projects. It was also a period of identifying the project stakeholders, mapping them in order of their stakes and interests and primarily engaging them to see their interest or otherwise in the research. This phase also entailed conducting pre-disclosure of what the research entails and how the data gathered would be used and who would have access to such data and findings. This period also involved the design, modelling and re-modification of survey tools and methods to fit perfectly within the select project situation and the directly impacted community scenario. This phase of the research explored the anthropological perspective of the project affected areas to gain an understanding of their history, antecedents and norms which could inform basic characteristics of their lifestyles.

On the project side, it was an exploration of what and who informs the investments, what is the nature and stature of the investment and the situation of the project developers. It was also a period of exploration of the project environment in entirety to determine the best approach to apply in

response to the community situation, the project realities and the other active stakeholders. Also, at this point in the research, the methodology was further sharpened to ensure it could achieve the goals set out in the project terms of reference (Desai and Potter 2012).

The two project case studies in this research are located in Lindi region of Tanzania and particularly in Lindi Municipal and Lindi Rural District. Though the scoping was conducted separately with different stakeholders, it was conducted with the same local government agency – Lindi Rural and Lindi Municipal. In terms of institutional engagement, the TASAF head office in Dar es Salaam gave approval for the study while approval to conduct a research on the LNG was given by the Lindi Rural and Lindi Municipal District Executive Directors. Other stakeholders in the process include Regional Commissioner, Lindi Region, TASAF Office, Lindi Rural, NGOs in Lindi Region and the District Assembly. The most important section of this phase of the study was the initial engagement with the direct project communities. Although the initial physical engagement with project community was done under agenda setting stage of the research, this scoping stage was basically to explore from a theoretical perspective, who the project community members are. This was to gain understanding of their historical antecedents, their culture, their norms and mores. This exercise was necessary to gain a smooth entry into the community for a more physical engagement without crossing the bounds of local ethics and etiquettes.

c. Engagement Planning

In line with the terms of reference of this research, engagement planning with critical stakeholders was crucial to the entire study. As planned the most critical stakeholder in the course of the research remained the project communities, as such the focus of the agenda setting stage was on the affected communities. The communities were engaged in sharing the idea of the research and the process involved. This stage of the planning was basically to gain the larger community buy-in on the research without any specific question asked on the project under review. This phase of the study was designed to gauge the level of interest of community key stakeholders in the research. It was also the planning period to set the agenda for the main survey, in terms of date, time and temporary agreement in principle to conduct the surveys. It was a period of engagements, initial disclosures and approval seeking. It was a phase of engaging selected communities and profiling in terms of project impact and suitability for the research based on the level of impact. This period was an opportunity to disclose the ethical standards guiding the research process to the people. This

disclosure involves explaining the goals of the research and what the anticipated outcomes of the research would be. Importantly, it was a phase in which the University research standards were explained to the people and why the research should be voluntary and independent without any inducement, malpractices or conflict of interests. Finally, it was a phase of gaining approval from the community leadership, opinion leaders and community members to allow the community to participate in the research.

Dates were chosen in different communities and community opinion leaders were consistently engaged in order to be informed should anything have happened that could change the agreed dates. These dates were selected carefully around the religious, social and livelihoods calendars to ensure that the research study does not interfere with the community calendar. This was a lesson learnt from the pilot survey, when it was discovered that the social, religion and livelihoods calendar of the people determines their availability for any research study, including project baselines and academic researches. The people anticipated an entitlement from the process, usually a compensation. This is due to popular procedures when surveys were conducted as result of project impacts. This was difficult. The communities had to be engaged extensively that this is an academic research study and the respondents do not get compensated for information volunteered. Under a project situation, the respondents have a far greater stake in the study because it usually involves immediate compensation, as such, people are motivated to attend. In the case of this research study, most of the respondent are people willing to share their experience on the subject matter/ project under review and a few who are curious about what the project entails, made themselves available for the survey.

5.2.4 Surveys

a. Survey Samples

According to the research Terms of Reference, this study was designed to sample three communities for each project scenario. However, the realities of the projects chosen as the case study for the research spread unequally alongside the project terms of reference. The Tanzania LNG Project pioneered by the IOC LNG JV with TPDC spread across 9 communities split between two local governments areas in Lindi Region of Tanzania – Lindi Rural and Lindi Municipal. The TASAF projects have a peculiar scenario. Projects are targeted at each community scenario and as

such, to examine a particular project, only one community needed to be surveyed/sampled. As a result of these realities, the surveys conducted for each of the project scenarios are not entirely in line with the design of the project Terms of Reference.

Due to the spread of the impact, the survey for the LNG project and the TASAF project were carried out across the nine impacted communities in Lindi Rural and Lindi Municipal and two benefiting communities in Lindi Rural Districts respectively. The directly impacted communities are listed below:

IOC LNG JV Project Communities: Kikwetu, Likong'o, Makonde, Masasiya Leo, Mbanja, Mitonga, Mtomkavu, Nagiriki, Namtutu

TASAF Project Communities: Pangatena, Linoha

All the nine communities surveyed under the LNG project are directly or indirectly impacted by the project in different degrees. It should be noted that gas exploration is offshore, as such none of the communities would be displaced as a result of the direct exploration, rather the displacement and related impacts would come from development of infrastructures that would be built to process, package and transport the gas materials from the waters to the end-users. In some cases, some of the communities would be indirectly impacted to give space for the gas processing plants and the oil and gas industrial park, the expansion of the airport and other related amenities that would be relevant for the successful running of the gas processing and packaging industry. These communities have been engaged significantly in the course of this study to understand their viewpoints on participation generally and specifically to this project at hand.

Due to the nature of the TASAF projects, two Sub-Projects under TASAF III were selected as case studies for the research as such two communities were engaged. The two projects are located in Lindi Rural District of the Lindi Region of Tanzania.

b. Communities Engaged Under the TASAF Project
Pangatena

Pangatena is along the Lindi Mtwara Road, on the highway that leads to Mozambique. The project selected here is a small livestock project developed to empower the aged and vulnerable. The

project is referred to as the sheep and goat project. Every household / impacted person involved in this project in Panagatena was engaged. There was an engagement with the leadership of the community to understand the selection criteria, the project feasibility and performance in all. This is to proactively triangulate the information supplied by the project leads from TASAF. Also, the government representative in charge of livestock and agricultural extension service in the area was also engaged to see where the project sits within the district development plan, including the district perspective to the participation of the project affected and participatory development as a whole.

Linoha

Linoha is located in Lindi Rural District off the access route to Mbeya via Nachingwea District. Linoha is about 40KM from any major road leading to Nachingwea. The TASAF project in Linoha is the provision of infrastructure which include: a community health post, a community football pitch and two-additional classroom blocks for the community primary school. The TASAF project in Linoha is for the entire community and communities close by. Prior the construction of the health post, people in Linoha and its environs travel at least fifty kilometres to access the closest health center, which is on Nachingwea road. The football pitch was conceived to plug the recreation facility gap in the community and its environs. The additional classroom project was also in a response to the inadequate classroom for the children to study which significantly affect the school enrolment rate in the community. As proposed in the project Terms of Reference, extensive surveys had been conducted in Linoha, first to understand the various states of the service users and the community as a whole. This is to understand the perspectives of the community to the projects and their level of participation on its development.

5.2.5 Institutional Engagements

Aside the engagement with the direct project communities as listed above, there has been extensive engagement with other important stakeholders. The District and Municipal leadership of Lindi Rural and Lindi Municipal respectively have been engaged extensively to gain their buy-in to conduct the research within the district being the case study area and also to support with introduction letters to the communities to facilitate acceptance. For the LNG project, due to the confidentialities around the land acquisition process and the entire gas plant and the gas packaging

operational procedures, the project was not completely open to the public, information was supplied on a need to know basis. Institutions engaged on this study include:

a. *Ministry of Lands*

Infrastructure project often requires significant land take, which often leads to development-induced displacement (de-Wet 2006). As such, the Ministry of Land in most economies are responsible for developing adequate cushion to manage the impact of development-induced displacement such that the land take will not result in a significant adverse impact to the existing land user (WB OP4.12 2013, IFCPS5 2012). The Ministries of Land is usually the first point of call for international investors to understand the land tenure and the acquisition process as most infrastructure projects are land based. In Tanzania, the ministry responsible for this activity is the Ministry of Land, Housing and Human Settlement Development (Jamhuri ya Muungano Wa Tanzania, Wizara ya Ardhi, Nyumba na Maendeleo ya Makazi). The remit of this Ministry is to provide overall land administration for the country and monitor effective use of land, while providing services such as: urban and rural planning, survey and mapping, land and housing administration, property valuation and land titling. On the LNG Project, the ministry of land working together with other stakeholders, earmarked the land area required for the gas processing plant and the project Right of Way (RoW). They are also responsible for guiding the IOC on land acquisition process while the latter is expected to conform to these standards and other international safeguards in line with their corporate culture and the requirements of their lenders. In most cases, standards applicable here is the International Financial Corporation (IFC) of the World Bank Group Standards on Land Access and Involuntary Resettlement (IFCPS5 2012), among other standards. According to the Tanzanian laws and specifically, the National Economic Empowerment Policy (2004) and the IFCPS, both the Ministry and the IOC are jointly responsible for citizenship engagement either individually or collectively, in accordance with the land laws of the country. This Ministry has been engaged significantly to understand the institution's perspective to participation on the IOC LNG project in Tanzania. The engagement with the Tanzania Ministry of Land has been in form of desk research within the Ministry, Key Informant Interviews and review of operation policies and reports developed as a result of the Ministry's involvement on the IOC LNG JV Project.

b. *Ministry of Energy and Minerals*

The Ministry of Energy and Minerals (MEM) was established to oversee the development of energy and mineral sector. By the remit of this ministry, it is understood that energy and mineral resources play a crucial role in poverty reduction and in supporting socioeconomic development. As such a necessary component of the ministry's mandate is to prioritise socioeconomic development and poverty reduction in the management of resource exploration and energy development. Importantly, MEM is responsible for gas exploration and packaging which is the main activity of the IOC LNG JV with TPDC. The engagement with this ministry was first to understand their remit in details and by extension, how this is applied in project scenarios, particularly on the IOC LNG JV. The emphasis of this engagement was on how they actualise their roles in supporting socioeconomic development and reduction of poverty through mineral exploration and energy development. An interesting feature of engagement with the MEM is the Petroleum Act of 2015, which builds on the National Energy Policy of 2003, the Rural Energy Act of 2005, and the Electricity Act of 2008. Although the Petroleum Act was not particularly designed as a guidance tool for the participation of Tanzanians in the development of the energy and particularly the petroleum sector, the concept of participation still features prominently, essentially in developing local content and participation in corporate social responsibilities. It should be noted, however, that this extent of participation could not be referred to as standard in community participation. Engagement with MEM has been through review of policies and conducting Key Informant Engagements within the Ministry.

c. *Tanzania Petroleum Development Corporation*

Tanzania Petroleum Development Corporation (TPDC) is a subsidiary of the Ministry of Energy and Minerals (MEM) which is responsible for all oil and gas matters. The mission statement of TPDC is to "participate and engage in the exploration, development, production and distribution of oil and gas and related services; facilitate a fair-trading environment; safeguard the national supply of petroleum products; at the same time develop quality and safety standards to protect people, property and the environment" (Government of Tanzania Notice No. 140 of 1969 p. 3). By its remit TPDC is solely responsible for the acquisition of exploration and production rights; contracts, hold equity or participate in oil and gas concessions, franchises, and licenses and manage any legal parties delegated to the corporation. TPDC has been engaged through the agency's policy

review, Key Informant Engagement and review of site visit reports developed in the course of the IOC JV LNG project development.

d. International Oil Companies (IOC)

The International Oil Companies (IOC) is a consortium of international oil and gas exploration and producing firms that has signified interest in gas exploration, production and marketing in Tanzania following the discovery of the over 13.5 trillion cubic feet of gas in Tanzania between 2011 and 2012 (StatOil 2013, East African Business Week Oct. 19 2014, Offshore Technology, Oct. 15 2014, Oil Review Africa 28 Sept. 2012). The IOC LNG JV is made up of StatOil, British Gas (BG), Exxon Mobil, Ophir Energy and Pavillion Energy. Joint venture operation is becoming quite popular in oil and gas industry. This is usually as a result of multiple and sometimes conflicting interests on all fields and exploration licenses. In some cases, the collaboration is designed to spread the risks and equities, which usually happens in high risk emerging economies. The consortium is formed out of the joint interest to explore the block one and two of the of the Tanzania gas field which has yielded over 21Trillion Cubic Feet (TCF) of gas as at the end of second quarter of 2015 (Bloomberg 2015). Engagement with the IOCs has been through a desk review of individual corporate policy on exploration, production and local content of each of the JV parties. Several unsuccessful attempts were also made to engage the project leads in- country.

e. TASAF Management

The TASAF Management Unit (TMU) comprises of the Executive Director, Director of Public Works Programme, Director of Community Development Initiatives and Director of Finance. As part of its mission and objective, TASAF enables poor households to increase incomes and opportunities while improving consumption and developing their capacities. The main goal is to empower the key stakeholders involved in poverty alleviation activities through a community-driven development approach, which embraces adequate participation in social and economic development agenda. TASAF Management engaged in the course of the study are at two levels: National and District. At the National level, approval was sort to conduct the research, particularly to engage the directly impacted. At the district level, engagement was more site specific, which includes gaining understanding of the streams of the project, the target audience and the project

location. The mode of engagement here is mainly through Key Informant Engagement, document review and joint site visits with the district management team.

f. Lindi Based NGOs

More recently, attention has turned to NGO's political role in development. More studies are being conducted on NGO activities and their contribution towards empowering the less privileged. Often, NGO activities are targeted at educating the masses towards building a forthright and conscientious society and creating the required space for liberal democracy to flourish (Mercer 2002, Desai and Potter 2012, Desai 2008). In a more critical submission, Desai (2008) argues that:

> *NGOs are popular because they demonstrate unique characteristics and capabilities – they are perceived to be flexible, open to innovation and able to access the poor through work at the grassroots level. NGOs play two main roles, either service delivery or policy advocacy. As service delivery agents, NGOs provide welfare, technical support, legal and financial services to the poor, or work with community organisations in basic service and infrastructure provision. This is frequently a matter of filling the gaps left by the partial service delivery of government withdrawing from involvement in provision*

(Desai 2008 p. 526).

It is no news that there is a significant service delivery gap usually in emerging economies (Deeze and Sen 2010, Sen 1999). NGOs, essentially in the emerging economies usually help plug these gaps in many emerging economies, which often grounds them in understanding the local temperatures as regards social and economic realities of the excluded poor. To gain insight into their experience and contribution to practice in Lindi region of Tanzania, this research has sampled the opinion of group of NGOs operating in Lindi Region of Tanzania in the course of the field surveys. This is to gain understanding of their perspective to participation as contained in the national policies they are familiar with, in their corporate agenda and finally in their professional practices on a project by project basis. Among other things, this engagement was conducted to see how they perceive community participation, how they use it and how they think it can be improved to deliver optimal support for development of the people. In the course of the field surveys, twenty-one NGOs comprising of both local and international NGOs were engaged anonymously. Three

of the NGOs are involved in the educational sector, seven are involved in the health sector and 10 in involved in multiple development activities at the community level.

5.2.6 Survey Methods and Tools

The research combines quantitative and qualitative research methods. The main quantitative survey tool used in the course of the research is the questionnaire, while within the qualitative framework, there is a further mix of qualitative tools. The two main qualitative survey tools used in the course of the research are: Semi- Structured Interviews also known as Key Informant Interviews (KII) and Focus Group Discussions (FGDs).

a. **Quantitative Surveys Tools**

In development research, quantitative methods have typically been the main focus. This is in part due to the significant concentration of many development agencies on economic growth perspectives when analyzing poverty. The main focus is measuring 'how much is happening to how many people' (Mayoux in Desai and Potter 2012 p. 116).

Questionnaire Surveys

In the course of the field research in Lindi, 482 questionnaire surveys were conducted across the nine potentially impacted communities on the IOC LNG JV project. This was spread across the gender and age range. Although due to the difference in community sizes, the samples sizes vary significantly. For the TASAF Project, 54 surveys were conducted in two communities for the two projects under review. These surveys were for directly impacted community stakeholders of the projects, measuring their level of involvement, their definition of participation and their position of participating on the projects. The quantitative surveys were conducted using questionnaires administered in first language of the respondents – Kiswahili. It was a range of questions to measure their understanding of participation, components of participation, and their level of participation in the project and their best practice experience of participation in any project they know. In the case of the IOC LNG JV project and the infrastructure project by TASAF, the sample size has been stratified. This is essential because this research strives to attain adequate reflection of the sampled community, by exploring gender, age and other differences such as vulnerability and differently-abled persons amongst the respondent. The rationale here is that the respondents

are jointly cohabiting in the community and it would be crucial to see how they perceive the changes around them in view of their socio-structural differences.

Table 5.2: Summary of survey communities and questionnaires

Community	Population	No of Questionnaires	Project
Kikwetu	1,045	76	IOC LNG JV
Likong'o	454	59	IOC LNG JV
Makonde	1,154	11	IOC LNG JV
Likong'o Masasi ya Leo	513	54	IOC LNG JV
Mbanja	350	82	IOC LNG JV
Mbanja Mitonga	307	41	IOC LNG JV
Likong'o Mto Mkavu	222	80	IOC LNG JV
Nagiriki	-	76	IOC LNG JV
Namtutu	-	3	IOC LNG JV
Subtotal		**482**	
Pangatena	1689	18	TASAF
Linoha	747	36	TASAF
Subtotal		54	

b. **Qualitative Survey Tools**

This survey tool was essential to this study because there are concepts in participation that cannot be measured numerically in social development.

Key Informant Interviews

Key Informant interviews were conducted in the course of the field surveys on the IOC LNG JV and TASAF projects for community leaders in addition to institutional engagement. This particular tool was used to measure the feedback of all project affected community leaders. For the IOC LNG JV project community leaders were chosen specifically because they represent the government in their communities and they were also the community representatives to the meetings with the IOC

and other JV partners. At the institutional engagement level, the key ministry or agency representatives were the focus of the key informant engagement because they are responsible for the input and feedback to their organisation.

Table 5.3: Key informant Interviews for Institutions

Institutions Engaged	Personnel Engaged	Number Of Engagements
Office of District Executive Director, Lindi Rural	DED, Lindi Rural	1
Office of District Executive Director, Lindi Municipal	DED, Lindi Municipal	1
Office of Regional commissioner, Lindi	RC, Lindi Region	1
Ministry of lands	Principal Land Officer	6
Ministry of Energy and Minerals	AC, Minerals	2
Tanzania Petroleum Development Corporation	External Affairs Manager Office	3
International Oil Companies Representatives	None	None
Administrative Headquarters, TASAF	Administrative Director	2
Field/ Regional Operations office, TASAF	District Coordinators & Field Officers	5
Six Lindi Based NGOs	District Team Leaders	One (1) each
Agricultural Extension Office, Lindi Rural	Agricultural Officer	5

FGDs

From the early analyses of the quantitative surveys conducted, six of the nine potentially impacted communities confirmed that they were aware of the project. As such to better triangulate the information gathered in these communities, the focus group discussion focused mainly on these groups. In all the six communities, four main groups were specifically targeted: Leaders, Male, Female and Youth. However, during the survey, only the leaders, male and female focus group

discussions were conducted due to the small size of the communities and the minimal age difference between the youth and adult males and females. This methodology has been adopted based on gender gap as clearly understood during the scope study and also borne out of experience in social sustainability practice. This tool was designed to measure the community level of information, involvement and ultimately participation in the project and essentially the groups' perspective of what participation should be. Eight focus group discussions were conducted under the IOC LNG JV project, two in each of the four communities. For the TASAF project, three focus group discussions were carried out. Two in Linoha for males and females and one in Pangatena for the beneficiaries of the livestock project. For each focus group discussion, there was a minimum of 4 persons and a maximum of 10 persons.

c. Other Methods

There are other approaches to social research survey which have not been applied in this study. Some of these approaches include: unstructured interview and participatory methods, which have been described in chapter 3 of this research.

5.2.7 Data Analysis

As proposed in the research Terms of Reference, a mixed method approached was used in the analysis of both the quantitative and qualitative data gathered from the survey. The quantitative data was analysed using data analysis software specifically SPSS and Microsoft Excel. The demographic data for the different projects were analysed in Microsoft Excel to compute sums and averages and to generate tables and chart for the different variables. SPSS was mainly used for the correlation analysis.

Since, the purpose of the study was to identify the extent of community participation in planning and implementation of development projects, several variables were identified from the review of literature that constitutes to some extent participation. Some of the variables include information sharing, consultation, knowledge of project information, and community perception of participation, among others. These variables were correlated to ascertain the exact relationship between them. The results were interpreted and the qualitative data was used to confirm, contradict or explain further the results. Spearman's correlation was used in this study because the type of

data was both nominal and ordinal, the not normally distributed and there was a monotonic relationship between the variables.

The qualitative data provided more insight into the project details, the selected communities and the extent of implementation and participation. This information was used more descriptively along the different thematic areas outlined in the Chapter 6. The qualitative data was also used to explain and corroborate the results from the quantitative data.

Content Analyses

Based on the research design, content analysis was used to analyse selected Tanzanian development policies that focused on participation of the citizens such as the National Economic Empowerment Policy, 2004; Tanzania Vision 2025; Village Land Act, 1999; Environmental Management Act, 2004 and the Petroleum Act, 2015. Content analysis was also used to identify the participation component of the corporate policies of the IOCs. In addition to this, the projects were examined to ascertain whether they reflect the strategies for participation stated in the policies or otherwise.

5.3 Field Survey Challenges

a. Logistics

Logistic remains a challenge conducting research in emerging economies. Although due to the potential gas exploration in Lindi, there has been significant infrastructure upgrade particularly in terms of road access. The road from Dar Es Salaam has received significant repairs and has become more motor worthy towards the end of the field survey compare to the initial phase of the project when it was literally a death trap for road users. However, despite this facelift, the roads to local communities off the inter-city network are yet to receive any improvement. Travelling to Linoha community, a distance of about 62km takes an average of 2 hours one way due to the poor state of the road. This often affected meeting times and research schedules as only a meeting and maximum of two can be conducted in a day.

b. Approvals and Transparency

Lessons have been learnt in the course of the pilot survey to understand that there is need for ample time to gain approval from government ministries, departments and agencies in Tanzania. This was not expected of non-state actors such as the IOCs. Throughout the field survey period in Tanzania, all the correspondence to the IOCs were not replied. In fact, when their consultants were contacted, they declined to share any information about the project and even denied acting on behalf of the client until they were quoted based on evidential record from one of the notes taken at one of the community meetings, corroborated by the information made available by one of the ministries. This lack of approval to engage the project proponents also constituted a challenge to the project.

c. Vulnerability of Stakeholders

Particularly on the TASAF small livestock project, engaging the vulnerable households who benefitted from the project was challenging. They have various degrees of vulnerabilities. They are all very old, well over 60 years and they are also either blind, lame or completely crippled. Engaging these category of respondents was very emotional, essentially when the experience was not pleasant. To listen to them narrate their ordeal in trying to live up to what it takes to sustain the responsibility of the small livestock programme was challenging.

d. Language

Conducting research in second language can be very challenging. This challenge was factored into the grand plan at the design stage of the research. Although the researcher possesses basic working competency in Swahili, explaining complexities around the concept of participation outside the colloquial interpretation of the concept actually posed a challenge. Majority of the respondents that witnessed the late end of the socialist movement in Tanzania are skeptical about the concept of participation because they believed it was what moved the country into recession. To explain that the concept 'participation' transcends "just uniting people" for common course was very challenging. Although this was done eventually, but conveying this in Swahili was almost like carving a totally new meaning to an existing diction.

CHAPTER SIX

RESEARCH FINDINGS AND DISCUSSIONS

6.0 Introduction

This chapter presents results, analysis and discussion of surveys conducted in communities affected by the IOC LNG JV and supported by the TASAF projects described in chapter one. This chapter also covers a review of national and corporate policies and safeguard documents as outlined within the research terms of reference. The findings and analysis have been presented in line with the research objectives. As described in chapter three, the study used a mixed method approach comprising of quantitative and qualitative data collection. The quantitative data was analyzed using Microsoft Excel and SPSS, the qualitative data was analyzed along thematic areas, while the corporate policies and Tanzania national policies were analyzed using content analysis.

6.1 Research Findings and Analysis

This section provides a summary of the research findings from the field study and analyses. It has been categorized thematically to align with the stated research objectives. The presentation of the findings starts with the quantitative results (presented in charts and tables) which is further reinforced or diluted by the findings from the qualitative study. This is followed by brief analysis of the findings from the field studies. The findings from the review of selected national policies and the corporate policies of the case study projects were also presented separately in section 6.13 and 6.14 of this chapter.

6.1.1 Demography of Respondents, Nature of Participation and Role of Non State Actors

6.1.1.1 IOC LNG JV

A. Population of Respondents, IOC LNG JV

A total of 481 respondents were interviewed from nine different communities directly impacted by the IOC LNG JV. The communities include Kikwetu, Likong'o, Makonde, Masai ya Leo, Mbanja, Mitonga, Mtomkavu, Nagiriki and Namtutu.

Figure 6.1: Respondents by community

RESPONDENTS BY COMMUNITY

0.6%
15.8%
15.8%
12.3%
2.3%
16.6%
11.2%
8.7%
16.6%

- Kikwetu
- Likong'o
- Makonde
- Masasi ya Leo
- Mbanja
- Mitonga
- Mtomkavu
- Nagiriki
- Namtutu
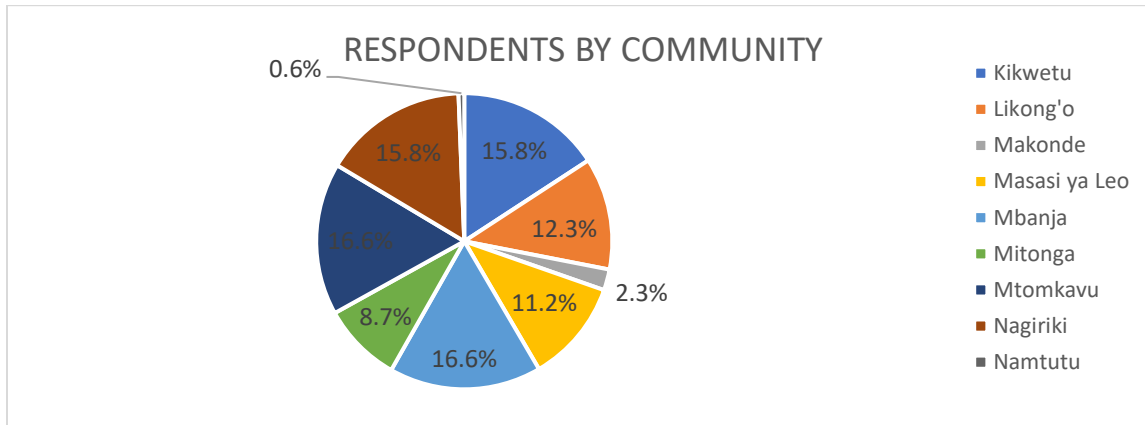
Source: Lindi Field Survey, 2015/16

The largest proportion of respondents came from Mtomkavu and Mbanja, each accounting for 16.6% of the total respondents while Namtutu community accounted for the smallest proportion which is 0.6%.

B. Gender and Age of Respondents, IOC LNG JV

46% of all respondents were female and 54% were male, reflecting a strong gender balance overall. However, each community accounted for a different gender split between respondents as shown in figure 6.2, with Mtomkavu having the least number of female respondents, 31%; while Mbanja and Namtutu having the highest proportion of female respondents; 67% and 60% respectively.

Figure 6.2: Number of Respondents by Gender per Community, IOC LNG JV

RESPONDENTS BY GENDER PER COMMUNITY

	Kikwetu	Likong'o	Makonde	Masasi ya Leo	Mbanja	Mitonga	Mtomkavu	Nagiriki	Namtutu
Female	47.4%	50.8%	54.5%	38.9%	60.0%	50.0%	31.2%	39.5%	66.70%
Male	52.6%	49.2%	45.5%	61.1%	40.0%	50.0%	68.8%	60.5%	33.30%
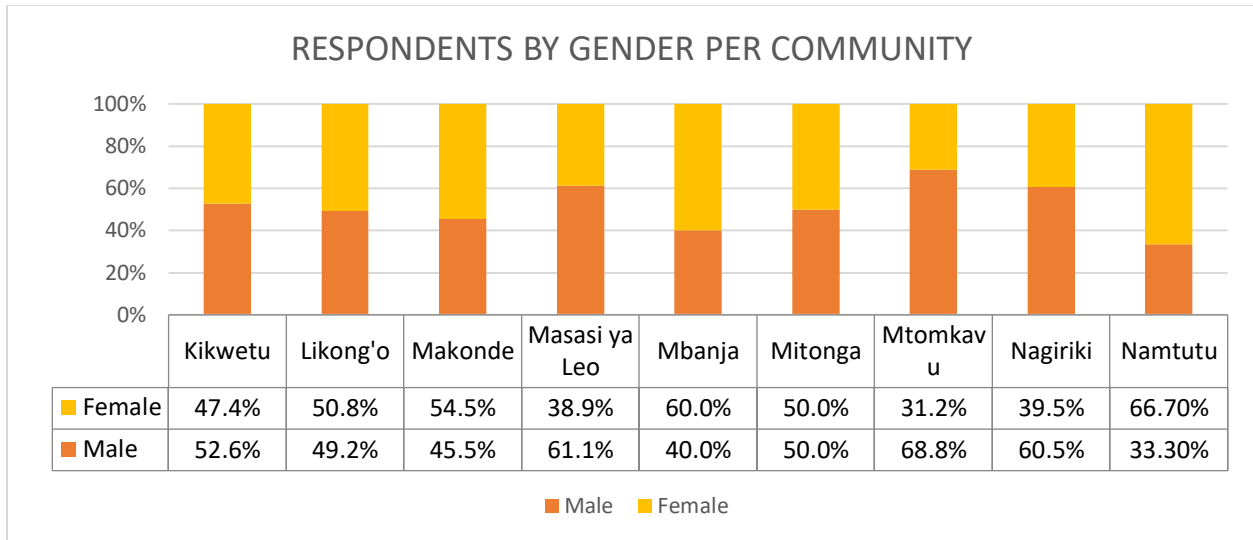
Source: Lindi Field Survey, 2015/16

With respect to age, 81% of the respondents fall within the active working age – 18 years to 59 years. 17% of the respondents are between the ages of 60years and 80years. 12% of the respondents did not indicate their age.

Table 6.2: Respondents by Age, IOC LNG JV

AGE RANGE	NUMBER OF PEOPLE	PERCENTAGE
18-29	132	28%
30-39	100	21%
40-49	95	20%
50-59	59	12%
60-69	47	10%
70-79	29	6%
80-90	7	1%
Not Indicated	12	2%
Total	481	100%

Source: Lindi Field Survey, 2015/16

The average age of all respondents was 41, which was also the average age of both the male and female. However, Mbanja had the lowest average age, 33, and Likong'o had highest average age of 49 as shown in table 6.3.

Figure 6.3: Respondent Average Age per Community, IOC LNG JV
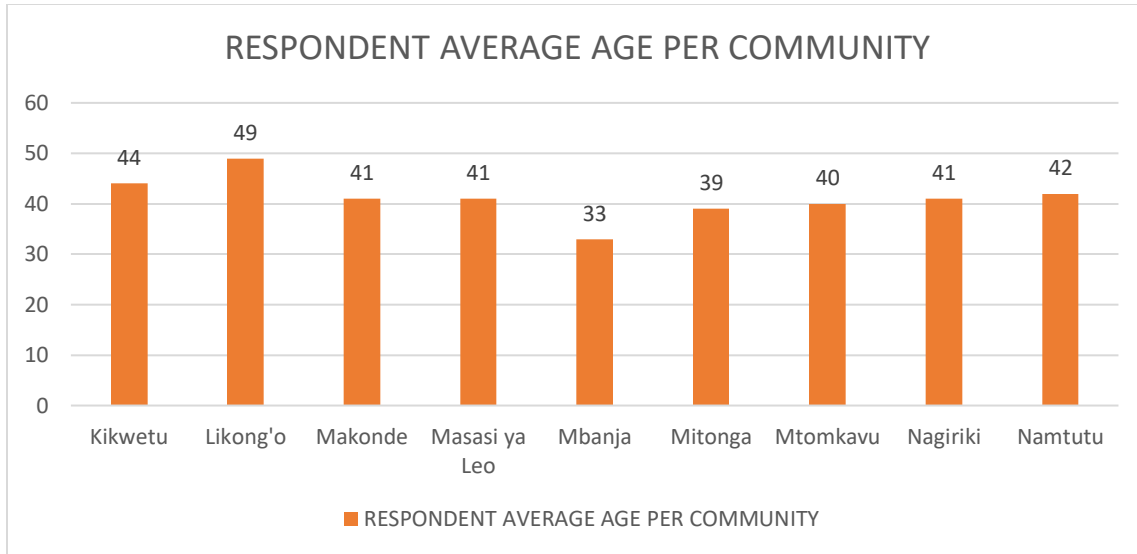
Source: Lindi Field Survey, 2015/16

C. Literacy Level, IOC LNG JV

60% of all respondents stated that they are able to read and write, while 40% stated they are unable to read and write. This is in consonance with the respondents' level of education as 38.7% of respondents have had no formal education while 59% had up to standard 7 primary education, 1.7% had up to secondary education, 0.2% tertiary education and 0.2% adult education.

Figure 6.4: Literacy Level by Community, IOC LNG JV

LITERACY LEVEL BY COMMUNITY

	Kikwetu	Likong'o	Makonde	Masasi ya Leo	Mbanja	Mitonga	Mtomkavu	Nagiriki	Namtutu
Literate	57.9%	52.5%	100.0%	64.8%	82.5%	28.6%	53.8%	53.9%	100.0%
None	42.1%	47.5%	0.0%	35.2%	17.5%	71.4%	46.2%	46.1%	0.0%
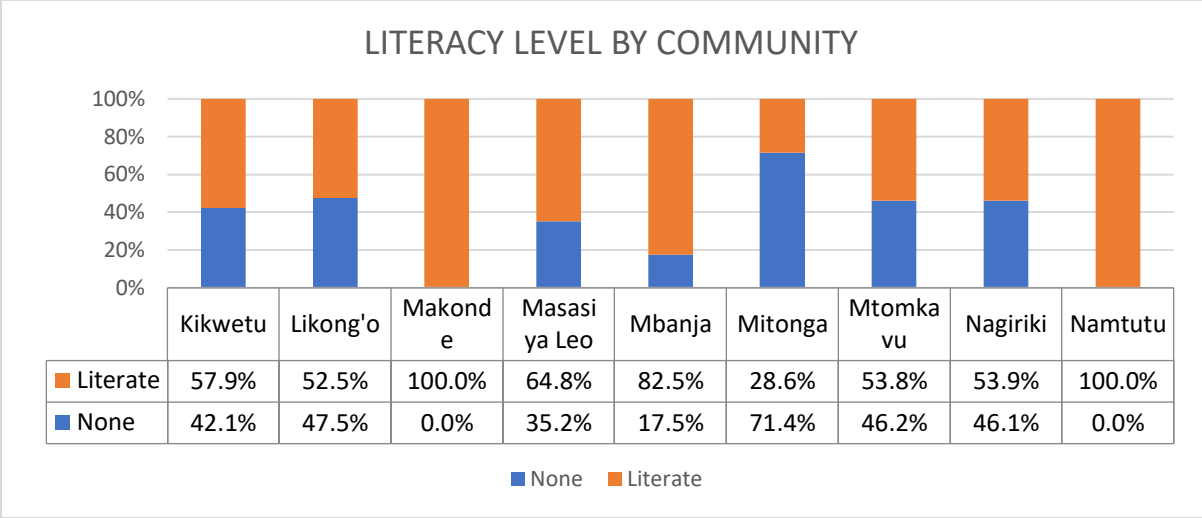
Source: Lindi Field Survey, 2015/16

Mitonga had the lowest proportion of literate respondents with only 29%, while in Makonde and Namtutu, all respondents were literate. Arguably, residents in Makonde and Namtutu have higher literacy levels as both dwellings are more urbanized with potentially greater access to education facilities. In the two communities all respondents had attained at least primary education.

For two-thirds of the surveyed communities, literacy levels of males and females are very similar. However, for Mtomkavu, Mtonga and Nagiriki the gender divide along literacy levels are wider with a differential of 15%, 19% and 23% respectively. As shown in the figure 6.5, Likong'o had by far the highest gender differential in literacy levels with 79% of literate males and only 27% of females able to read with a differential of 52% between them.

Figure 6.5 Gender Literacy Levels by Community, IOC LNG JV

GENDER LITERACY LEVELS BY COMMUNITY

	Kikwetu	Likong'o	Makonde	Masasi ya Leo	Mbanja	Mitonga	Mtomkavu	Nagiriki	Namtutu
■ Male	57.5%	79.3%	100.0%	66.7%	81.2%	38.1%	58.2%	63.0%	100.0%
■ Female	58.3%	26.7%	100.0%	61.9%	83.3%	19.1%	44.0%	40.0%	100.0%

■ Male ■ Female
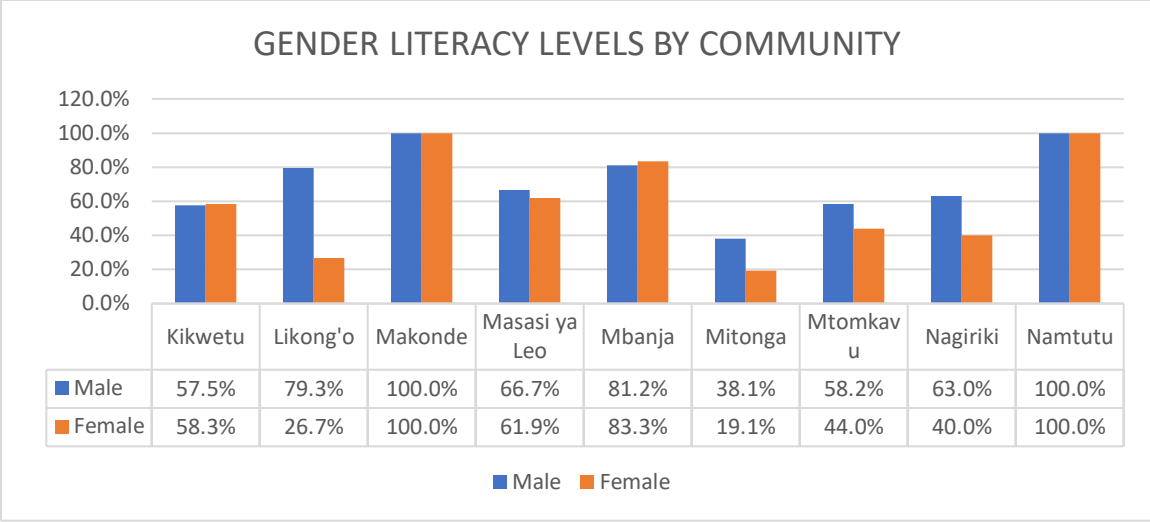
Source: Lindi Field Survey, 2015/16

D. Occupation, IOC LNG JV

The primary occupation of respondents is farming which accounts for 97.1% of the study population. The remaining respondents are either fishermen or construction workers.

E. Community Awareness of Projects

The survey revealed that only 30% of all respondents had knowledge of the impending IOC LNG JV. These respondents were from six communities (Kikwetu, Likong'o, Makonde, Masasi ya Leo, Mbanja and Mtomkavu). None of the respondents from Mitonga, Nagiriki and Namtutu stated they had knowledge about the upcoming IOC LNG JV. The Ministry of Lands, Housing and Human Settlement Development confirmed that consultation did not take place in all the affected communities. Though consultation took place in the six communities, only 3%, 7% and 13% of respondents from Mbanja, Masasiya Leo and Kikwetu respectively had knowledge of the project.

Figure 6.6: Community Awareness of Project, IOC LNG JV

COMMUNITY AWARENESS OF PROJECT, LNG

	Kikwetu	Likong'o	Makonde	Masasi ya Leo	Mbanja	Mitonga	Mtomkavu	Nagiriki	Namtutu
Yes	13.2%	84.7%	72.7%	7.4%	2.5%	0.0%	86.2%	0.0%	0.0%
No	86.8%	15.3%	27.3%	92.6%	97.5%	100.0%	13.8%	100.0%	100.0%
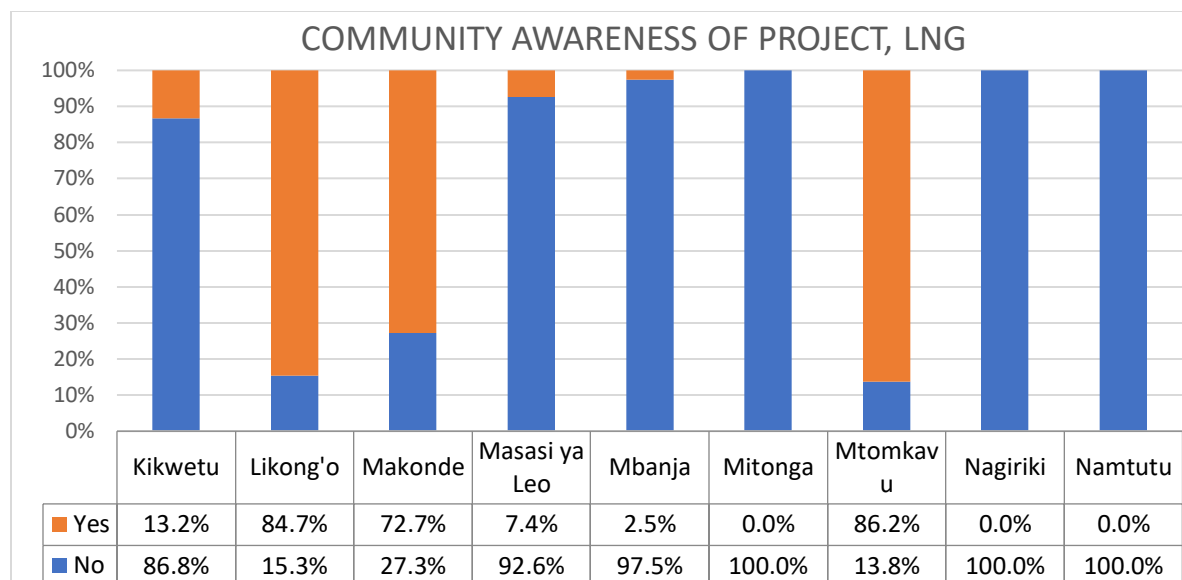
Source: Lindi Field Survey, 2015/16

The low level of awareness in communities such as Masasiya Leo, Kikwetu, and Mbanja which make up 43.7% of the respondents indicates that consultation was inadequate in those communities. During the FGDs conducted in the six communities, it was identified that the respondents knew about the project but they did not have information on the project details.

The study revealed that community engagement was carried out mainly through community leaders as only 13.3% of the respondents indicated they were consulted directly by representatives of the IOC LNG JV. This response was corroborated during the FGDs as respondents stated that consultations were carried out either through community ward councilors or directly by representatives from the government and project implementation agencies. Meetings held in the communities were in their first language, Kiswahili. While consultation did take place in Kiswahili and some community members were addressed directly rather than relying solely on community leaders, these results not only indicate that the extent of consultation was relatively small, but also puts a question mark on the quality, adequacy and transparency of the consultation process. Indeed, 26% of those consulted could not name any potential impacts which raises the question of 'what was discussed during these consultations?'

Consultations were carried out directly in Kikwetu, Likong'o, Makonde, Mbanja and MtoMkavu. Community members of Masasiya Leo were invited to a meeting in Likong'o. All respondents are dissatisfied with the IOC LNG JV consultation. 95.8% of those who know about the project claim their information needs were not met. The respondents complained that they did not have an adequate understanding of the project and that their questions have not been answered in full. The respondents had questions on the project background, benefits and impacts on land and livelihoods. In MtoMkavu and Mbanja, despite meetings with the BG and Statoil representatives directly, respondents felt they were not given adequate information and are seeking further clarification on issues such as compensation and valuation. In Kikwetu however, some community members stated that they attended a preliminary meeting about the IOC LNG JV and were assured of governmental support in preparing for the project. However, according to the respondents no subsequent meetings were convened, which has given rise to confusion and misunderstandings within the communities. Other respondents in Kikwetu noted that adequate consultation did not take place and that they only interacted with government valuers who valued their crops. They expressed that this was in direct contrast to the promises made to them about adequate consultation.

F. Correlation between level of awareness and consultation for LNG

The study revealed that the 30% of respondents who knew about the project believed that they were impacted by the project while the rest (70%) did not believe that they were impacted. This means that only 30% believe that the project can influence their current state of life. This means that there are respondents who are likely to be impacted by the project but have no knowledge of such. This raises concerns about how project risks and impacts will be managed and mitigated in addition to compensation of affected persons.

Also, the correlation coefficient of 0.797 in Table 6.3 indicate that project awareness is strongly correlated with being directly consulted by project consultants. Indeed, the primary way that communities know of the project is through consultation as discovered from the focus group discussions with community members and leaders. To verify this, SPSS was used to compute the correlation between awareness and consultation at a 0.01 significance level.

Table 6.3 Correlation between level of awareness and consultation, IOC LNG JV

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			Knowledge about project	Have you been contacted
Spearman's rho	Knowledge about project	Correlation Coefficient	1.000	.797**
		Sig. (2-tailed)	.	.000
		N	481	481
	Have you been contacted	Correlation Coefficient	.797**	1.000
		Sig. (2-tailed)	.000	.
		N	481	481
**. Correlation is significant at the 0.01 level (2-tailed).				

From Table 6.3, it evident that the coefficient of correlation is .797 which indicates a statistically significant relationship between knowledge of that project and being consulted by the project representatives. This means that as consultation increases, knowledge of project will also increase. The study also revealed that although meetings took place, a significant number of the respondents did not gain any sort of understanding of the potential impacts that the project would have on their lives. From the focus group discussions at the community level, many of the respondents that knew about the project did not have information about the project details. This is in direct contrast to the corporate policies of some of the IOCs such as Royal Dutch Shell Plc, Statoil and ExxonMobil which emphasizes consultation with local communities and a good feedback mechanism. This confirms Pulver (2007) and Schweitzer (2011) that there is a vast difference between what oil companies say and what they actually do.

Table 6.4 Level of awareness and consultation, IOC LNG JV

Community	Contacted	Aware	Total Respondents	Not Aware	% Aware	% Aware that were contacted
Kikwetu	2	10	76	66	13%	20%
Likong'o	45	50	59	9	85%	90%

Makonde	3	8	11	3	73%	38%
Masasiya Leo	2	4	54	50	7%	50%
Mbanja	0	2	80	78	3%	0%
Mtomkavu	59	69	80	11	86%	86%

Source: Lindi Field Survey, 2015/16

From the table, it is evident that the impact of consultation on project awareness differs significantly in different communities. In Likong'o and Mtomkavu, 90% and 86% respectively of those aware of the project were consulted. This confirms the earlier assertion that there is a direct relationship between consultation and awareness. However, for Mbanja, Kikwetu and Makonde, 0%, 20% and 38% respectively of those aware were consulted. It evident in Mbanja that the respondents who knew about the project got their information from secondary sources because none of them was consulted. The responses from Kikwetu and Makonde indicate that consultation was not widespread within the communities but those who were consulted disseminated the information to others. The Ministry of Lands, Housing and Human Settlement Development stated that not all communities were directly consulted but some were invited to attend meetings held in neighbouring communities. Those who were engaged were then expected to disseminate the information in their respective communities. The FGDs also revealed that the people of Kikwetu received information from representatives of the projects and their Ward Councilors who attended meetings but the information was on compensation and valuation and they did not have much knowledge of the project. They were promised further engagement which did not take place. If this is the case, it can be concluded that consultations had limited coverage in these communities and consultations was mainly through street leaders and local representatives.

G. Community Knowledge of project benefits and impacts

The study did not only consider the knowledge of the existence of the project but also knowledge of the project impacts and benefits. 50.3% of the people who were aware of the project had no knowledge on project benefits and impacts. Only 6% of respondents said that the dangers of high pressured pipelines were explained to them and 4% claim they were told of the required buffer zone for the right of way. In terms of engagement with specific age groups on particular project

impacts affecting them and potential mitigation measures, only 7% said that this took place. More so, consultation was not targeted at vulnerable groups and the financial size of the project was not provided. Unsurprisingly, only 4% of all respondents said that the consultation was adequate for their need.

Generally, it was identified that the project benefits and impacts had not been communicated to the project affected communities except for MtoMkavu. From interaction with the Ministry of Lands, Housing and Human Settlement Development, it was found out that MtoMkavu was the base for the project and all other communities were supposed to receive more detailed information from them. In addition, the men in MtoMkavu stated that they were given information on the project impacts and benefits by their ward councilor who attended seminars in Dar es Salaam. Some of the expected benefits of the project include employment, infrastructure development, and education and business opportunities. The expected negative impacts of the project include loss of land, separation of families, unfair compensation and loss of communal bonding, loss of livelihoods, influx of people and high cost of living for the agrarian community. From the quantitative survey, 72% of respondents were of the opinion that the project could potentially benefit them; either through employment (29%), general development opportunities (27%), or through further inclusion of respondents through greater participation (17%).

Knowledge about project benefits, impacts and risks by affected persons is key to the development of any project. This is because, it enables affected persons to explore and contribute to the mitigation of adverse impacts and also affected persons will be empowered to take advantage of potential benefits and support the project. It is generally understood that there is a significant knowledge gap between beneficiaries / affected persons and the project proponents as established by Mathbor (2008). Respondents in Lindi, Tanzania, did not have basic information about the project. Mansuri and Rao (2013 p. 53) argue that one of the causes of government failures in participatory development can be associated with information sharing.

Figure 6.7: Expected Benefits from Project

EXPECTED BENEFITS FROM PROJECT

	Development	Employment	Participation	No Answer
	27%	29%	17%	28%

■ EXPECTED BENEFITS FROM PROJECT
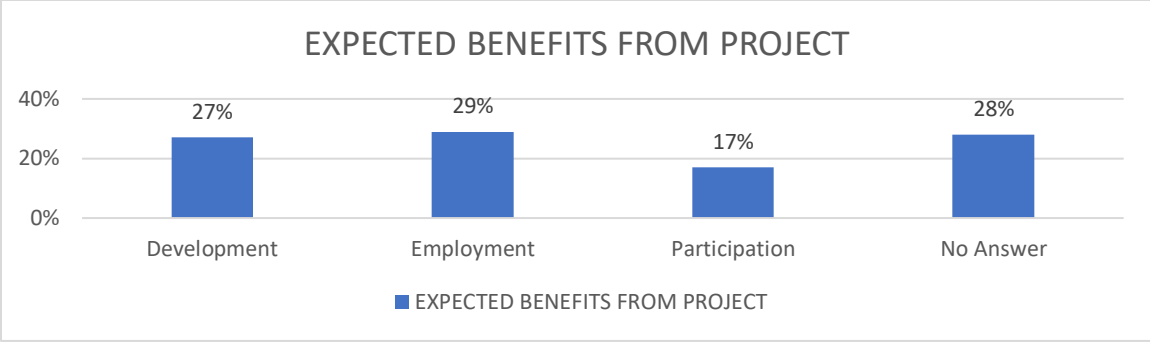
Source: Lindi Field Survey, 2015/16

In spite of majority of the respondents indicating a belief in potential benefits of the project, they did not think that on the whole, the project will benefit Tanzanians as 54% of respondents stated that the project will not benefit Tanzanians. When asked to explain their reasons for this assertion, the respondents could not justify their response but expressed that it was what they felt because they do not have adequate knowledge of the project.

22% of respondents, said that participation was achievable in the project. When asked where respondents may have come across projects with adequate and successful participation, 20% of respondents pointed to a TASAF related project while about 1% mentioned a SONGAS[14] project. These two projects were also mentioned as examples of projects with community participation during the focus group discussions.

H. Empowerment and Knowledge Sharing

OECD (2012), describes empowerment as an individually or collectively motivated realization, which inspires the pursuance of a better life. Pettit (2012) noted that to ensure people are empowered, they need to have access to assets, information, choices and opportunity. Individuals who are aware of their fundamental rights and responsibilities generally feel more empowered to take agency over their lives and engage with activities around them. One of the facets of empowerment is "effective and inclusive local citizenship", when people at the local level are involved in decision making and have the right to participate and hold others accountable (OECD 2012). Empowered communities are able to participate in decision making, seeking information and taking action for themselves because they are confident, which is due to increased levels of knowledge gained and skills acquired.

Participation and empowerment are dependent upon each other such that when people participate they acquire the skills, knowledge and ability to control their lives and when people are empowered they are more likely to participate as they have the confidence and the power to do so (Binder-Aviles, 2012). Even though some affected communities under the IOC LNG JV are aware of the project details and feel they have been empowered, in the real sense there has been little empowerment. The majority of the people prefer to engage their leaders for more information and to help them participate which indicates a lack in the capacity to act independently. To determine whether activities of the project have been a vehicle to enhance knowledge or empower affected communities, respondents were asked if they feel empowered by the project.

Respondents were asked whether the project empowered them (Empowerment in this context means having adequate information to make informed decisions). 98.3% of Likong'o respondents stated that they were empowered by IOC LNG JV, which is notable since 90% of the respondents, were consulted. 88% of Mtomkavu and 45% of Makonde respondents said that the project was empowering. However, when asked what should be done to enable them be adequately informed about the project, they indicated that their local member of parliament should be called which shows that they feel that they can get more access to information by going through their leaders. This claim is true as the respondents of Mtomkavu were engaged directly by representatives of the project but their information needs were not met. From further engagement, it was discovered that their ward councilor who attended meetings in Dar es Salaam gave them more information about project costs, benefit and impact hence their preference for calling an MP.

Figure 6.8: Empowerment, IOC LNG JV
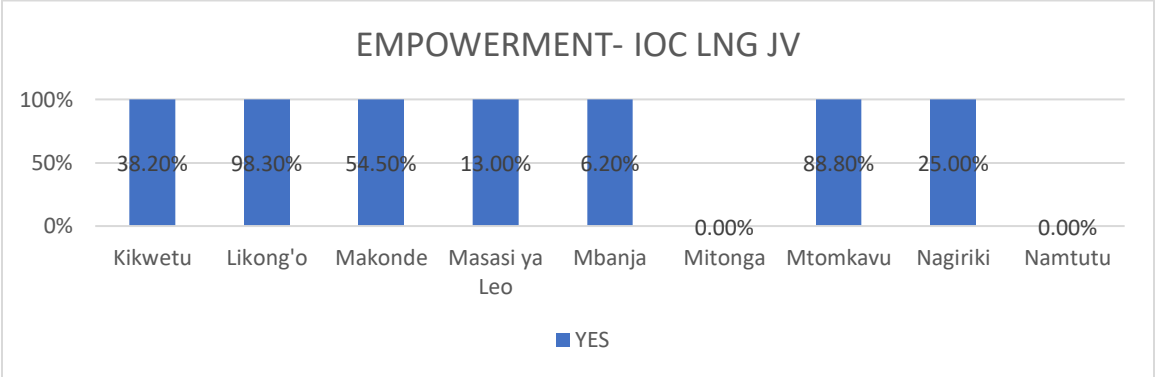
Respondents had a pessimistic view on whether or not the project would ultimately ensure participation, based on their respective understanding of what participation means. Only 11% said yes. This reason was clearly explained during the focus group discussions where respondents showed an eagerness for information and said that they were promised meetings and further engagement, which never happened.

I. Respondents Experience with the IOC LNG JV

Respondents were asked to express their views about their experience with the project development up to now. While 27% of respondents said that they were happy with the IOC LNG JV, 33% said they either felt cheated, neglected or sad and 40% said they were indifferent or withheld giving an answer. These findings simply reflect the reality that 70% of respondents did not know about the impending IOC LNG JV.

Figure 6.9: Respondents' experience with the project, IOC LNG JV
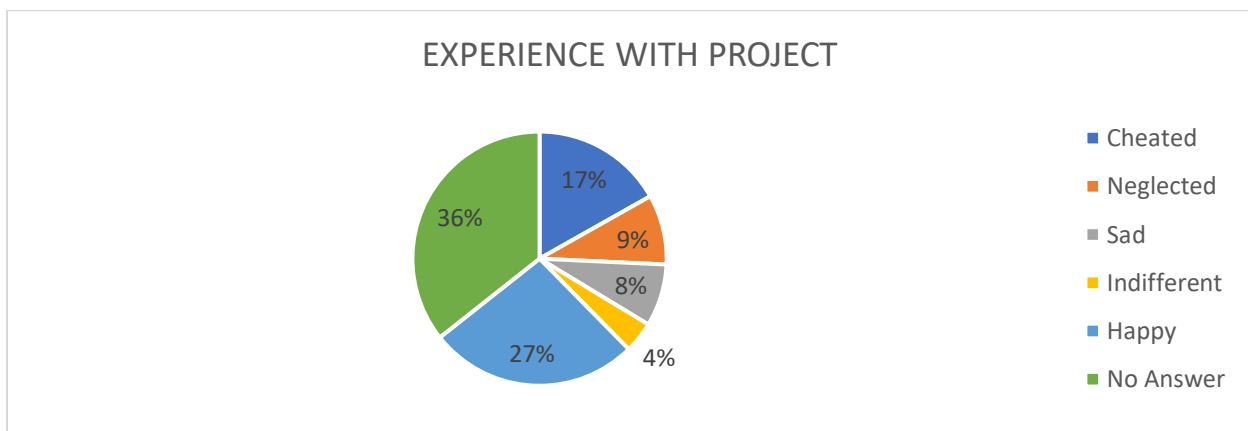
However, it should not be interpreted that the respondents who expressed happiness did so because adequate information was provided to them. After all, only 4% of respondents indicated that their information needs were met. Their answer of being 'happy' most likely reflects an unqualified hope that the project would ultimately benefit them. The FGDs revealed that even with limited knowledge about the project, communities are expectant of the development and job opportunities

the project will bring to their area which accounts for the happiness. The feelings of neglect and being cheated can probably be attributed to the inadequate information about the exploration as some respondents expressed strong opinions on having been promised consultation and the government not fulfilling its promises. 36% failed to provide an answer, reflecting a lack of understanding of their rights or the potential impact of the project on their future life.

Given that such a high proportion were unhappy or indifferent to the project, it is necessary to look at what respondents thought would be necessary to get adequately informed and participate in the project. 31% said that they needed to be actively engaged in the project, a reflection of the people who had been consulted, given the strong relationship between those that had been consulted and those who made this statement. Similarly, 30% said that community members should call their MP, an action which in itself is a form of protest. Again, this bears a strong correlation with 33% of respondents that felt cheated, neglected or ignored. The interpretation here is that those who suggested the intervention of their MP felt that they will not be consulted on the project in the future or more insidiously, that the project had purposefully ignored them. 36% failed to provide an answer, reflecting a lack of understanding of their rights or the potential impact of the project on their future life.

Figure 6.10: Participants reaction to the need to participate, IOC LNG JV
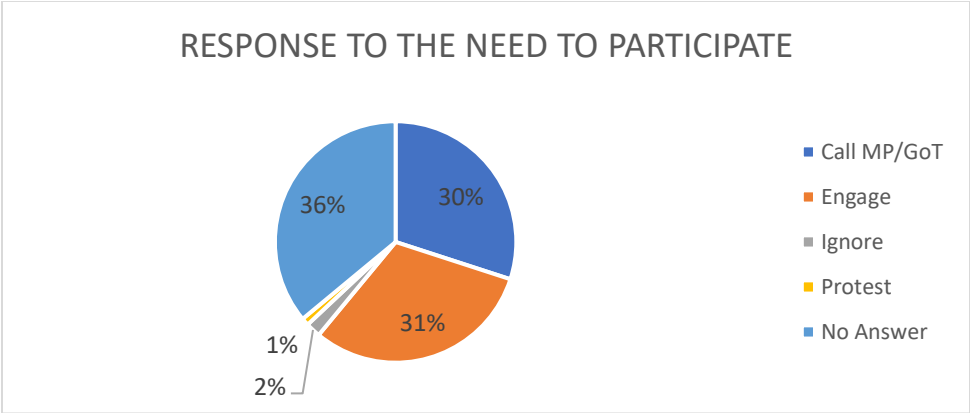
Source: Lindi Field Survey, 2015/16

In sum, 69% either had no answer, wanted to ignore the project or thought actively protesting would be the only solution. This shows a low level of trust and awareness towards the project. Nevertheless, it also indicates that the initial consultation, for 30% of respondents, did have a

calming effect, bringing optimism to those that received it. Interestingly, it was noted that some communities have a higher degree of optimism than others. 85% of Likong'o respondents said that engagement was the preferred option to get more information. Yet, while Mtomkavu and Nagiriki had a substantial amount of respondents saying engagement was the preferred method for more information, they also had the largest number of respondents saying that they should contact an MP; 61% and 58% respectively. This was better explained during the FDGs that there is low level of trust in the project; as such, the communities prefer the involvement of their MP to guarantee participation.

J. Respondents Awareness of Tanzania National Development Policy

This section examines the level of awareness of Tanzanian Government policies relating to requirements around community participation and how this awareness affects their level of participation in the projects under review. The respondents in all of the communities affected by the IOC LNG JV did not know about policies that facilitate participation. The lack of knowledge covered both government policies and corporate policies of investors and project developers. In fact, they had very little information about the IOCs involved in the IOC LNG JV. Irvin and Stansbury (2004) state that involvement of communities in government decision-making is key and has many benefits both to government and to the citizens. Understanding the viewpoint of Government, for example, enables communities to develop locally appropriate solutions to arising issues and grievances. Consultation also helps project representatives to engender community support and an understanding of the effects of specific policies on the local environment. Tanzania has several policies that facilitate community participation in projects such as the National Economic Empowerment Policy and Tanzania Vision 2020 but communities are not aware of these policies and the opportunities it offers them. Therefore, potential positive effects for the IOC LNG JV are lost.

K. Comparing level of satisfaction and perceptions of those consulted and those not consulted

This section compares the level of satisfaction with, and perceptions of, the LNG project between those consulted and those not consulted across all communities. The indices used for the level of satisfaction are derived from the questions below as asked in the quantitative questionnaire:

- Was the consultation adequate for your needs?

- Will this project benefit Tanzanians?

- Description of your experience with the project

- What needs to happen to become adequately informed & participate in the project?

- Would you describe the project as knowledge sharing and empowering?

- Will the project achieve community participation?

I. Was consultation adequate for your need?

The study revealed that 98.6% of those not consulted stated that their information needs were not met, while 87.4% of those consulted stated that their information needs were not met.

Table 6.5: Correlation between consultation and adequacy of information

			Have you been contacted	Was consultation adequate for your needs?
Spearman's rho	Have you been contacted	Correlation Coefficient	1.000	.243**
		Sig. (2-tailed)	.	.000
		N	481	481
	Was consultation adequate for your needs?	Correlation Coefficient	.243**	1.000
		Sig. (2-tailed)	.000	.
		N	481	481
**. Correlation is very significant at the 0.01 level (2-tailed).				

From table 6.5, the correlation coefficient of being consulted and adequacy of information is 0.243 at 0.01 level of significance. This indicates that there is a weak positive relationship between consultation and adequacy of information. This shows that even though some respondents were consulted, information provided through consultation was inadequate. Some of the respondents

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of the focus group discussions complained that they did not know about project benefit and impacts and they still had a lot of unanswered questions about the project.

i. Will the project benefit Tanzanians?

Table 6.6: Comparing responses to benefit of project to the lives of Tanzanians

Will project benefit Tanzanians?	Consulted	% Consulted	Not consulted	% Not consulted
Yes	113	97%	101	30%
No	4	3%	234	70%
Total	117	100%	335	100%

Source: Lindi Field Survey, 2015/16

Table 6.6 shows the contrasting answers to whether respondents think that the project will ultimately benefit Tanzanians. It illustrates the impact of the consultation process in influencing general perception towards the project. Indeed, while 97% of those consulted thought that the project will benefit Tanzanians, only 30% of those not consulted thought so.

ii. Description of experience with project

Figure 6.11: Comparing Respondent's Experience with IOC LNG JV

COMPARING EXPERIENCE WITH PROJECT

(Indifferent: % Consulted 4%, % Not Consulted 8%; Happy: % Consulted 45%, % Not Consulted 38%; Cheated: % Consulted 14%, % Not Consulted 35%; Neglected: % Consulted 21%, % Not Consulted 9%; Sad: % Consulted 15%, % Not Consulted 10%)
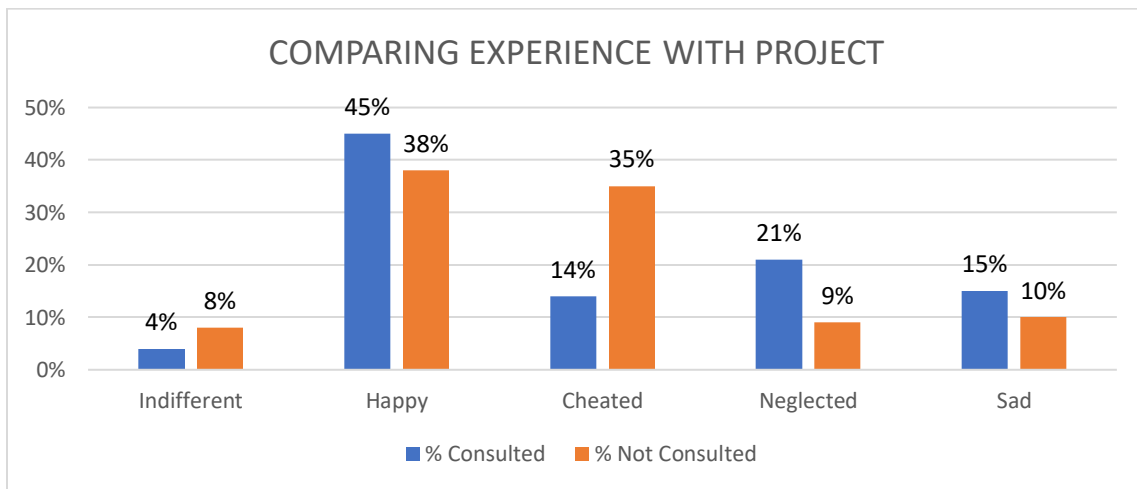
Figure 6.11 shows the comparison between respondents' experience with the IOC LNG JV. 45% of those consulted and 38% of those not consulted are happy with the project mainly due to the perceived potential benefits that the project will bring to the communities. However, it is clear that 39% of the respondents who were consulted feel neglected due to inadequate consultation and information. 35% of those not consulted feel cheated because they have not been informed and consulted on the project. This calls for additional engagement with communities to create awareness and meet their information needs.

iii.   What needs to happen to get adequately informed and participate in project?

Figure 6.12 Comparing Response on How to Get Informed and Participate in Project
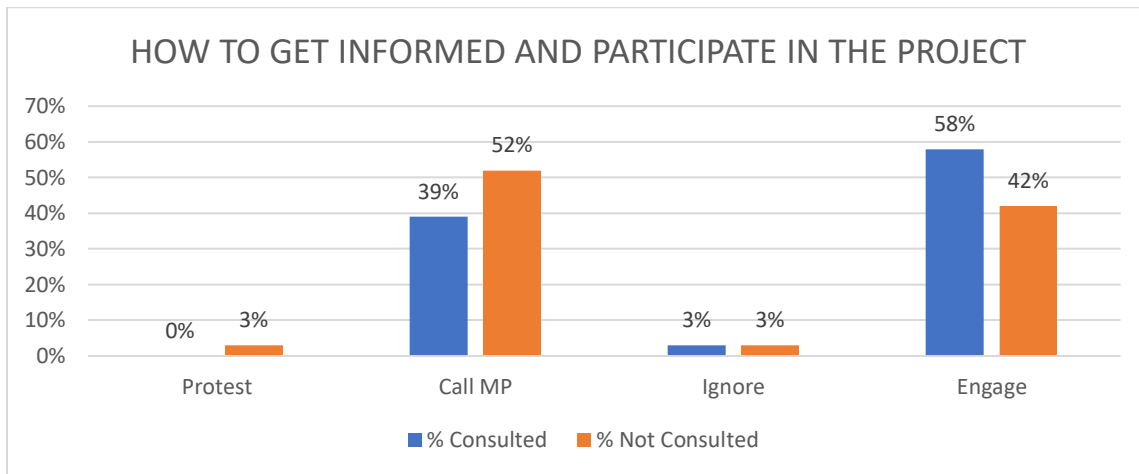
Source: Lindi Field Survey, 2015/16

When asked how respondents could get more access to information and participate in the project, those consulted show a greater preference to engage with the project (58%) as compared to those not consulted (42%). Those not consulted were more inclined to call an MP (52%) as compared to those consulted (39%). Given that 54% of those not consulted feel cheated, sad or neglected by the project, they believe that only coercive measures by authorities can resolve the problem of not being consulted.

iv.   Was the project knowledge sharing and empowering?

Table 6.7: Comparing responses on whether the project is knowledge sharing & empowering

Was project knowledge sharing and empowering?	Consulted	% Consulted	Not consulted	% Not consulted
Yes	106	91%	58	17%
No	10	9%	276	83%
Total	116	100%	334	100%

Source: Lindi Field Survey, 2015/16

91% of those consulted said that the project was empowering and has enabled knowledge sharing. 83% of those not consulted indicated the opposite. For most of the respondents who were not consulted, this survey was the first time they had heard of the project. Although generally, those consulted are not satisfied with the project, a high proportion felt that the project had been empowering. This is because the respondents felt that having been consulted, they at least know of the existence of the project, which has empowered them to determine an appropriate action in response to the project. In line with this, greater engagement with the project was a predominant response for those already consulted, while appealing to authorities was the predominant response by those not consulted to address this issue.

As regards consultation being adequate for the needs of the respondents, those who were not consulted said consultation was not adequate for their needs while 87% of those consulted said the same. For those not consulted, this perception is an outcome of being omitted from the process, whilst for those consulted, it indicates that they feel that more details from the project about its impacts and benefits is required.

v.   Will the project succeed in achieving participation?

Table 6.8 Comparing response on whether project will succeed in achieving participation

Answer	Consulted	% of Consulted with answers	Not consulted	% Not consulted with answers
Yes	106	91%	58	17%

No	10	9%	276	83%
Total	116	100%	334	100%

Source: Lindi Field Survey, 2015/16

Finally, respondents were asked about their overall perception as to whether or not the project will succeed in effectively carrying out participatory consultation in the future. For those consulted, 64% believe that the IOC LNG JV will succeed based on the knowledge they have acquired about the project. Conversely, for those not consulted, the majority do not have faith that the project will succeed in ensuring participatory consultation, which reinforces their belief that appealing to the authorities, is the only appropriate action.

Table 6.9 Correlation between consultation and perception of participation in the IOC LNG JV

			Have you been contacted?	Will participation be achieved in the IOC LNG JV?
Spearman's rho	Have you been contacted?	Correlation Coefficient	1.000	.416**
		Sig. (2-tailed)	.	.000
		N	481	481
	Will participation be achieved in the IOC LNG JV?	Correlation Coefficient	.416**	1.000
		Sig. (2-tailed)	.000	.000
		N	481	481
**. Correlation is very significant at the 0.01 level (2-tailed).				

The correlation coefficient between consultation and whether participation will be achieved on the project is 0.416 at 0.01 significant level. This shows that there is a relatively weak but significant relationship between being contacted (communication) and perceiving the project to achieve participation. This can be attributed to the information needs of some of the respondents consulted

not being met hence their feeling that participation has not been achieved. It also imply that establishing contact does not mean participation.

L. Summary of Collective findings, IOC LNG JV

The consultation process for the LNG was deficient in terms of coverage and content. Regarding coverage, it is evident the consultation did not take place in three out of the nine impacted communities. In three communities out of the six communities consulted, the respondents who knew about the project were few. This shows that even though consultation was conducted, it was inadequate. For those contacted, their information needs were not met as they still had questions and concerns about the project and were promised further consultation which had not taken place at the time of the study. In terms of consultation content and quality, the study revealed that the content was inadequate because a majority of the respondents could not answer questions about the scale of the projects, potential benefits and impact of the project and other project details. This was confirmed from meetings with men, women and local leaders. The people clearly mentioned that they have a lot of questions which have not been answered. Although the communities were promised further engagement, no follow up was made by LNG representatives. Additionally, only respondents who are aware of the project believe they would be impacted by the project even though the study was conducted in nine project affected communities; meaning that there are persons likely to be affected by the project who are not aware of the project. Given the correlation between project awareness and consultation, it is clear how important consultation is as a tool to increase awareness of the project.

A second important finding was that where consultations did take place, respondents directly consulted were optimistic about the project even though their information needs were not met. This was particular in Mtomkavu and Makonde. This is because of the expectation of potential benefits and additional consultation. Some respondents who were not consulted are pessimistic about the project and feel cheated, sad and neglected by the project. They believe that the intervention of their political representatives will ensure their participation in the project. This is resulting from inadequate consultation and indicates that there are several information gaps which has to be plucked. This calls for further engagement to increase awareness and extensively engage all stakeholders.

6.1.1.2 TASAF

A. Population of Respondents, TASAF Project

A total of 54 respondents were interviewed from Linoha and Pangatena, two communities where the TASAF project has been implemented. 33% of the respondents were from Pangatena while 66.7% of the respondents are from Linoha. Linoha has a high number of respondents because the TASAF project component is infrastructural and benefits a wide range of people unlike in Pangatena where the focus was on the livestock sub- project which benefits only the vulnerable groups.

B. Gender and Age of Distribution of Respondents, TASAF Project

48.1% of the respondents are male and 51.9% are female, reflecting a strong gender balance. This was much more evident in Pangatena where 50% of the respondents were male and 50% female. Linoha however had more males than females.

Figure 6.13 Gender Distribution per community

	Pangatena	Linoha	Total
Female	50.00%	47.20%	48.10%
Male	50.00%	52.80%	51.90%
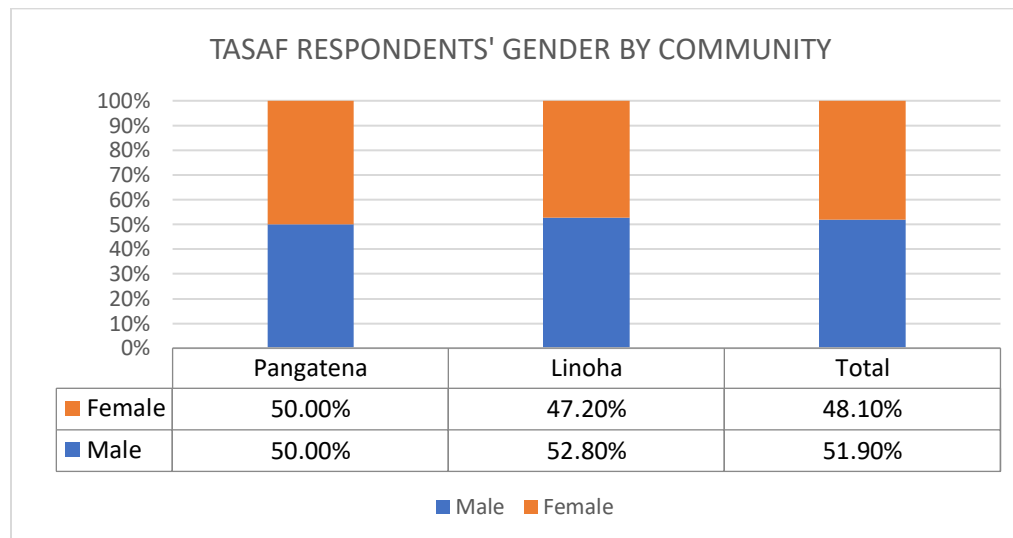
Source: Lindi Field Survey, 2015/16

This research has specifically put gender balance in its framework, as the current practice of participation does not adequately address the concept of the gender and vulnerability. This has

been a crucial obstruction of the participatory development in recent times (Tsikata 2003 and Cornwall 2011). Apart from this research focus, the direction of the TASAF project itself is gender sensitive as at least 40% of temporary employment created benefits females and the rural poor (Public Work Programme Handbook, 2015). In practice, the issue of gender and vulnerability is fast taking center stage as international initiative such as MDGs and international environmental and social safeguard frameworks integrating gender and inclusion considerations in their project designs. It has been argued that this protects the equality of participation. As such, absence of gender balance in participatory development can also be argued to reduce the democratic component of participatory development (IFC PS 2012, AfDB ISS 2013, WB ESS 2016).

22.2% of the respondents did not know their ages while 77.8% of the respondents knew their ages. The average age of respondents is 36 years.

Figure 6.14: Age Distribution of Respondents, TASAF Project

AGE DISTRIBUTION OF RESPONDENTS

	Unknown Age	10 to 19	20 to 29	30 to 39	40 to 49	50 to 59	Above 60
Linoha	11.10%	3.70%	25.90%	13.00%	5.60%	7.40%	0.00%
Pangatena	11.10%	0.00%	0.00%	9.30%	7.40%	1.90%	3.70%
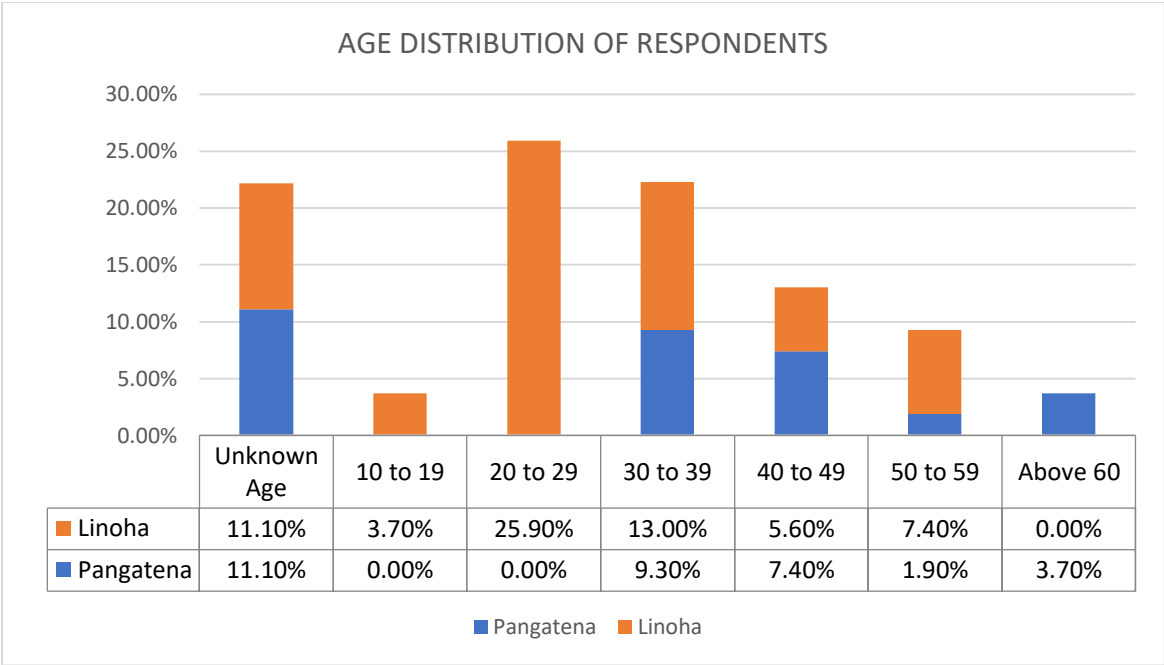
Source: Lindi Field Survey, 2015/16

Figure 6.14 shows that all respondents from Pangatena were aged 30 years and above. This is because the project component benefits disabled and the aged, unlike Linoha that had respondents across age divides. This is a conscious attempt to sample the direct beneficiary and the active

population who are capable of benefiting from the project. This is evident in the case of the aged 60 and above group of the respondents as being fully populated by the respondents in Pangatena because most of the beneficiary of the livestock sub-project fall within this category.

C. Educational Level of Respondents

70.4% of the respondents have attended school before while 29.6% have never attended school. Out of the educated population, primary school is the highest level of education for 56.6%. 11.8% being secondary and 3.8% being post- secondary.

Figure 6.15 Education by community, TASAF Project

EDCUATION BY COMMUNITY

	Pangatena	Linoha
Never Attended School	55.60%	16.70%
Attended School	44.40%	83.30%
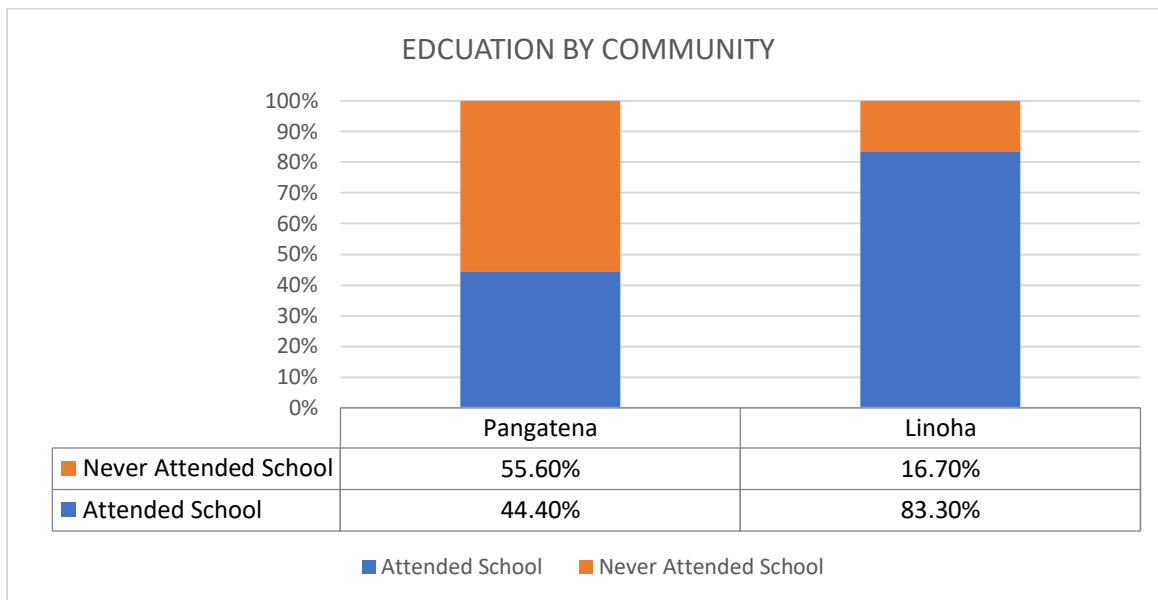
Source: Lindi Field Survey, 2015/16

The number of those who have been to school in the two community differs significantly. Respondents in Linoha have a total of 83.3% of respondents having been to school while Pangatena only has 44% of the respondents in the same category. This further reflected in their highest level of education attained by the respondents in each community. Pangatena has the highest level of education being secondary school while Linoha has a few of the respondents having post-secondary education.

Figure 6.16 Highest Educational level by community, TASAF Project

HIGHEST EDUCATIONAL LEVEL BY COMMUNITY

	Pangatena	Linoha
■ No School	55.60%	17.10%
■ Post secondary	0%	2.90%
■ Secondary	5.60%	14.30%
■ Primary	38.90%	65.70%

■ Primary   ■ Secondary   ■ Post secondary   ■ No School
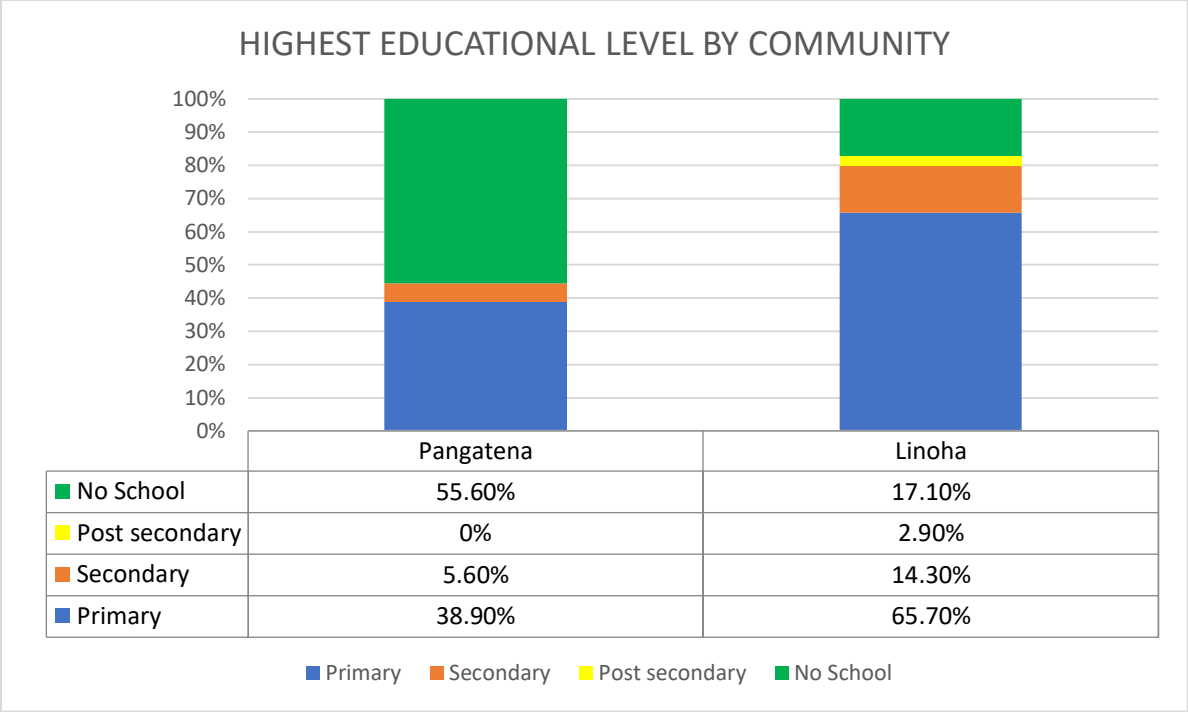
Source: Lindi Field Survey, 2015/16

Educational levels of male and female respondents differ. The figure below shows that females have a higher level of education as there are more females who have completed primary school and fewer females who have not attended school as compared to the male respondents. This data echoes the data for national average according to the National Bureau of Statistics, Tanzania and the United Nations on the level of education in Tanzania from a gender perspective. According to Meena (2003), gender balance and particularly, extensive support for girl child education has been a priority in Tanzania since the early 1990s. She affirms that it is not just a function of scholarship, it is a function of policy framework, public awareness and constitutional construct to ensure gender equality, not just in terms of education, but in every aspect of national development and representation. In fact, it is the duty of the state for every girl child to have at least basic primary education. Anything contrary to this contravenes the constitution. The *Action Aid Endline Report Tanzania* (2012) highlighted a strong attendance of girls in primary school and an increase in enrollment of girls in secondary school from 2008 to 2012 due to the national policy of expanding access to secondary schools.

Figure 6.17: Educational Level by Gender, TASAF Project

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EDUCATIONAL LEVEL BY GENDER

	Primary	Secondary	Post- Secondary	None
Female	53.3%	50.0%	0.0%	43.8%
Male	46.7%	50.0%	100.0%	56.2%

Male   Female
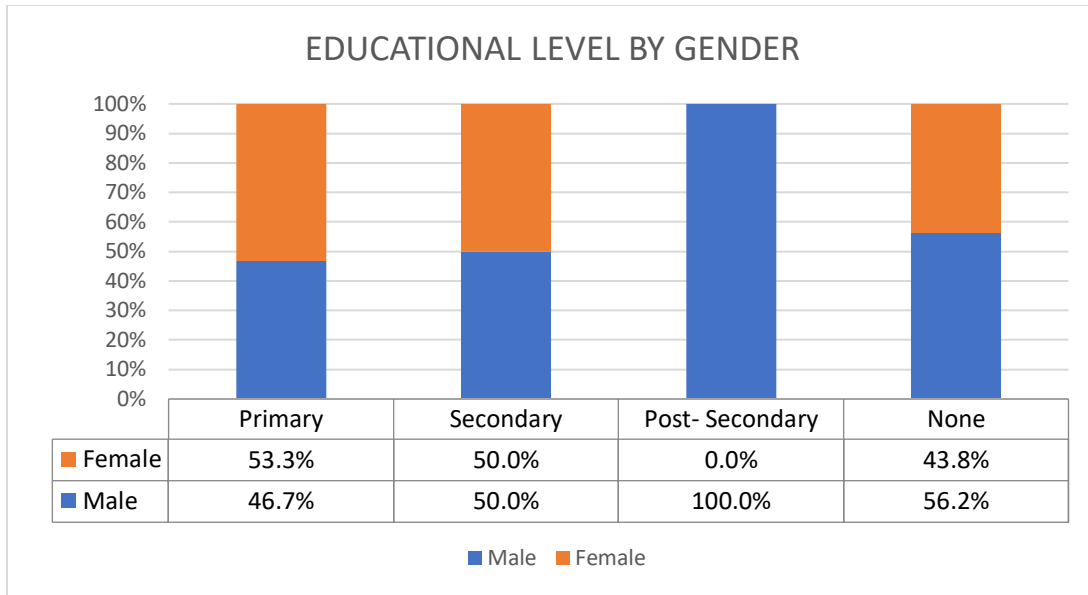
Source: Lindi Field Survey, 2015/16

D. Occupation of Respondents, TASAF Project

The predominant economic activity in the area is farming which constitutes 67% of the respondents. 17% of the respondents indicated that they were unemployed, 9% are students while 7% engage in other economic activities. In the two communities sampled for this research, everyone engages in one form of farming of the other. The households farm for consumption and for the market. From our observation, it is clear that the respondent farm more for subsistence rather than for the market. This means that land is very essential to the livelihood and standard of living of the people, hence any development activity that affects their source of livelihood should accommodate the participation of the people.

Figure 6.18: Occupation of Respondents, TASAF Project

OCCUPATION OF RESPONDENTS

	Student	Farmer	Unemployment	Other Occupation
Linoha	7.4%	48.1%	5.6%	5.6%
Pangatena	0.0%	18.5%	11.1%	3.7%
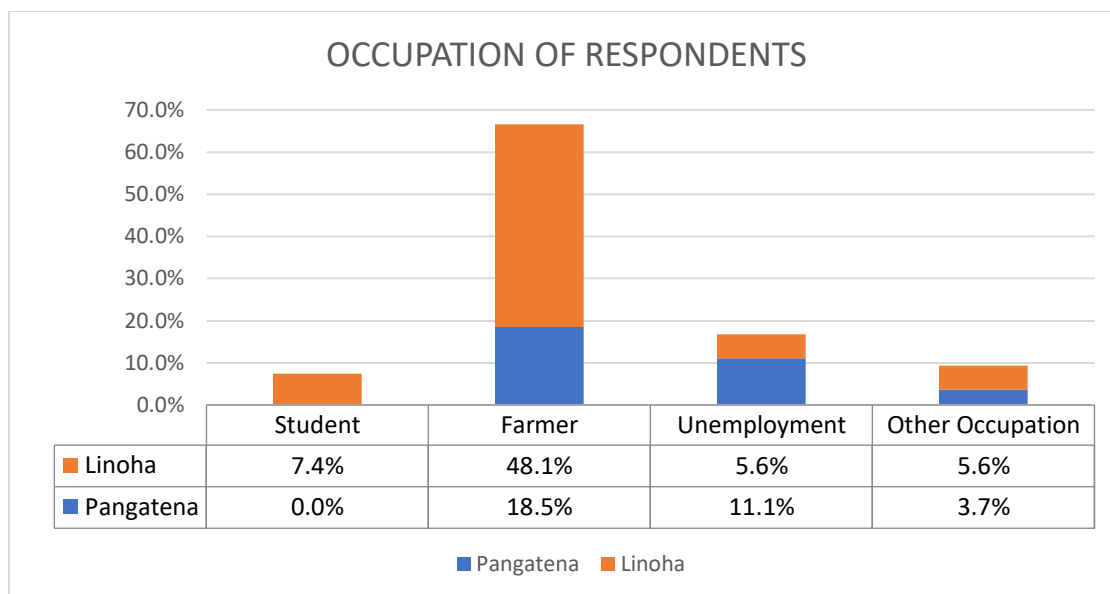
Source: Lindi Field Survey, 2015/16

E. Community Awareness about the project

79.6% of the respondents knew about TASAF while 20.4% did not know about TASAF. A small group (1.9%) stated that they are beneficiaries of the project but do not know about the project. Analysis of the two communities gives a clearer meaning to this finding. In Pangatena, 88.9% of the respondents were beneficiaries but only 66.7% know about the TASAF project. This is because the direct beneficiaries can be deemed vulnerable and did not fully engage at the planning stage of the project. The study found that there is significant information gap between what is communicated by the TASAF management and the information relayed to the main beneficiaries. This is because some of the beneficiaries were not part of the initial facilitation and project planning due to their vulnerabilities. In Linoha however, respondents are well aware of the project, which shows that community engagement on the Linoha project was much more effective.

F. Community Knowledge of project benefits and impacts

A five point Likert scale ranging from Strongly Agree to Strongly Disagree was used to determine the extent of participation of the community in the TASAF project. To determine community knowledge of the project, its impacts and benefits, three variables were considered- those the

project has impacted; knowledge of project benefits and impacts and those contacted by representatives from TASAF.

The study shows that 46.3% agree that they have knowledge of the impacts and benefits of the project, 33.3% strongly agree, 9.3% neither agree nor disagree, 7.4% disagree and 3.7% strongly agree. From these responses, it can be inferred that majority of the respondents have knowledge about the TASAF project and its impacts and benefits. From engagement with the TASAF office at Lindi Rural District as well as focus group discussions in the two communities, it was confirmed that communities were allowed to brainstorm and come up with their own initiatives, which TASAF finances and provides support for implementation, monitoring and evaluation. Consequently, the benefiting communities know how the project will impact them since they chose it based on their needs.

Pangatena has 55.5% of the respondents in agreement with knowledge of project impacts and benefits, 8.4% indifferent and 39.9% not having knowledge of project benefits and impacts. Comparatively, in Linoha 77.8% agree with having knowledge of project impacts and benefits, 13.9% indifferent and 8.4% not having knowledge of project benefits and impacts. This goes to confirm the assertion made earlier about Pangatena where beneficiaries were contacted via representatives which has created a communication / information gap which has limited the participation of the direct beneficiaries on the project.

Figure 6.19: Community knowledge of project impacts and benefits

Community knowledge of project impacts and benefits

Strongly Disagree	3.7%
Disagree	7.4%
Neither Agree or Disagree	9.3%
Agree	46.3%
Strongly Agree	33.3%

■ Community knowledge of project impacts and benefits
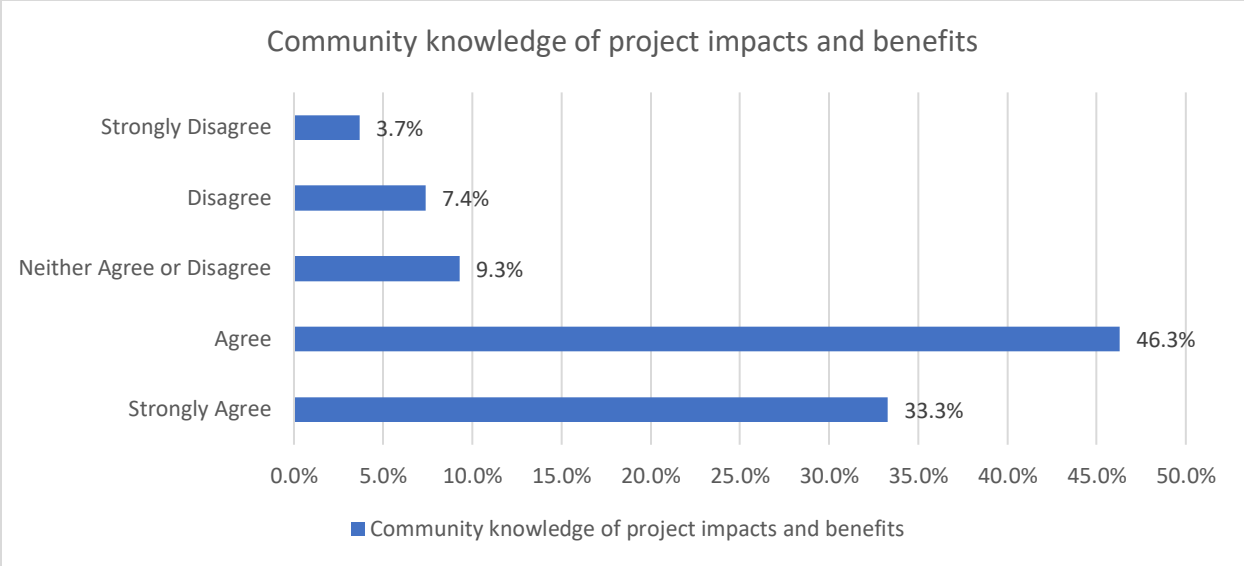
Source: Lindi Field Survey, 2015/16

Cross tabulating community knowledge with engagement by TASAF representatives, it was realized that respondents who were indifferent and disagreed with having knowledge of project impacts and benefits were not contacted by the TASAF representatives directly. This indicates that there is a direct relationship between knowledge of project benefit and impact and being consulted which emphasizes the key role played by community engagement in the understanding of a project. To further prove this, these two variables, knowledge of project benefit and impact, were correlated using Spearman's correlation.

G. Consultations

The main variable used to determine the mode of community participation is the kind of consultations that took place in the community. There were no disagreements to the fact that all consultations were carried out in the respective communities and in their first language which is Kiswahili. These meetings usually take the form of a community congress on general matters, while TASAF Implementation team members' meetings are conducted on specific issues focusing on project management. However, it should be noted that there were no specific meetings targeted the demographic divides.

Representatives from TASAF contacted project beneficiaries in each community and the study revealed that 61.1% of the respondents strongly agree, 18.5% agree, 11.1% disagree and 9.3%

strongly disagree. However, it was realized 45% of those who disagree and strongly disagree are not beneficiaries of the project hence were not contacted. Linoha had cases of people not being contacted which is possible as the project implemented is infrastructural and to the benefit of the whole community in general hence the people might not have been contacted on individual basis but through community congress (community meetings) which some may or may not have attended.

In Pangatena, the quantitative survey indicated that all the beneficiaries were contacted by representatives of TASAF as the project was for the benefit of vulnerable people. This appeared a little confusing until it was discussed further during the FGD, and it was confirmed that most of the beneficiaries were contacted via their representatives (who are in many cases, care-givers to the vulnerable people), which means they were not directly contacted. Some respondents reiterated that the decision of joining the livestock sub- project was taken by their representatives who felt the project will benefit them, even against their consent. This raises an issue of indirect participation. This demands an exploration of ways by which the views and contributions of individuals can be incorporated into decision making through representatives. From this study perspective, it was evident that the use of representatives or the indirect participation of the direct project beneficiaries is crucial to project acceptance and success.

The European Institute for Public Participation (EIPP) as cited in Holmes (2011) states that the challenge of representation and whether it actually articulates the opinions of the populace is one of the main factors that affects successful participation. This demands an exploration of ways by which the views and contributions of individuals can be incorporated into decision making through representatives. From this study perspective, it is evident that the use of representatives or the indirect participation of the direct project beneficiaries is crucial to project acceptance and success. The study went further to determine if consultations were adequate for the needs of the people.

Figure 6.20: Was consultation adequate for respondents needs, TASAF Project

ADEQUATE CONSULTATION	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
Pangatena	38.9%	50.0%	0.0%	5.6%	5.6%
Linoha	19.4%	63.9%	5.6%	11.1%	0.0%
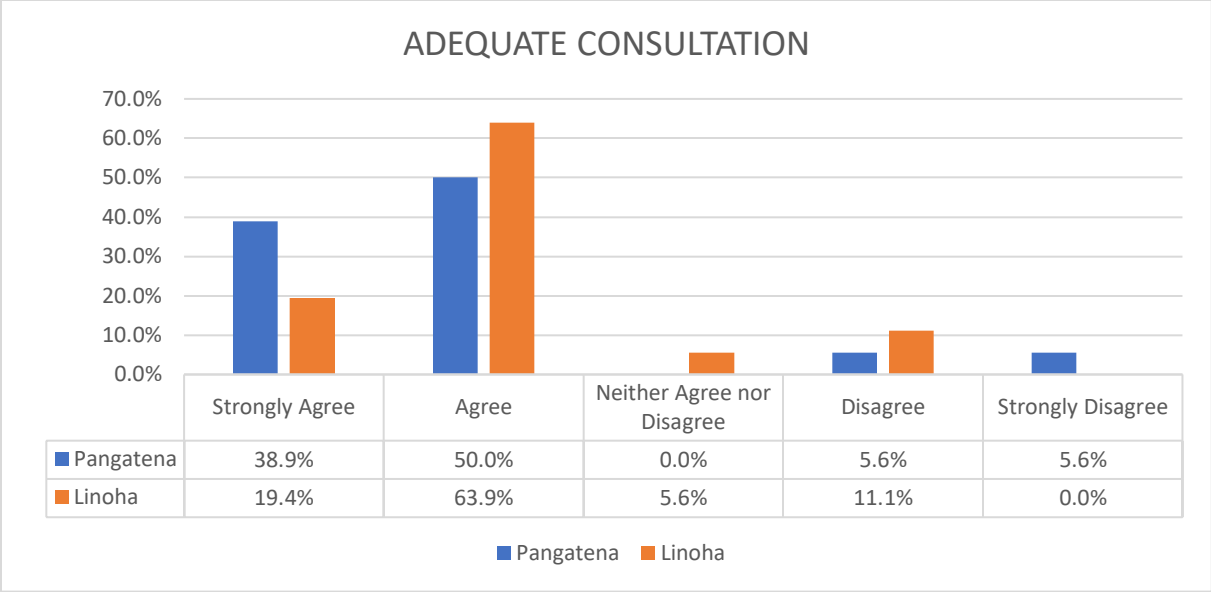
Source: Lindi Field Survey, 2015/16

From Figure 6.14, it is generally agreed that consultation was adequate for the needs of majority of the respondents in both Pangatena and Linoha but this is due to entirely different reasons. For Linoha, the consultation was adequate because the people were involved in decision making of the choice of projects as well as their implementation. Furthermore, the respondents in Linoha who disagree with their information needs being met are those who were not consulted directly. Pangatena however is a different case. From the quantitative survey, 88.9% agree that their information needs were met but a closer discussion during the FGD revealed that this can be questioned. It was identified that the people do not know how much information they are entitled to and felt that they did not have a right to voice out their opinions since they were being given free goats and "*He who pays the piper calls the tune*". More so, voicing their opinions signifies their ungratefulness for the gift given to them which is unacceptable from their cultural perspective.

H. Correlation between consultation and knowledge of project benefit, TASAF Project

When cross tabulating community knowledge with being contacted by TASAF representatives, it was realized that respondents who were indifferent and disagreed with having knowledge of project impacts and benefits were not contacted by the TASAF representatives directly. This indicates that there is a direct relationship between knowledge of project benefit and impact and

being consulted which emphasizes the key role played by community engagement in the understanding of a project. To further prove this, these two variables were correlated using Spearman's correlation.

Table 6.10: Correlation between consultation and knowledge of project benefits and impacts, TASAF Project

			I have been contacted by representatives from TASAF	Knowledge about the project impacts and/or benefits
Spearman's rho	I have been contacted by representatives from TASAF	Correlation Coefficient	1.000	.350[**]
	Knowledge about the project impacts and/or benefits	Correlation Coefficient	.350[**]	1.000
**. Correlation is very significant at the 0.01 level (2-tailed).				

From table 6.10, it is evident that the correlation coefficient is 0.350 which indicates a statistically significant relationship between being contacted by representatives from TASAF and knowledge about the project benefits and impacts. This relationship is however not too strong which when compared to information from the focus group discussions indicate that for TASAF, knowledge about project impacts and benefits is not completely dependent on being directly consulted. This is because of the nature of the projects implemented under TASAF. For instance, the dispensary constructed in Pangatena is an infrastructure project which benefits all the inhabitants hence some people might be beneficiaries of the project but not necessarily consulted directly. It is then arguable that though participation is crucial to development projects, the extent and nature of participation can vary with different type of projects.

In addition, even though the respondents had knowledge of the project, efforts aimed at enabling the respondents to manage project impacts and attaining maximum benefits seem to be minimal. When asked if there was a direct attempt targeted at their age group on how to manage the impacts/attain benefits of the project, 50% of respondents disagreed, 5.6% strongly disagreed, 11.1% neither agreed nor disagreed, 11.1% agreed and 18.5% strongly agreed. This clearly shows the need for further sensitization of beneficiaries on how to get optimal benefits from the projects they participate in. Women and children are usually more disadvantaged in the adverse impact situation; this can also be said in the case of positive impact situations (MDG Report 2015). Consultation and participation in development projects needs to be inclusive to get equal benefits for all from such initiatives. Arnstein (1969) has argued this since 1969 when presenting the position that there is a strong component of power relations in participation (Cornwall 2011). As variously argued, participation has a strong component of power struggle where the more powerful side struggle to retain control at the expense of the weak (Desai and Potter 2008), this is evident in community projects, where women and children and sometimes youth are disadvantaged by a few who control resources and by extension, monopolize participation of the people's development (Tsikata 2003).

I. Empowerment and Knowledge Sharing

In determining whether the project will enable the communities to participate, the respondents were asked if the consultation was knowledge sharing as well as empowering.

Figure 6.21: Empowerment, TASAF Project

EMPOWERMENT- TASAF PROJECT

	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree
■ Pangatena	41.20%	29.40%	5.90%	23.50%
■ Linoha	30.3%	60.6%	0.0%	9.1%
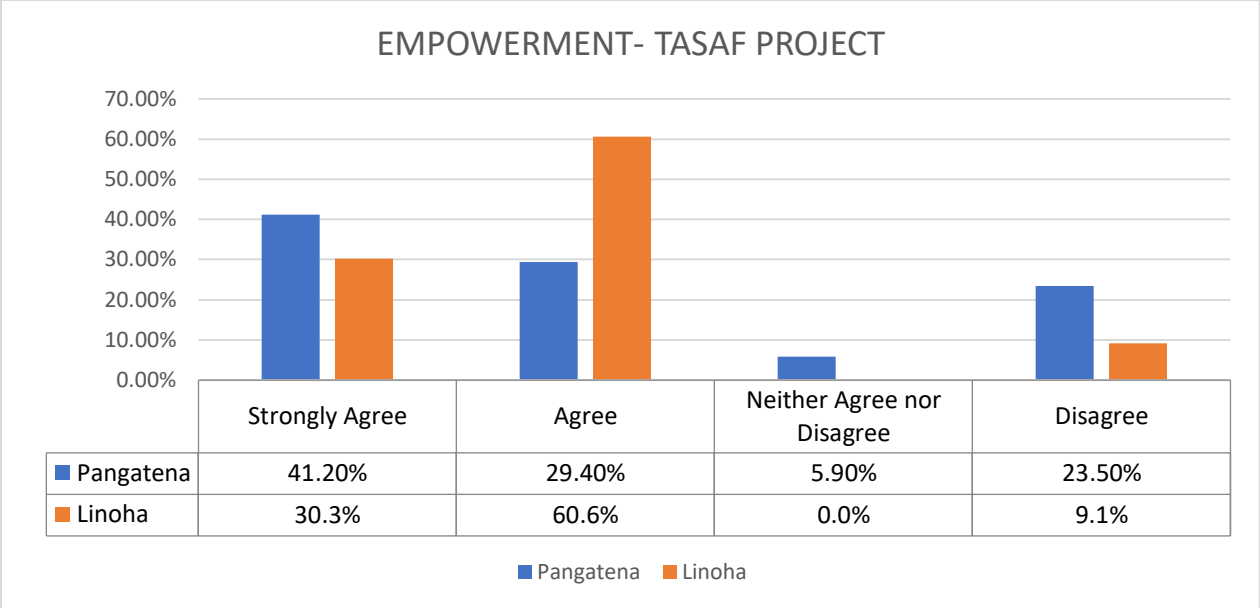
Source: Lindi Field Survey, 2015/16

From figure 6.21, it is evident that the respondents from both villages agree that the consultation process for the project was empowering. This is true for the people of Linoha because the project gave them the power to decide on the project and facilitate the successful implementation. In addition, the committee members stated that they have received new skills and the community is confident in owning its own development process.

One outstanding definition of participation according to Giles Mohan is the ability to share power and control. Citing the definition proposed by GIZ, it describes participation as 'co-determination and power sharing throughout the program lifecycle (Desai and Potter 2008 p. 46). To share power in this context means that some level of power would be retained by either side participating which would lead to the empowerment of the less powerful. This is essential because in practical terms each party needs to retain certain level of control at least about things that affect them directly, such as their development. The Linoha community retained this level of control in the infrastructure sub- project where the community implementation committee (a group of male and female representatives selected by the people to represent them on the TASAF project) was allowed to decide on the project and trained to supervise the implementation and participate in the monitoring and evaluation. Wilcox in his *Guide to Effective Participation* (2001) highlighted an important component in attaining participation in practice. He argued that empowering the

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participant is a crucial component on different counts as only an empowered participation can make informed decision which is critical component as reiterated by Arnstein in 1969 (Cornwall 2011, Wilcox 2001).

Figure 6.22: Knowledge Sharing, TASAF Project

KNOWLEDGE SHARING- TASAF PROJECT

	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree
Pangatena	33.30%	44.40%	5.60%	16.70%
Linoha	51.4%	25.7%	20.0%	2.9%
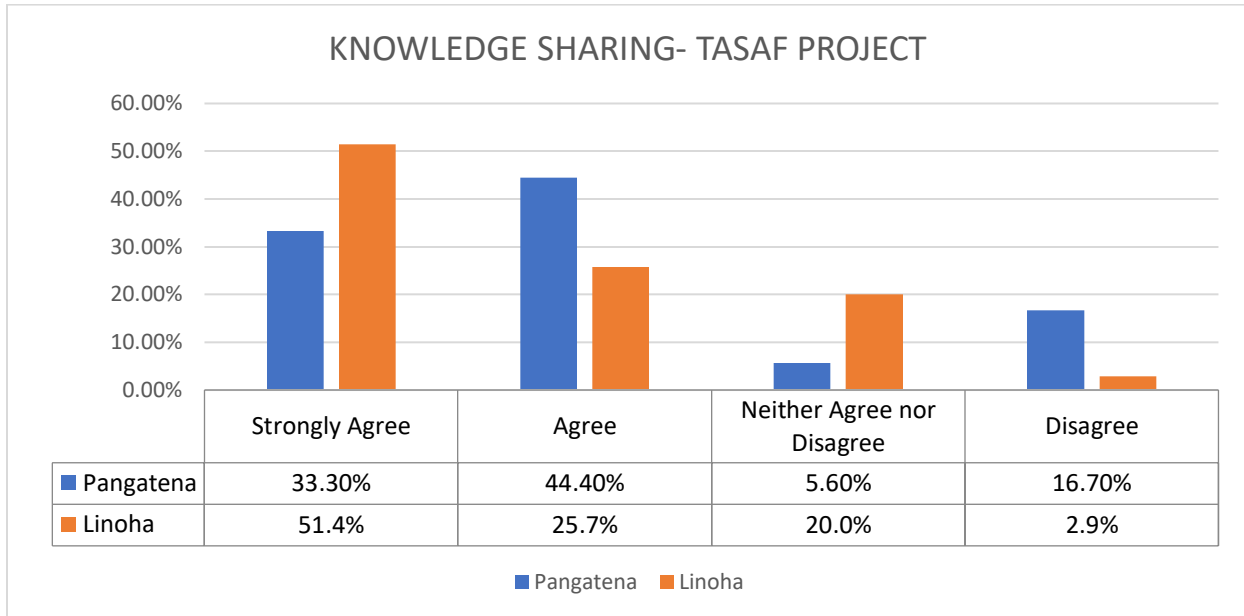
Source: Lindi Field Survey, 2015/16

Again it is clear that a substantial part of respondents in both communities definitely agree that the consultation process for the TASAF projects was knowledge sharing. In Linoha, the infrastructure sub- project allowed the community retained some level of control in deciding which project best met their needs and in gaining the necessary skills needed to implement, monitor and evaluate the project. It may seem surprising that the beneficiaries of the livestock project in Pangatena agree that the project was empowering and knowledge sharing even though quite a few people disagree. However, Pangatena's perspective of empowerment varies from that of Linoha in that, the respondents expressed in the FGDs that they now own something they did not previously have hence they feel they have been empowered. Their understanding of empowerment is based on the free acquisition of an "asset". They went further to mention that they were simply informed about the project which they consider as 'knowledge sharing' and provided with goats to raise for milk and sell to sustain their livelihoods. Even so, they did not receive adequate knowledge on goat dairy production and there were no extension services required to make the project a success.

A crucial component of participation is knowledge sharing. Cornwall (2011), while exploring different definitions of participatory development, admits that there are several perspectives to defining participation, but one crucial component of participation in relation to development that cannot be overemphasized is the knowledge sharing perspective. Citing the definition proposed by Chambers in 1997, which Cornwall believes looks at the subject from a mutual leaning perspective, it describes participation as "an epistemological and practical issue of understanding where others are coming from and, ideally learning from one another to achieve a better outcome" (Desai and Potter 2008 p. 46). This was measured in the project to gauge to what extent was knowledge shared or to what extent did the process increase the knowledge base of the participants.

J. Experience on Project

Overall experience on TASAF was satisfactory for both communities as 83.3% of the respondents from agree to the project experience being satisfactory while 77.8% of the Linoha respondents agree that their experience on the project was satisfactory.

Figure 6.23: Experience with Project, TASAF

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Figure 6.23: Experience with Project, TASAF

For Pangatena, the respondents are satisfied with the project because they received free goats and culturally, one should show happiness when one receives a gift, which has been expressed in their response. They stated emphatically "Who says no to freebies?" and were happy that they had at least received something even though they were not directly consulted and the project has failed to meet their needs.

Not only were the respondents satisfied with their experience on the project, the majority of the respondents in both communities felt that the project would benefit Tanzanians. 67.9% strongly agreed, 22.6% agreed, 1.9% neither agreed nor disagreed, 5.7% disagreed and 1.9% strongly disagreed. This is most likely since 79.3% of the respondents had knowledge of project benefits and impacts and 92.6% perceive that community participation has taken place. The 1.9% of respondents who strongly disagreed were from Pangatena and they believed that the livestock subproject has not been of any benefit to them.

In Pangatena, despite the challenges with the livestock sub- project, some beneficiaries felt the project would have been more beneficial had they had better access to extension service and different breed of goats. Others felt TASAF should rather use the unconditional and conditional transfers as a means to sustain the livelihoods of vulnerable households as a support mechanism rather than the livestock sub-project. They suggested this mechanism against the backdrop that the conditional and unconditional transfers, a PSSN component where vulnerable households are given some money transfer for basic sustenance and the economically active in these households are given part time employment in public works to earn additional income, could have been more appropriate for them as they are helpless and cold not actively engage in such rigorous livestock keeping activities.

K. Analysis of overall participation, TASAF

Participation is said to involve knowledge-sharing, empowerment, taking decisions and responsibility and benefiting from a project. To determine the overall participation in the select TASAF project, the parameters of being contacted by representatives of TASAF, being

empowered to participate and benefiting from the project have been consolidated in the figure below.

Figure 6.24: Overall Participation for TASAF Projects

OVERALL PARTICIPATION

- Strongly disagree: 1.9%
- Disagree: 11.1%
- Neither agree nor disagree: 3.7%
- Agree: 38.9%
- Strongly agree: 44.4%
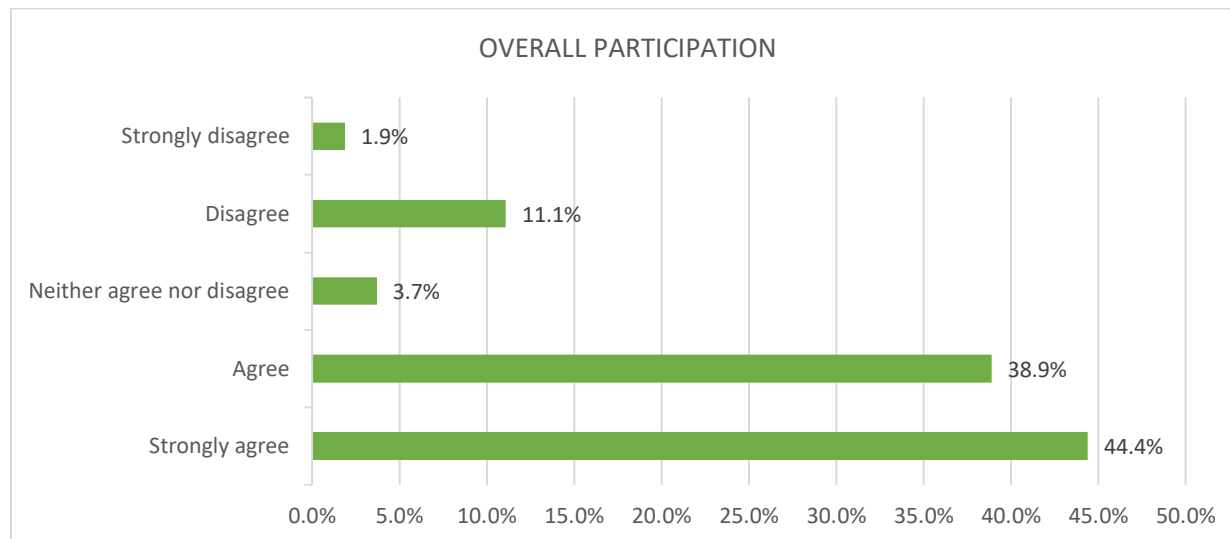
Source: Lindi Field Survey, 2015/16

44% of respondents strongly agree they have participated in the TASAF Project, 38.9% agree they participated in the project, 3.7% cannot tell if they did, 11.1% disagree and 1.9% strongly disagree. It is evident that participation is high in the TASAF project as respondents indicated they have been involved and empowered to participate in the project. When asked whether community participation has been achieved on the project, 92.6% of respondents stated that community participation has been achieved on the project. This means that the people were involved in decision making and implementation of the TASAF project. This is further explained in section 6.12. This indicates that even though some respondents do not see the project as empowering, they see themselves as benefiting from the project. Even in some instances where respondents were of the opinion that they have not been consulted (because they were consulted by proxy through their representatives who in the real sense do not represent their interests), they agree that the TASAF has achieved community participation. There are two assumptions at this stage which are: the people either do not have these parameters in their understanding of participation or they believe that since they have received the livestock from TASAF, they cannot claim ignorance of the project. From the FGD discussion, it was revealed that the people showed a lack of understanding

of participation. Some people believe that being told about a project means that you have participated and others believed that from a cultural perspective, being given something as a result of a project and denying participation shows that you are ungrateful and unappreciative of the gift you have received which is inappropriate. An elderly man (a respondent and a beneficiary) retorted when asked if he feels he has participated in making decisions on the livestock project: ...*who says no to freebies? You have been given a goat, whether you can see or not, whether you can walk or not, you have participated. The rest of the matter is your problem. You cannot deny participating, when you already have the goats in your custody* (Male FGD, Pangatena). This therefore explains why the respondents from Pangatena even though they were not consulted, agreed that they have participated.

Additionally, overall participation was correlated with gender, age and educational level to find out if these factors affect participation.

Table 6.11: Correlation between participation and gender, age and educational level: TASAF Project

			Educational level	Gender	Age
Spearman's rho	Participation	Correlation Coefficient	.218	-.131	-.078

It is evident that there is a weak positive relationship between educational level and participation. This means that the rate of influence of education on participation of the people is negligible. Education is relevant to participation (Kilewo and Frumence 2015), as it gives people a broader perspective in decision making. Also, with the ability to read and write, the inhabitants are able to read notices, project documents among others to get more information (TASAF Report 2015). Since the infrastructure sub- project of TASAF ensured participation of communities in decision-making, it was relevant to ascertain whether educational level influenced the extent of participation. From a practical perspective, the TASAF Management reveals that there is a minimal level of education required by community members to join the project implementation committee. This is an essential caveat in the project development process because the committee members would be responsible for bank transactions, basic accounting, local procurement, presentation of

report to TASAF management and the district government. Although TASAF would provide basic trainings on all these areas, they affirm it is essential that the participants possess basic education, at least to read and write.

It can also be seen that there is a weak negative relationship between gender, age and participation. This means that as age decreases participation increases but the result is also insignificant and hence negligible. In summary, the relationship between age, gender and educational level and participation is weak and hence they are not factors that influence participation in this study.

L. Awareness of Tanzania Participation Policy (TASAF)

This section examines the level of awareness of the people of Linoha and Pangatena about the community participation component of Tanzanian Government Policies and how this awareness affects their level of participation in the projects under review.

The quantitative questionnaire enquired if the respondent is aware of such policies and if the policies have influenced their participation in the TASAF project. Quantitatively, 40.7% of the respondents from Linoha claimed they had knowledge about the participation policy of Tanzania while 59.3% do not know about the policy. In Pangatena a higher number of respondents (72.2%) did not know about the policy. When asked to describe the content of the policies during the FGD, it was identified that the people in actual sense do not know anything about the policy and their claim of knowledge is just knowledge about the existence of such policies and not the content.

Respondents were further asked how useful the policy would be in understanding participation and influencing decision- making on the project.

Figure 6.25: Usefulness of the Participation Policy to Understanding of Participation, TASAF Project

USEFULNESS OF THE PARTICIPATION POLICY TO UNDERSTANDING OF PARTICIPATION

- Strongly Disagree: 1.90%
- Disagree: 3.80%
- Neither Agree nor Disagree: 1.90%
- Agree: 54.70%
- Strongly Agree: 37.70%

■ Usefulness of the participation policy to my understanding of participation
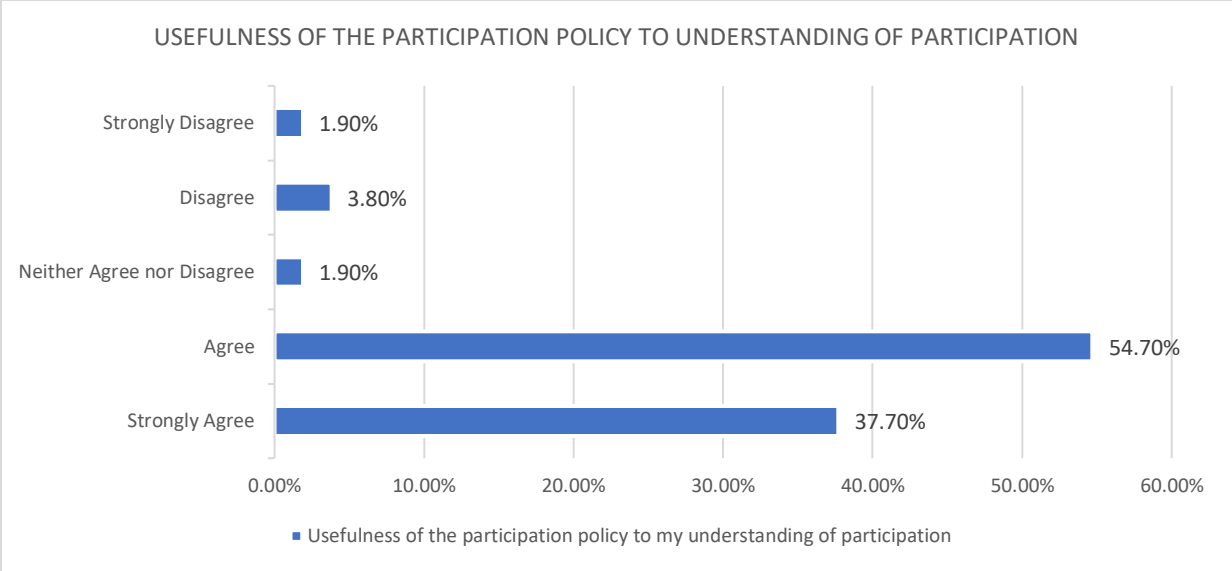
Source: Lindi Field Survey, 2015/16

Linoha and Pangatena had similar results on the usefulness of the policies in understanding participation and the influence of the policy in decision making. One can easily see the importance of the participation policies to the understanding of participation as 92.4% of the respondents agreed that the policy is necessary to enable them to understand community participation (Details of community understanding of participation are discussed in section 6.12). They also mentioned that knowledge of the policies would have made their lives better and influenced their decision making on the TASAF projects.

Figure 6.26: The policy would have influenced decision on the project, TASAF Project

The policy would have influenced decision on the project

Category	Percentage
Strongly Disagree	1.90%
Disagree	1.90%
Neither Agree nor Disagree	7.40%
Agree	46.30%
Strongly Agree	42.60%

■ The policy would have influenced decision on the project
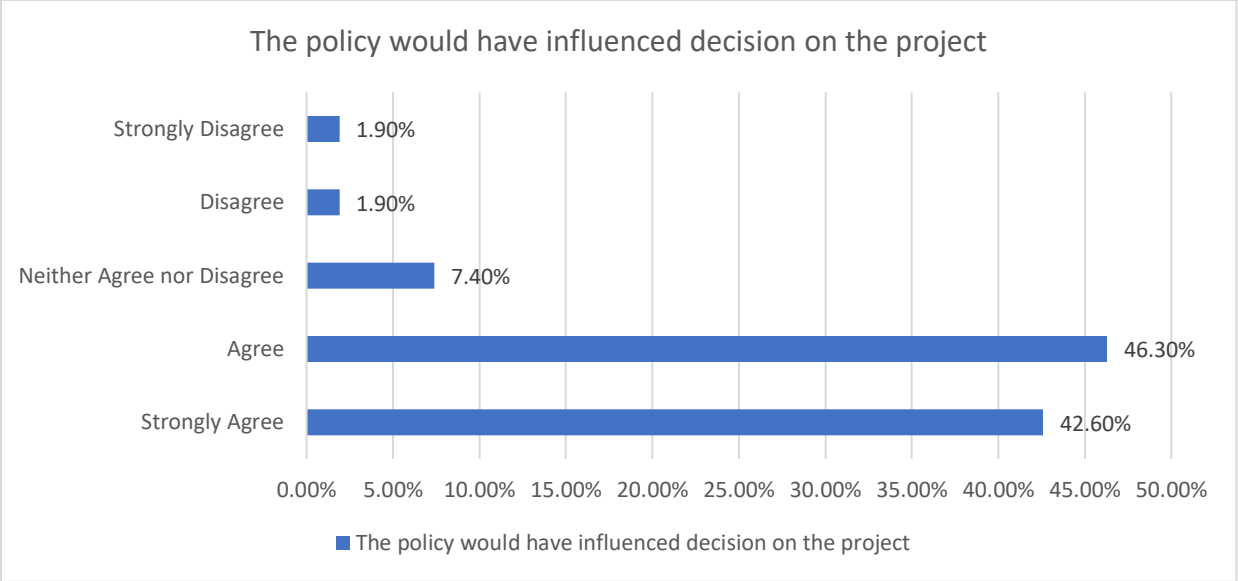
Source: Lindi Field Survey, 2015/16

The results are similar to the influence of the policy on decision making. Again 88.9% agree that knowledge of the policy would have influenced the decision making on the project. During the focus group discussion in Linoha some of the respondents were alarmed that such policies exists for them to pursue their participation in the development projects around them and they indicated that their knowledge of the policy would have had much influence on their participation in the TASAF and other similar projects. According to an elderly lady (a respondent who is also a beneficiary of the project), ... *if I ever knew of a policy like that, even though I am crippled, I would have insisted that TASAF speak with me directly, not my niece, who probably was not able to explain that I cannot look after goats (Female FDG, Pangatena Community).* Going through the Policy with respondents in Linoha, they noted that a significant component of some of the relevant policy particularly Vision 2025, NEEP 2004 and VLA 1999, was already complied with in the implementation of the TASAF projects, as the communities are allowed to choose their own projects and contribute to it through the provision of man power and community representatives to monitor its execution. It was however suggested that though community participation in TASAF is high, knowledge of the policy would have enabled them to take more responsibility, get more benefits and demand that their information needs be met which would improve participation on all sides.

J. Summary of Findings, TASAF

Although communities show awareness of their roles and responsibilities as well as benefits and impacts of the select projects, complete participation was not attained on the TASAF projects. The study revealed that this is due to inadequate knowledge sharing and the mode of participation adopted. Different degrees of participation are seen at play in the TASAF project. Using Sherry Arnstein's ladder of participation (Arnstein 1969, Cornwall 2011), the TASAF project exhibits participation by information sharing, consultation, partnership and delegated power. This is makes it evident that TASAF projects have a high level of community participation. This is expected because TASAF projects are designed to follow the CDD approach. Having said that, there is significant room for improvement. Engagement with the communities indicated that the people are happy to be involved in the decision-making process as well as management and the execution of projects but are constrained because of the limited knowledge they have in implementation, which sees them running to TASAF in many instances. Continuous education and training was missing, which could have helped built their capacity and enable them better own their development.

The study reveals that the infrastructure project in Linoha has been largely successful because of the extent of participation and how the project has met the needs of the people. Pangatena on the other hand seem to have challenges with the livestock sub-project. It can be inferred that inadequate participation has led to the suboptimal performance of the project, failing to meet the needs of the beneficiaries, and in some cases, becoming a burden to those it was supposed to provide for. The main grievances are with the breed of goats provided, the extension service and the monitoring and evaluation of the project. The people believed that if they had the right breed of goat, the growth of the animals would have been faster compared to what they are experiencing now. They also believed that if they had the required extension support, the mortality rate of the animals would have significantly reduced. Many of the goats died and as such, the project has not served its purpose. It is recommended that TASAF need to invest more on direct participation of the project affected persons, essentially when dealing with the vulnerable as in the case of this livestock project. It is essential to interact with the leadership and representatives because not everyone can be engaged one-on-one during the project development stage, which is evident in the case of the successes recorded in Linoha with the community infrastructure project. Nevertheless, this approach has not worked in Pangatena because the project has selective participants, which in

this case should also have a unique feature in the selection process, vulnerability. It can therefore be concluded that different projects have different participation needs.

6.1.1.3 Comparison between TASAF and the Lindi IOC LNG JV

In this section, the TASAF project is compared to the IOC LNG JV using several parameters to determine the level of participation of each project.

A. Awareness

The study revealed that only 30% of respondents were aware of the IOC LNG JV which is very low but this was explained by the fact that 30% of respondents believe that they will be impacted by the project and only 25% were consulted. This indicates a direct correlation between awareness and consultation on the IOC LNG JV. It also shows that 70% of the respondents who are affected by the project are not aware of the project hence do not believe they will be impacted which raises concerns about loss of livelihood and assets of households and whether they will be compensated and how project impacts will be mitigated. TASAF, however, had 79.6% of the respondents being aware of the project which even increased as 81.5% were beneficiaries indicating that some people were benefitting from the project but did not know about it. This is because of the infrastructural project in Linoha which is self- advertising and does not necessarily need one-on- one consultation.

B. Knowledge of Project Benefits and Impacts

49.7% of the respondents had knowledge about the impacts and benefits of the IOC LNG JV while 70.4% of the respondents of TASAF had knowledge about the project impacts and benefits. A higher percentage of people have knowledge about TASAF because most of the communities are allowed to choose their own projects based on their need after which TASAF provides the funds and expertise necessary for project implementation. LNG, on the other hand is an investment project whereby the people will only get to know about the projects through community sensitization which has not been effective so far. One key issue identified in the study is that knowledge about project details is directly related to the mode of community engagement that took place. Communities that were directly engaged had more information than the communities that were not directly engaged for both TASAF and the IOC LNG JV. On the whole community engagement was minimal on the IOC LNG JV as participants had many questions and lacked

adequate knowledge on the project, its benefits and impacts. This is because the form of engagement was basically information sharing – often through intermediaries and thus mostly inadequate.

C. Consultations

Even though some respondents stated that they were consulted about the projects in the case of LNG, the information gathered on consultation presupposes that the form of participation that took place was mainly information sharing at a low level. This is because, there is a contrast between information giving and consultation as consultation is a two- way flow of information between the public and the government or project representatives. It is a buildup on information giving whereby the project representatives go a step further to interact with project affected persons and get feedback which is incorporated into project design and implementation (Mathbor 2008, Paul 1987, Queensland Government Department of Communities 2008). The livestock sub- project of TASAF also falls into this category because none of the beneficiaries was consulted directly but rather informed about the project. It can be concluded that in actual sense consultation did not take place in the LNG and TASAF livestock sub- project as respondents do not have information about the project and their views and opinions were not sought in the project. The TASAF infrastructure project shows a clear example of consultation as the community members were involved in deciding the project that will meet their need and were even involved in the implementation process.

D. Information Needs

The information needs of the majority of the respondents of the IOC LNG JV were not met. This is because many of the communities had one meeting where they were told about the project and told their crops will be valued for compensation. The communities stated they were confused about the project and needed clarification on various issues. For TASAF, the majority of the respondents indicated that their information needs have been met. This is because the people were involved in the decision-making process and have representatives who monitor the implementation of the project.

E. Experience on Project

TASAF respondents had a more satisfactory experience on the project as compared to the IOC LNG JV respondents. This can be attributed to the low level of consultation on the IOC LNG JV and the information gaps. Respondents expressed feelings of neglect and being cheated by the project representatives.

F. Improvement of the lives of Tanzanians

The respondents for the TASAF project were more confident that the project will improve the lives of Tanzanians as compared to the IOC LNG JV respondents. This disparity can be attributed to the lack of adequate participation of the people on the IOC LNG JV as compared to the TASAF project.

In the light of the challenges identified during the study, the respondents on the IOC LNG JV mentioned TASAF as an exemplary project that has achieved participation and that LNG can learn lessons from.

6.1.1.4 Roles of NGOs

The study also sought to determine the roles that NGOs and CBO's play in project areas. A total of 21 NGOs and CBO's were interviewed regarding consultations, knowledge of project benefit and impacts, involvement of communities in decision making, implementation and monitoring of projects and knowledge of Tanzania's Participation Policy.

A. Knowledge of Project Benefits and Impacts

42.9% of the NGO's stated that communities know about the benefits of the projects they implement, 38.1 percent neither agree nor disagree and 19% do not agree that communities know about project benefits. The same applies to project impacts as 50% agree communities know the impacts, 40% neither agree nor disagree that communities know and 10% disagree that the communities know the impact of projects. The NGOs stated that they share information about the project impacts through community leaders and directly with project beneficiaries within the communities.

Figure 6.27 Knowledge of Project Benefits

KNOWLEDGE OF PROJECT BENEFITS

- Strongly Agre — 4.80%
- Agree — 38.10%
- Neither Agree nor Disagree — 38.10%
- Disagree — 19%
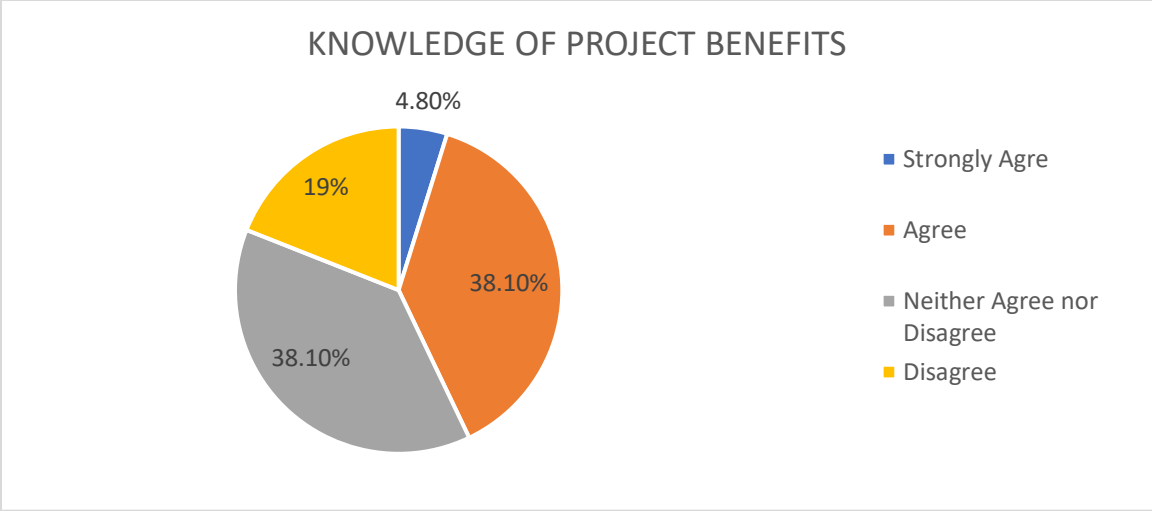
Source: Lindi Field Survey, 2015/16

A significant number of NGOs neither agrees nor disagrees that communities know about the benefits and the impacts of the projects they implement and this indicates that the NGO's are not sure whether communities know about the project or not. This is indicative of the kind of engagement that these institutions undertake as some of the NGO's confirmed that they usually interact with community leaders and some beneficiaries of the project but do not always make it their mandate to ensure that communities are aware of project impacts and benefits.

B. Consultations

When asked whether they ensure participation of inhabitants in their projects, 71.4% of the NGO's and CBO's stated that they ensure participation, 23.8% could not state whether or not they ensured participation and 4.8% did not ensure participation. It was identified that consultations were done mainly through community leaders as 71.4% agreed they contact inhabitants through community leaders. 42.9% agreed that they also contacted the people directly. 42.9% of the respondents agreed that the communities are informed about projects before implementation, 33.3% neither agreed nor disagreed and 23.8% disagreed that communities were informed before implementation.

There are a range of NGO's operating in Tanzania in different sectors such as agriculture, education, capacity building, youth empowerment, economic empowerment, legal rights, poverty alleviation among others (Tanzania National NGO Coordination). A background on NGO

activities in Tanzania indicate that NGO's have been in existence even before colonial rule and they started as community based or faith based organisations to help its members in times of need or for recreation and sports. NGO's both local and international have evolved overtime to play key roles in the development of communities and citizenry (Mason 2011; Kapinga, 2011 and Mtatifakolo, 1999). Even though the majority of NGO's and CBO's state that they ensure community participation, the study has revealed that this is not entirely the case in the Lindi region. This is because community engagements carried out during projects are mainly through community leaders and it is basically in the form of information sharing. Even though the NGO's and CBO's claim they ensure participation, their consultation process is not adequate as they state that they mostly just inform the community leaders who then tell the community about the project being carried out. Sometimes the community members are informed directly through community meetings and one- on- one sessions especially with beneficiaries. Also, some communities are rarely informed about projects or activities before implementation which shows low participation.

C. Involvement of communities in project preparation and implementation

52.4% of the NGO's and CBO's agreed that the communities were involved in decision making about the choice of project, 19% neither agreed nor disagreed and 28.6% disagreed with this. Surprisingly, only 19% of NGO's and CBO's agreed that they involve the communities in project implementation. 33.3% neither agree nor disagree and 47.6% disagree. Also, 22.2% agree that communities are involved in monitoring of projects, 16.7% neither agree nor disagree and 61.2% disagree.

This clearly shows that the level of involvement of communities by NGO's in project preparation, execution, monitoring and evaluation is minimal in Lindi. From interactions with the NGO's, it was identified that NGO's mostly involve only the beneficiaries of the project but management of the implementation and monitoring and evaluation is carried out by the implementation agency. Also, the results showed very low involvement of communities in project preparation, execution, monitoring and evaluation by the NGO's. GIZ recognizes the importance of involving communities in project decision making as it states in its 2014 Annual report for Tanzania German Programme to Support Health that:

"A lack of involvement of community representatives in health planning causes many issues to remain unsolved. This challenge is tackled by training regional and district health managers in exercising participatory planning for local communities. The participatory planning empowers communities to actively engage during the planning process and ensure resource allocation based on their needs".

(GIZ 2015 p.9)

This means that the involvement of communities or project beneficiaries in decision making and implementation has a greater chance of that interventions meet the needs of the people. NGO's are unable to ensure participation due to a number of reasons. Many NGO's face the challenge of inadequate funding and usually rely on donor funding for their activities. These funds have conditions attached such as already determined priority areas and project design. To ensure continuous flow of funds for their operations, they adhere to the restrictions imposed by their donors (REPOA, 2007; Mason 2011 and Kapinga, 2011). The enactment of the National Policy on NGO and the instituting of regulatory bodies for NGO has posed another challenge with regards to ensuring participation. In order to maintain government relationship, some NGOs often implement projects that promote government interest rather than community or public interest (Gideon 1999 as cited in Mason, 2011).

Avolio-Toly (2010) assessed select NGO's worldwide implementing educational programmes. She identified that the successful NGO's were those that provided solutions tailored to meet specific community needs. This was achieved through involvement of the beneficiary communities in the planning, decision-making, funding and implementation of the projects as well as capacity building for management of the projects.

D. Knowledge of Tanzania's Participation Policy

NGO's were questioned about their knowledge of the Tanzania Participation Policy. The study revealed that 38.1% of the respondents knew about some government policies with participation component while 61.9% did not know about any policy. The NGO's mentioned the Environmental Management Act, 2004, National Youth Development Policy, Participation for Development and Women involvement in Agriculture. About 66.7% of the NGO's and CBO's responded that knowledge of the Tanzania Participation Policy would have positively affected participation of

communities in the projects, 9.5 % feel it would make no difference and 23.8% disagreed. Again, it is evident here that the lack of knowledge of the participation policies affects participation as people do not know their rights and responsibilities with regards to community participation. To emphasize this point, ignorance of the people was the main challenge that faced the NGOs in ensuring participation hence increased engagement and public awareness of participation policies as well as projects will contribute to increasing participation. Other challenges faced are poor mobilization of people, gender discrimination and apathy on the part of the community members.

6.1.2 Communities' Understanding of Participation

Respondents from the quantitative survey and FGD's were asked to describe their perception or understanding of participation for each of the projects which is one of the objectives of the study.

A. IOC LNG JV

For the Lindi IOC LNG JV, it was identified that 66.7% of the respondents have no idea what participation means, even though this was explained in Kiswahili. Others defined participation as building capacity, community growth and development, etc. The most prominent definition by the people is that participation is 'cooperating with government for development projects and improved standard of living in terms of livelihoods, income and employment'. Two communities stood out in their understanding of participation. In Likong'o, 96.6% of the population understood participation to be community development through joint effort, while in Masasiya Leo 46.3% perceived participation to be community capacity building for development. From this, it can be inferred that the extent of community engagement affects community understanding of participation which subsequently affects their level of participation in any development activity. This is because, these were the directly engaged communities that received firsthand information from the government and project representatives. The focus group discussions in MtoMkavu, Masasiya Leo and Kikwetu however revealed a better understanding of community participation. A respondent from MtoMkavu defined community participation in development projects as "*an act of government and non-government entities to inform, involve and consult people in any development related initiative*". A male respondent from Masasi ya leo also defined it *as working together to achieve goals that are shared and understood by all parties*. A respondent from Kikwetu stated that simply put participation is *where people and projects work together*.

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B. TASAF Project

For the TASAF project, community participation was seen mainly as involvement of people in decision making and implementation of projects that affect them. This definition of participation came out from the focus group discussions in Linoha as community members acknowledged the fact that they are made to choose their own projects and trained to implement, monitor and evaluate the project. One key issue raised during the focus group discussions was that empowerment and capacity building is key to community participation as the people will not be able to execute and supervise projects effectively if they lack the knowledge and the skills needed hence this will reduce their participation. The people of Pangatena described community participation as empowerment during the FGD. They explained that empowerment means being provided with the needed resources to better one's life and the community. They cited finance, education and skills training as examples of resources.

6.1.3 Corporate Policies of IOCs and their level of 'invited participation'

Several International Oil Companies (IOCs) operate different offshore blocks in Tanzania for exploration of oil and natural gas. To harness the natural gas for export and domestic use, the Tanzania government under the Ministry of Energy and Minerals and Mines and the Tanzanian Petroleum Development Corporation has initiated a joint venture between these IOCs to construct an onshore Liquefied Natural Gas export terminal to explore, process and package the proceeds from the newly discovered gas filed in Tanzania. These IOCs include; BG Group, Statoil, ExxonMobil, Ophir Energy and Pavilion Energy. The study examines the corporate policies and development strategy of these companies and assesses the level of invited participation in these policies and plans.

A. BG Group

Royal Dutch Shell Plc (Shell), has acquired BG Group as at February 2015, hence this study considered the corporate policy of Shell, being the principal owner of BG Group. The findings from the Shell Sustainability Report, 2015 reveals that their community engagement framework has five focal areas which include: (i) Community Engagement and Feedback, (ii) Working with

Indigenous People, (iii) Managing land Access and Resettlement, (iv) Respecting Cultural Heritage and (v) Aligning to Best Practices. The five focal areas listed gives the background for Shell operations globally to ensure optimal community engagement. Shell believes that through community engagements, the needs of the people would be identified and addressed as project benefits. Shell has sustainability strategies that guides their operations around the globe and their sustainability policy aims to mitigate adverse effects and manage impacts that may not be avoidable. Shell confirms that for every project, community liaison officers are employed to serve as a link between the company and the community and to disseminate information about project impacts. They also have community feedback procedures to receive, record and respond to inquisitions and complains from communities.

To analyze this, Pulver (2007) in agreement with Schweitzer (2011) mention that Shell is global leader in upstream sector of the petroleum industry, particularly exploration and production of oil and gas products and chemicals. The corporate stand on sustainability projects that the platform is open for community contribution in impact assessment and mitigation in line with international best practices. Perhaps the three unique features of compliance with international best practice in accordance with the IFCPS 2012 and the World Bank EHSG is the sustainability strategy which focuses on indigenous people, resettlement and cultural heritage, which has been a major challenge over the last one and half decade in social sustainability (World Bank Resettlement Report 2015, Byamugisha 2013, WB EHSG 2013, IFCPS 2012). Shell's corporate sustainability strategy highlights project communities who have been described as major stakeholders within the sustainability framework. From the corporate perspective, Shell's sustainability strategy leans heavily alongside the international best practices (ibid), but again, there is significant difference between policy and practice. (Pulver 2007, Schweitzer 2011). Clearly, following international best practices indicates that they would give as much room for 'invited' participation, which strengthens the participants' position on all sides, but following the advice of Pulver above, this can only be judged on a case by case situation. Typical example of non-compliance with this corporate strategy include the post court-ruling compensation pay-outs following unfair treatment of the community in which they operate and the court cases being instituted against Shell Nigeria by two communities: Bille and Ogale both in Rivers State. The communities accused Shell of gross pollution and inadequate consultation which clearly shows that Shell has not consulted the

communities prior to the impact neither has it made adequate provision in a participatory manner with the directly impacted after the project impacts (David Standard (Leigh Day), May 2015).

B. Statoil

Statoil has been in operation in Tanzania since 2007 as Statoil Tanzania AS with 65% working interest with ExxonMobil Exploration and Production Limited as a partner with 35% interest (Statoil 2015). On the global stage, Statoil sees itself as an emerging giant with innovative ideas to lead the oil and gas industry (The Statoil Book 2015). Statoil's corporate sustainability policy focuses on the roles and responsibilities of the company to its employees and stakeholders with minimal emphasis on community participation. It was stated that Statoil is committed to sustainability by contributing to social and economic development through local employment, procurement and capacity development. Statoil corporate policy also plans to identify and manage environmental and social issues through risk and impact assessment that include 'appropriate stakeholder engagement'.

The term 'stakeholder' is very generic within the confines of social sustainability. Describing corporate policy with such language without clear definition of who these stakeholders are; corporate, public or project affected communities may amount to buzz-word syndrome, which is arguably at its peak in the social and environmental sustainability industry (Cornwall 2011, Desai and Potter 2012, Leal 2007, Cooke and Coutari 2001, Hickey and Mohan 2004). In fact, according to scholars, the language of participation has been reduced to slogan by the practitioners and the community of impact are often at the receiving end of the backlash (Cooke and Kothari 2001, Hickey and Mohan 2004). The mention of 'appropriate stakeholder engagement' is more like towing the line of the international sustainability best practice framework, which recommends that the project impacted stakeholders, particularly the directly impacted community should be involved in joint planning towards mitigating and managing project impacts (IFC PS 2012, WB EHSG 2013), but unlike the popular sustainability safeguards, the Statoil policy is without any specific focus on directly impacted community which is usually the most important stakeholder in terms of project impacts (Akabzaa 2009, Bassey 2010). In measuring the type of participation that has been demonstrated by this policy, Statoil corporate policy has not displayed any 'invited'

participation, as it has not created sufficient space within its corporate structure to demonstrate that people are welcome to participate in its sustainability structure.

C. ExxonMobil

ExxonMobil is one of the three largest oil company globally (Pulver 2007, Schweitzer 2011). ExxonMobil operates in Tanzania as ExxonMobil Exploration and Production Tanzania Limited (EMEPTL) which is a fully owned subsidiary of ExxonMobil. The organisation's corporate policy has a section on Community and Social impact which emphasizes the seven main areas through which the community is engaged. They include: (i) Community Relations, (ii) Economic Development, (iii) Transparency and Corruption, (iv) Land Use and Resettlement, (v) Cultural Heritage and Diversity, (vi) Indigenous People, and (vii) Human Right. According to the ExxonMobil Corporate Policy (2015 p. 44-48), 'the success and sustainability of the business depend on how well it manages socioeconomic impacts and address the 'interests of the communities in which we work'. Proactively identifying, avoiding and managing potential impacts, while also enhancing community benefits, is integral to completing projects successfully and developing long-term, positive relationships. The company engages with stakeholders such as project communities, NGO's, Customers, Governments, Shareholders and employees who are seen as directly impacted by their activities. At the community level, their interest is in community development, human rights, economic development and management of grievances. According to the corporate policy, ExxonMobil throughout the lifespan of every project activity ensures regular engagement with local communities to share information and register concerns and grievances which is integrated in project decision making. Through community consultations, the company aims at the preservation of spiritual and cultural heritage sites during implementation of its projects. The company also identifies specific needs of the affected communities and uses this in their community investment programs. As contained in the company's corporate profile for Tanzania operation, the company's corporate social responsibility has been in response to some of the community needs and challenges. It has engaged Kickstart (an NGO) to support the communities in different capacities: distribution of manual irrigation pumps to farmers, distribution of solar lanterns to rural parts of Tanzania, using soccer to conduct innovative health campaigns, conducting anti- malaria programmes such as building capacity of health workers and institutions to manage malaria, supporting Global Women in Management by conducting

workshops to strengthen leadership, management and technical skills of women working in the civil service and NGO' sector. ExxonMobil also supported Africa's First Ladies Summit in Tanzania.

These focal areas in community and social impact management is very much in line with international best practices and often covers many concern areas of local and national laws in their operational areas. Regarding human rights, the company's approach is consistent with the United Nations *Framework and Guiding Principles on Business and Human Rights* and actively supports the International Petroleum Industry Environmental Conservation Association (IPIECA 2015) in its human right works. If strictly complied with, the corporate sustainability stands of ExxonMobil particularly in Tanzania gives a lot of room for public involvement and 'invited' participation as it naturally creates room for citizenship engagement and contribution to project development. It also creates an avenue for communities to benefit from the projects around them by way of both social impact management and mitigation and social investments through CSRs.

D. Ophir Energy

Ophir Energy started its operations in Tanzania in 2005 where it was awarded 100% interest in Block 1 and later in blocks 3 and 4. Ophir energy now owns only 20% interest in blocks 1 and 4 having sold 60% to BG Group and 20% to Pavilion Energy. For Ophir, the focus on community is mainly for the 'community projects' that the company undertakes to 'help develop the communities where their operations are located. According to the corporate policy, Ophir is 'committed to taking an active part in the development of the countries in which they operate'. Social mapping exercises are conducted to identify local stakeholders who are further engaged to identify projects that will help improve access to food, employment and education. It further states that Ophir also engages communities to build relationships which have shared benefits and would help minimize risks.

The development focus includes areas pre-determined by the company and do not particularly follow international best practices but rather the corporate policy leans towards complying with its corporate statement. From the forgoing, it is evident the company's community policy is a basic hand-out approach, looking out for how to invest in the community without necessarily engaging

to understand the community. This sometimes confuses budding sustainability practitioners as supporting the community and providing 'some' employment in the community of operation is seen as 'doing good'. However, experience and research has shown that this does not necessarily translate to sustainable practice as often the investment is misplaced, which makes it a burden to the people rather than a blessing (Amponsah-Tawiah and Dartey-Baah 2011). Also, the policy maintains that the community would be engaged to manage grievances. This represents a rather reactive approach instead of the proactive best practice framework of corporate sustainability. Based on the approach to participation and community engagement in particular, it is arguable that there are no traces of 'invited' participation in the corporate position of the company.

E. Pavilion Energy

Pavilion Energy (upstream) is fairly new to the oil and gas industry and was incorporated in 2013 in Singapore. The company's core values are sincerity, teamwork, enterprise, excellence, commitment and sustainability. The corporate governance of the company covers what the company is committed to and its roles and responsibilities. There was no mention of social sustainability, participation, community or stakeholders or community participation in its policies. It is arguable that the sustainability narrative of the organisation is one of the buzz-word syndrome (Schweitzer 2011), simply talking sustainability. Little proof could be obtained from the policy that points towards sustainable practice.

F. Summary of findings of the investor's corporate policy

An assessment of the corporate policies of the IOCs shows that community participation is basically seen as a means to achieve the companies' Corporate Social Responsibility (CSR) which in many cases has been likened to minimizing adverse impacts of their operations. There is a complexity to this standpoint. First of all, none of the policies are able to differentiate between social performance and CSR, which makes it confusing in understanding their angle to participation. Social performance can be defined as mitigating or managing social impact in a participatory manner. On the other hand, social responsibility can be described as pursuing the double bottom-line approach, which means that the organisation should not only be financially viable, it should also be socially responsible to its immediate and larger environment (Mckee,

Lahaye and Koning 2011). This fine line has not been established in the surveyed policy statements, which may result in confusion and suboptimal results for communities. Maybe due to their global portfolio and years of experience, ExxonMobil and Royal Dutch Shell stand out positively in this regard. They do not see community participation as a just a way of undertaking their corporate social responsibility, but stress the engagement of communities to share information on the projects, register their questions and complaints, dialogue on minimization of impacts and respond to the needs of communities through the implementation of community development projects, based on joint need assessment with project affected communities. From this standpoint, it is evident that Shell and ExxonMobil attempted to create a space for invited participation within their corporate sustainability policy framework, compared to others, where such space is not evident or completely absent as in the case of Pavilion Energy.

6.1.4 Government Development Policies and Participation in Tanzania

Government policies play a germane role in participatory development. Tanzania has enacted several policies and acts of the parliament with the aim to regulate, promote and expedite sustainable development through adequate participation of its citizens. This research study examines policies from two different perspectives – generics and specifics. The generic policies here are defined as policies that have overarching impact on a wide range of topics and could affect every aspect of the citizen's activities', while the specifics are policies that are designed to provide guidance to the general public in a particular area of operational practice. Policies examined under the first category include: Tanzania Vision 2025 and the National Economic Empowerment Policy (2004). On specifics, policies that regulates specific development projects considered under this study include the Village Act 1999; Petroleum Act 2015; and the Environmental Management Act 2004 to understand how the policies ensure participation of communities in projects that affect them.

A. *Tanzania Development Vision 2025*

There are five principal projected attributes of the Vision 2025, which the proponents believe should be the hallmark of the nation by the year 2025. They include: (i) high quality livelihoods, (ii) peace stability and unity, (iii) good governance, (iv) a well- educated and learning society, and

(v) a competitive economy capable of producing sustainable growth and shared benefits. The policy also has three main projected targets by the year 2025. These targets are; i. High Quality Livelihoods, ii. Good Governance and Rule of Law and iii. A Strong and Competitive Economy. Of the five projected attributes and three projected targets, the three points below hinge their practicality on participation, they include;

a. **High quality livelihood-** This section of the policy sees high quality livelihoods as a cogent component of development, which is described as the 'creation of wealth and its distribution in society, which must be equitable and free from inequalities and all forms of social and political relations which constrains empowerment and effective democratic and popular participation'… (Tanzania Vision 2025 p. 11). Sustainable livelihood is no doubt a basic in wealth creation (WBESS 2016). Towards attaining this, the policy stipulates that means of livelihoods would be open to everyone, regardless of their age, gender, religion or social orientation. Importantly, it mentions popular participation as crucial component towards attaining this.

b. **Good governance and the rule of law-** This section mentions the rule of law in addition to shared learning, joint agenda setting and taking responsibility for the learning outcomes which are all facets of participation.

c. **A well- educated and learning society-** Tanzania Vision 2025 recognizes that the level of education of the citizens significantly contribute to the anticipated level of development. To attain this, it is visualized that 'the nation would work towards self-reliance, driven by the *psychological liberation of the mindset* and *the people's sense of confidence* in order *to enable the effective determination and ownership of the development agenda* with the *primary objective of satisfying the basic needs of all the people* - men, women and children' (Tanzania Vision 2025 p. 7). The points raised in the sentence are clear ingredients of participatory development.

According to N.W. Malocho in Tanzania Vision 2025 p. 3:

"*The participation of the people in preparing and implementing plans for their own*

development is also emphasized, including putting in place an appropriate framework for coordinating and evaluating the implementation of the Vision".

From the extract, it is evident that Vision 2025 expects the people to play an active and central role in their own development. The vision charges the people with the responsibility of creating a social space to accommodate an appropriate framework through which the functionality and performance of the policy can be measured.

Tanzania formulated and implemented a series of social and economic reforms and structural adjustment programmes in an effort to respond to the economic crisis that hit the country in the 1980's but before long the country began to lose its focus. This led to the formulation of a long-term development plan, the Vision 2025 to guide the direction of development of the country. From a content perspective the word, 'participation' appears in Tanzania's Vision 2025 thirteen times over the twenty-page document. The policy directive on high quality livelihoods means that development, from a livelihoods perspective must be equitably distributed throughout the nation and nothing should prevent any section of the society; social standing, age, religion ethnicity or gender from being empowered and participating in the process. The Vision document is also targeted at attaining a strong adherence to and respect for rule of law which is a clear endorsement of participatory leadership system. According to Arnstein, the rule of law and indeed democracy is the root of participation and it is indeed a model of what participation should be. Although this policy has not elucidated this strong participation faction, the mention of it is a tacit approval of its content. Shared learning, joint agenda setting (sharing responsibility) and benefiting from the outcome of decisions made are also factors towards attaining participation (Desai and Potter 2012, Cornwall 2011, Arnstein 1969). The vision of a well- educated and learning society is not just about involving the people, it is designing the system to adopt the new 'orthodoxy' in development (Chambers 1997, Cornwall 2002a, Giles Mohan in Desai and Potter 2012).

As contained in the policy, the definition of participation embraces information sharing, taking responsibility and benefiting from the decision made for a participatory development. Importantly, participation is mentioned in relation to democratic process, empowerment, development, good governance and the rule of law. To some extent, it is arguable that the policy did not completely lose sight of participatory development, although there is nowhere in the document where the

word, community and participation appears together, neither is there anywhere in the entire document that explains the role of the public towards ensuring that this visionary document would be driven or monitored in a participatory fashion.

Summarily, it should be clarified that this policy is not directly designed to showcase the government interests or drive for community participation or participatory development, but rather a vision and guidance proposal for the leadership to embrace a direction towards achieving a Tanzania of their dream by the year 2025. However, it can be argued that the Vision 2025 document does not lose sight of participation although it has not placed it in the fore front of the battle as a major tool to combat the challenge of development in the country. It is also arguable that this omission is because the nation already assumes that there is adequate participation in the system and enough to bring the populace to be a part of the development process. This is clear in the works of Kinyashi and Uemera, where they independently affirm that community participation is not new to Tanzanians, because they believe it is ingrained in the system, though the understanding of what constitutes the discourse is not similar to the popular aspirations, comparable to international safeguards such as the World Bank's, IFC's or United Nations (Uemera 1999, Kinyashi 2006, Masanyiwa and Kinyashi 2008). Having said this, it should be noted that the modalities required to get the public involved, make them participate has not been captured in any section of the policy. This could mean that this visionary document has taken a tokenistic approach to participation.

B. National Economic Empowerment Policy, 2004

The formulation of the National Economic Empowerment Policy serves as a policy intervention needed for Tanzanians to acquire the adequate skills, entrepreneurship and capital needed for participation in the economy. The policy is a roadmap for economic empowerment, and it has made participation of the citizenry in all sectors of the economy a cornerstone towards achieving national development.

The primary objective of the National Economic Empowerment Policy of 2004 is to provide general guidelines which will ensure that the majority of the citizens of Tanzania have access to opportunities to *participate effectively* in economic activities in all sectors of the economy (NEEP

2004 p. 10). The policy has thirteen areas of focal objectives but the three highlighted below are crucial to this study:

i. Raising skills and knowledge levels: This policy aims to strategically boost the level of mainstream education and entrepreneurship education to ensure that Tanzanians are able to lead or at least play a measurable and significant role in national development.

ii. Strengthening economic infrastructure and involving Tanzanians in infrastructure development: Economic infrastructure such as boards, workgroups, workshops, skill development and capacity building has also been seen as a requisite objective to get the Tanzanian populace to speed towards participating in their own development.

iii. Creating an enabling environment for Tanzanians to participate more effectively in the privatization of state enterprises: This policy looks to create an enabling environment, a structural space which would be bestowed on Tanzanians particularly in the privatization of the public enterprise, which is one of the major moves carried out to ensure that the Tanzania public truly own the wealth of the nation.

The three focal areas of the policy indicate that the policy aims at improving participation of Tanzanians through building the capacity of citizens, infrastructure development and creating an enabling environment. From a content perspective, the word participation appears 14 times in the NEEP, but beyond that, the content of the document and the approach to the narrative, creates an air of participatory development, which permeates every section of the document. Participation has been mentioned in relation to development, empowerment, education and particularly sharing and taking responsibility, which has been several described as hallmarks of effective participation (Arnstein 1969, Chambers 1997, Mohan 2004, Mohan 2008, Desai and Potter 2008, Kinyashi 2006, Cornwall 2011). The description of the policy objective is succinct as it not only talks about participation, it talks about effective participation of Tanzanians, in all sectors of the economy.

Education has been described as central to public participation (Arnstein 1969, Cornwall 2011, Desai and Potter 2008, Kinyashi 2006). The policy reiterates in many instances that a major reason Tanzanians are not part of their development story is because of the relative limited education of the citizens. The objective of raising skills is crucial to participation because it would enable Tanzanians open to the same level of information required to contribute significantly to the

economy. Very much like education, the capacity to participate is a critical ingredient in participation, very much like its technical know-how to participate effectively (Mohan 2007, Desai and Potter 2008). The policy also recognizes that the word participation or the feeling thereof (Cooke and Kothari 2001, Hickey and Mohan 2004) is not new to the Tanzanian public (Uemera 1999, Kinyashi 2006, Maral-Hanak 2009). However, the practicality of getting policy into practice has always been a challenge (Hickey and Mohan 2004). To bridge this gap, one of the objectives of the policy is to engender a conducive atmosphere for Tanzanians to participate more effectively in private enterprises. This component of the policy can be seen as an 'invited' participatory approach as against 'claimed' approach. Claimed participation has been the dominant approach (Desai and Potter 2008) in most emerging economies, leading to little local content in the development strategies (Bassey 2012). It is arguable that reserving a component of the development structure for the Tanzanian public is not just an opportunity but also a challenge, a responsibility. It is carving a niche, a domain and indeed a responsibility for Tanzanians to take up in their own development. Taking responsibility is another very vital tool in participation (Reid 2000).

In general, although the National Empowerment Policy of 2004 is targeted at economic improvement and public empowerment, the policy has been developed with a strong participatory development flavour. It stresses the need for Tanzanians to be educated to be enable them contribute significantly to their own development, create a space for participation in development and eventually creating enabling environment for the citizens to participate in the operation of the privatization of the public sector. It is a form of building a requisite foundation for the people (via education) and creating a necessary environment for such development to be built. Summarily, it should be noted that though this policy has crucial steps towards economic empowerment and indeed participation, there is still significant gap in policy implementation in Tanzania, like in many other emerging economies, which has constituted significant delays to development and particularly, a delay in making participation reach its full potential (Maral-Hanak 2009, Cornwall 2011, Kinyeshi 2011).

C. Village Land Act, 1999

Tanzania enacted a new land law in 1999, which is referred to as the Village Land Act (VLA). The

Village Land Act establish the legal framework and procedures for most of Tanzania's rural land. The law authorizes that all village lands should be administered by the Village Assembly, through the community based land tenure management system. This legal provision transfers the authority over land administration, land management and resolution of grievances related to village land to the village assembly level. The VLA came into force in 2001, along with gazettement of 83 Regulations providing details on various points and procedures (Wily 2003).

The Village Land Act of 2009 sees land as crucial to economic development and as such, its control and administration could make a difference in the democratic nature of participatory development, particularly in emerging economies. The policy has not only targeted empowerment but also giving the local population the responsibility of decision making. All these attributes are crucial characteristics of community participation. Significantly, some of the cornerstones of this policy are listed below:

- *"Where the President is minded to transfer any area of village land to general or reserved land for public interest, he may direct the Minister to proceed …… public interest shall include investments, of national interest."*

- *"Where the land is less than 250 hectares in extent, the village council shall prepare and submit recommendations for the proposed transfer to the village assembly for it to approve or refuse and the village assembly shall consider the recommendations of the village council".*

- *"Where the land is greater than 250 hectares, the Minister shall, after considering any recommendations made by the village assembly through the Village Council, district council and any representations on the matter made by the village and district councils of the area where the land is situate, by resolution, signify his approval or refusal to approve the proposed transfer".*

This indicates that village leaders (who are representatives of the community) have some level of influence with regards to acquisition of land and this demonstrates participation at the community level. The act also makes provision for compensation. It provides that prior to any land transfer, a

full geographic and cadastral survey had to be completed, and compensation terms agreed between the village council and the land commissioner.

Land is one major factor of production which to a great extent determines the wealth and wellbeing of a significant percentage of the inhabitants of sub-Saharan Africa (Makhtar Diop, WBG Africa). Many Africans survive on subsistence agriculture which cannot be practiced without access to land, as such the debate around land access, land use and development induced displacement among local inhabitant is a complex issue around development in general and participatory development in particular (de-Wet 2006). Local land use and development induced displacement is a question around choices; do we want to continue to use simple farm tools and remain subsistence, barely making it to the local market, or do we want mechanized farming with limited control. On the flip side of the argument is; do we want to continue our subsistence farming and remain poor, or do we want to lose control of our land and become laborers in our own land. This complexity is an ongoing challenge that has constituted a major debate in international development as development induced displacement is always seen as a mechanism against the poor land holders, as they often constitute significant adverse impact if citizenship engagement and participation is not considered (WB OP4.12 2013, IFCPS5 2012, de- Wet 2006, AfDB ISS 2013).

Like any other specialist policy, the Village land act was not developed specifically to pursue participation, but its content and character is structured to ensure optimal participation of the local people in land use and land ownership around their immediate environment. The policy gives power to local communities to take control of the approval system of who owns, uses or gets approval to invest in land around them. The policy is specifically developed to empower local population so that they can take responsibility for their land use. In basic economics, land is a fixed factor of production which has been credited with significant capacity to increase in value but limited in supply. This unique feature of land makes it critical and essential to every form of primary production: farming, exploration, mining, construction and physical infrastructure development.

As other researchers and practitioners would envision it, Byamugisha, argues that land

administration is crucial towards achieving sustained economic growth. He maintained that this could help reduce poverty significantly and create more opportunity for Africans (Byamugisha 2013, Gaafar 2014). This means that the control of land is a potential key to development as it is a tool to eradicating poverty and continual impoverishment of the poor, particularly in Africa where a significant percentage of the continent's poor mainly survives on land based primary production. Emphasizing criticality of land governance in Africa, Byamugisha submits that;

Few development challenges in Africa are as pressing and controversial as land ownership and its persistent gap between rich and poor communities. With a profound demographic shift in Africa from rural areas to the cities where half of all Africans will live by 2050, these gaps will become steadily more pronounced as governments and communities rise to the challenge of growing enough affordable nutritious food for all families to thrive on the continent

(Byamugisha July 23rd 2013, All Africa July 2013).

From the argument of Byamugisha above, it is evident that although there are several challenges facing African development, land ownership and control is one which is both controversial and pressing. This challenge is however not new in Africa. From a historical perspective, land expropriation from the poor and inadequate policy development to plug the gap between the rich and the poor has been a major problem in attaining equitable development in Africa. According to Byamugisha;

Nearly half a century after independence, Sub-Saharan African countries are still struggling to implement land policies that can ensure social stability, achieve economic growth, alleviate poverty, and protect natural resources from irrational use and pollution. These challenges have historical roots, including (a) a colonial legacy of land expropriated by colonial governments for white settlers, which created dualism in land tenure and gave rise to inequality in landownership; (b) the effects of policies implemented immediately after independence that sought to redress the colonial legacy through nationalization and further expropriation; and (c) the failed policies of the 1970s and 1980s that attempted to privatize indigenous land tenure systems and establish fully tradable land rights through Western-style land titling programs based on unnecessarily high and inflexible standards

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of surveying

The argument of Byamusigha as stated above is that land ownership is a tool for social stability, towards achieving economic growth, alleviating poverty and protection of natural resources from irrational use and pollution particularly in Africa. His inverse logic to this end is that appropriate policy could help plug the gap. The problem which he argues has stemmed from the colonial style of land expropriation for the settlers disenfranchise the natives significantly. In reaction to the colonial expropriation, the nationalization policies which also followed increased the level of expropriation is at the expense of the natives, to gain control for the new independent government. And finally, the unparticipatory policies that followed decades after which has not considered the socio-cultural realities of the Sub-Saharan states but rather, modelled the land administration process alongside the Western titling system had further helped to stifle land ownership and administration process in Africa.

From a content perspective, the Village Land of 1999 does not contain the word participation at all. The word 'participate' appeared once in the entire document, when making reference to Act No47 of 1967, popularly referred to the Acquisition Act, an annexure to the Arusha Declaration of 1967, in Tanzania's first bid to pursue participatory development (Nyerere 1967, 1977 and 1981, VLA of 1999 p. 24). As such in terms of diction count, the word 'participation' has not been employed. However, in terms of contextual detail of the document it emphasizes a significant control, administration and benefit from land to the local leadership and people. According to the Acquisition Act, which is further expounded by the VLA of 1999, the policy is to 'enable all citizens to participate in decision making on matters connected with their occupation and use of land' (VLA of 1999 p. 24). Notwithstanding, the diction gap, the content is strong enough to attract attention from the international scene such as the World Bank Group and United Nations as Byamugisha 2013 opined:

> *Land use planning processes in Ghana and Tanzania strike a reasonable balance between protecting private property rights and the public interest, while also promoting sustainable development by underpinning the planning process with national land policies adopted after broad consultations. Approval of land use plans by democratically elected authorities*

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(in addition to technical authorities) and community participation in local or village land use plans and regularization schemes reinforce this balance of interests (see box 6.4). Ghana's and Tanzania's land use planning experiences offer two key lessons:

• *Land use planning should be preceded and guided by national land policies.*

• *Local land use planning processes should be participatory and approved by democratically elected authorities.*

These lessons should serve well African countries that are embarking on land use planning. Each country would be expected to develop planning guidelines that are best suited to its conditions. These can be drawn from generic planning guidelines such as those developed by United Nations Habitat

(UN-Habitat, GLTN 2010).

From the view of Byamugisha above, it is evident that the VLA of 1999 is a valuable tool which he recommended to similar economies in Africa. He believes that the VLA in very much in line with the provisions of the UN Habitat guidelines of 2010. Just as land is the base of all physical production activities, the VLA has been the base for the development of many policies in Tanzania. Some of the policies include: National Human Settlement policy (2000), National Population Policy (2002), Land Use Planning Act 2007, the Urban Planning Act 2007, National Livestock Policy (2005), etc.

The Village Act applies to lands acquisition for the infrastructural projects. When communities have knowledge about the laws regarding the transfer of land and payment of compensation, they are in better position to negotiate with the project representatives for fair compensation and their lands cannot be taken from them by force. However, there are views that the local government is incapable to efficiently manage these responsibilities because the 'Village Councils are imperfect institutions whose legal foundation and procedures have not kept up with their accruing roles and development as grassroots democratic institutions of governance' (Liz Wily 2003 p. 10). This argument was projected in the light that the local council politicians are a stooge of the ruling party

which still takes back the control from the people, thereby reducing the potency of the policy. If local councils are seen to belong to a political party they are often unable to make independent decisions. In sharp contrast to this, others argue that multi-partyism must begin at the grassroots (Wily 2003). This perspective of incapacity of the local leadership to take control is an issue that bothers more on democratic nature of this policy implementation. Although there may be instances of this fears as expressed by the Wily (2003), from the community and institutional engagement in the course of the study, the indication is that the policy has been more beneficial than damaging. In fact, communities unaware of the policy wish they were aware and confirmed it would have made a difference in the way they participate in the land based development activities around them.

Generally, this policy has given the local population a significant leap in participatory development, given the empowerment, responsibility and beneficial attributes that the policy has displayed, however, it should be noted that the mechanism of popularity and educational/ publicity and awareness of the policy is inadequate and as such a significant percentage of the people are not aware of it, which to a large extent diminishes the vibrant significance of this resourceful act in land administration and management.

D. The Petroleum Act, 2015

The Petroleum Act of 2015 (PA, 2015) was enacted to regulate the upstream, midstream and downstream activities of the petroleum sector. It announced the establishment of the Petroleum Upstream Regulatory Authority (PURA), to provide guidance and regulation for the National Oil Company Of Tanzania (NOC), to secure the accountability of petroleum entities and to provide for other related matters for the upstream sector, while it also describe more clearly the roles and responsibilities of the existing agency; and Environmental and Water Utility Regulatory Authority (EWURA), which is responsible to do the same for the midstream and downstream sector. This act is particularly important to the entire IOC LNG JV because it regulates the investments and provides guidance in management and monitoring of all petroleum related activities. The twelfth section of the document details the general perspective of the nation in terms of ownership, administration and management of the petroleum exploration, producing and marketing in the country. According to the policy, it is targeted at the upstream, midstream and downstream sector of the petroleum economy. Section three of the policy bothers on the roles of the two main subset

of the petroleum regulatory and management framework, the PURA and the EWURA. The PURA is responsible for the upstream operations, while the EWURA is looking at the midstream and downstream sector.

Participation is mainly mentioned in relation to the government's participation in the petroleum industry, particularly NOC, housed by Tanzania Petroleum Development Corporation of Ministry of the Mines, Energy and Minerals (MEM). Participation is also mentioned in relation to local content which has been described as the "quantum of composite value added to, or created in, the economy of Tanzania through deliberate utilization of the Tanzanian human and material resources and services in the petroleum operations in order to stimulate the development of capabilities indigenous of Tanzania and to encourage local investment and participation" (PA 2015 p.19). Participation has also been mentioned in the document in relation to local participation (PA 2015 p. 23). This particular mention was under the roles and responsibilities of the Minister for Petroleum. According to the Act, the Ministry is responsible to 'promote local participation in the sector' (ibid p. 23). While describing the roles of the NOC, housed under the TPDC, participation was also mentioned in relation to local content, the involvement of Tanzanians and their participation in the petroleum value chain system. It expressly states that 'the National Oil Company shall promote local content and including participation of Tanzanians in the natural gas value chain (Ibid, p. 26).

More so, from the business perspective, while describing and listing out the roles of EWURA, the policy recommends that it would give preference, for procurement and acquisition purposes, to firms with at least 25% of the shareholdings belonging to Tanzanians. It states that the "…in considering applications for a license, EWURA shall ensure participation of Tanzanians including local companies, with not less than twenty-five percent participating shares in the business as the case may be in the regulated activities" (ibid p. 78). Finally, participation is mentioned in relation to conflict of interest and ensuring transparency in the procurement and operational system of the petroleum industry. Again from a business perspective, the act promotes participation of Tanzanians in the petroleum sector. It makes provision for the preferential treatment for the ownership of local companies who will provide goods and services for the petroleum industry as it was stated that "... in consideration of the application for license, the EWURA shall take into

account … the participation of Tanzanians including local companies with not less than twenty-five percent participating shares in the business as the case may be in the regulated activities".

The policy content also states that there would be training and recruitment of Tanzanians in all phases of the petroleum operations taking into consideration gender, equity, persons with disabilities, host communities and succession plan in accordance with the Employment and Labour Relation Act. The act also requires contractors on an annual basis to prepare corporate social responsibility plan jointly agreed by the local government authority. The LGA is responsible for providing guidelines, overseeing the CSR and provision of awareness to the public on natural gas projects.

From the participation perspective, like any specialist policy, this policy is not particularly targeted at community participation in the oil and gas sector of the economy, however, there are signposts that suggest it aims to 'maximize the participation of Tanzanians in the petroleum sector' (PA 2015 p. 34). Having said that from a content perspective, the policy has not created adequate safeguards to guarantee the participation of the directly impacted communities who suffer first hand impact from the project at the point of exploration, production, packaging and distribution. From a diction perspective, the word participation appears nine times in the entire document of 139 pages. The document did not mention community participation at all. In sections five, nine and ten, the role of the Minister, the NOC and the EWURA were listed which include 'to promote local participation in the petroleum and natural gas value chain'. How local participation will be promoted and the extent to which the local people should be involved in petroleum and natural gas value chain was not covered in the act. Evidently, this is comparable to just a mention of 'public' or 'local' participation of the people, which has been regarded as *sloganising* participation rather than activating the potentials in people to enable them participate in their own development (Cook and Kothari 2001, Hickey and Mohan 2004, Desai and Potter 2008, Cornwall 2011). According to Arnstein (1969), this is a tokenistic approach to participation (Cornwall 2011, Arnstein 1969).

From a discussion perspective, this policy is not bereaved of participatory components in the *sensu lato*, but it is arguable that the policy does not expressly protect community participation in particular. The policy largely looks at government involvement in the petroleum sector, both as a

regulator and as an associate, using the NOC as its trading arm and the TPDC and MEM as displayed in the role of the PURA and EWURA as the regulatory agents. Although it goes further to explain that boards that would be set up to deliver these functions through these agencies, it does not in any way involve community or public participation in the selection process to ensure it is participatory or has any touch of community involvement in the process.

The policy is pro-local content which to a large extent protects Tanzanians, but which may not clearly protect the directly impacted communities (PA 2015 p. 19). Examples in similar economies such as the oil and gas industry in Nigeria and the mining industry in Ghana (Bassey 2010, Akabzaa 2009) has showed that local content in some cases does not particularly mean direct involvement of the impacted communities. Often times, the benefits are felt far from the point of impacts, leaving the impacted disproportionately impacted by the system while the cities around reap the benefits of the investment. This has been the base of the argument of activists, scholars and researchers such as Akabzaa (2009), Amponsah-Tawiah and Dartey-Baah (2011) and Bassey (2012). These scholars are asking the same question; how local is the local content policy? In speaking specifically from the dangers in the mining sector in Ghana, Nigeria and Ivory Coast in West Africa, Tanzania in East Africa, Central African Republic and South Africa. Chains of the same corporate actors, Anglo Gold is busy doing business with little or no community participation, exploring the policy gaps in the nations they operate at the expense of the people they directly impact (Bassey 2010). In a more critical submission, Akabzaa (2007) gives an account of one of the prime mining location / cities in Ghana which is a clear definition of neglect from investors despite been operational as a goldmine for over 115years. Following this argument of Bassey (2010) and Akabzaa (2009), the definition of local content in the policy may in the broad sense protect the larger Tanzanian nationals, it has not specifically responded to the needs of the directly impacted.

The business perspective to the Act is an interesting section to participation because it naturally creates a 'business space' for Tanzanians to explore within the petroleum industry. From this perspective, it is arguable that this is comparable to sharing in the benefit of development, which has been described as an essential component of participation (Desai and Potter 2008). Keeping a specific percentage for Tanzanians in the petroleum can also be described as sharing the

responsibility to make the sector work, while also giving them opportunity to benefit from the sector. The training and recruitment of Tanzanians stated in the policy is a practical step towards participation of the people, particularly the gender and vulnerability which has been the most disproportionately impacted group in any participatory development process (Cornwall 2011, Desai and Potter 2012, IFCPS 2012, WB EHSG 2013).

The policy requiring investors to prepare CSR plans is another in-route to be part of the development in the area. Corporate Social Responsibility has gradually become a norm in project development across emerging economies particularly in Africa. In some cases, the presence of investors are sometimes subtly substituted for the presence of the government, particularly in the provision of social infrastructure in the name of corporate social responsibilities. Although this puts the step of the public at the door of the investor, it does not guarantee that they would get an optimal outcome from the deal. This process gives room for limited participation because in the real sense of the word, the CSR project would only be within the range of what is made available by the organisation as the CSR budget that would be planned. Again, it is a question of sloganizing the participatory process rather than developing a pragmatic procedure that will ensure the people are actively involved in the process. A typical example of this would have been a percentage of taxable income. Just as Hickey and Mohan describes this category of participation as a process where people feel and hear about participation, but they do not actually participate beyond the feeling as there are no practicalities about them participating (Cooke and Kothari 2001, Hickey and Mohan 2004, Christens and Speers 2006).

In general, the role of communities and directly impacted entities are completely unaccounted for in this act. Participation is described and discussed *sensu lato*. There was no specific mention of community initiative and community perspective considered in formulation, management or running of the oil and gas sector at least in the management and mitigation of project impacts or sharing in the benefit thereof, which has been a major factor in resource rich countries (Bassey 2010, Amposah-Tawiah and Dartey-Baah 2011). More so, LGA's role is relegated to dissemination of information and monitoring of CSR and not anything to do with the criticality of the actual petroleum and gas operations such as joint decision making in matters that jointly affects them such as cumulative impact assessment, project induced displacement, project induced influx

and influx management system, project induced livelihoods impacts and other related instances. Although there is no gainsay that this policy attempts some participatory perspective, at least borrowing some content from the NEEP (2004), it is nothing compared to localizing the participatory component as seen in the VLA 1999 which has been developed 16 years before this new policy in 2015. This is so critical because experience across emerging economies and particularly in Africa discloses that petroleum is often a blessing to the nation and curse to the community that it is discovered (Bassey 2010).

E. Environmental Management Act, 2004

The Environmental Management Act 2004, also known as the Environmental Impact Assessment (EIA) and Audit Regulations, 2005 is the Act that defines what constitutes environmental impacts and why this is regulated. Importantly, it also states the structure of the regulatory framework for environmental impact management and the procedure for the same in Tanzania. The policy outlines the types of projects requiring or not requiring EIA and the categories therein, the process for conducting and reviewing EIA as well as access to EIA statements and the validity period.

Participation has been mentioned in relation to public participation which details how the act will ensure the directly impacted population would have their say in what they consider to be of environmental impact to them and on their opinion, how they think this can be managed or mitigated.

The policy also mentions participation in relation to stakeholders' participation which is deemed crucial in identifying and managing anticipated impacts. It states that the developer in consultation with the National Environmental Management Council should seek the opinions of project affected persons. Developers are required to publicize the anticipated project benefits and effects by public information dissemination such as the use of posters in public places, publishing a notice of the proposed project for two successive weeks in the national newspaper and making announcements on a nationwide radio in Kiswahili and English at least once for two consecutive weeks. Developers are not only required to hold stakeholder engagement meetings with affected persons to explain project benefits and impacts but they are also to receive oral and written comments. Prior to the meeting, affected persons should be given at least a week's notice of meeting date,

time and venue and this should also be convenient for the affected communities. Also, the developer is to ensure that a suitably qualified coordinator is appointed to record both written and oral comments from the meeting and submit a copy to the National Environmental Management Council (NEMC).

EIA has evolved over the years. In many instances, the context of EIA encompass both the environmental and social component of the impact, while in some cases, they are more appropriately labelled the ESHIA- Environmental, Social and Health Impact Assessment. From a practice perspective, the EIA/ESHIA, details the procedure and actions required to identify, measure, mitigate, manage and cushion residual impacts of project induced impacts on the environment. The ESHIA process has grown increasingly popular over the last decade, particularly when thought leaders in international development arrived at the double bottom line approach, which means that businesses should take sustainability into account next to profits (Mckee, Lahaye and Koning 2011, IFC PS 2012). This movement has been popularized by the international development finance agencies who have received a backlash on their international investment as in the case of the Chinese Three Gorges dam. It was argued that large scale displacement was inconsistent with their development goals. The global environment movement has also been instrumental in putting sustainability and ESHIA's on the global agenda.

Like many international best practices on environmental social performance safeguards, the IFCPS and the World Bank OPs highlight the critical components necessary in developing the ESHIA among which citizenship engagement and participation is central. This further underscore the role of participation in development as a critical path to project acceptance and eventual risk mitigation and management. The EIA policy of 2005 is a tool of the ministry of the Ministry of Environment, directly utilized by the, NEMC. NEMC is charged with the responsibility of using this tool to manage the environmental landscape particularly on development projects.

The Environmental Management Act, 2004 mentions participation seven times, but far beyond the mentions, it dedicates a section of the document to public participation, particularly the participation of the directly impacted population. From every indication, the EIA policy demonstrates a keen interest to allow the people participate in the impact identification and

management process. It has participatory features such as public education and enlightenment, sharing responsibilities and benefits of the participatory process.

6.2 Discussion of Findings Based on Research Objectives

This section presents the discussion of findings from the study based on the research set objective. This section consolidates the findings from different tools and methods used in this research to respond to the research objectives.

6.2.1 Nature of Participation in the IOC LNG JV and TASAF projects

From the surveys with the project affected persons and NGOs, it is evident the people have not participated fully in the projects and in some cases participation was not direct. The survey for the IOC LNG JV project indicated low level of participation which was evident in the low level of consultation, inadequate knowledge of project details particularly potential benefits and impacts and complaint by respondents that their information needs were not met. According to Hickey and Mohan's (2004), participation involves deep level of mutually beneficial relationship, empowerment and knowledge sharing to make an informed decision (Hickey and Mohan 2004). These conditions of participation have not been met on the IOC LNG JV project. From the quantitative survey, it was identified that 70% of the respondents do not know about the project even though they are likely to feel the impacts. This is in direct convention of both local laws and international best practice. As enshrined in the UN principle of Free, Prior and Informed Consent (FPIC) affected persons have the right to know about any project prior to the impact, their consent must be sought and affected persons must not agree to a project under duress. This was not complied with in the case of the IOC LNG JV. TPDC has acquired the land already without informing the affected persons and the communities have no option but to accept the project and vacate the land which is not in line with international best practices. Regarding local law, the Village Land Act of 1999 states that the village council should be involved in the decision making process concerning land acquisition and this has also not been the case with the IOC LNG JV. The quality and transparency of the consultation process for the IOC LNG JV is questionable. This is because, even though some respondents were consulted either directly or through their leaders, they did not have much information about the project. Also, respondents indicated that they were

not given the opportunity to ask questions and share their views and opinions. For consultation to be effective, there must be a shared understanding of how the view points of the public will be incorporated into decision- making and a good feedback mechanism (QGDC 2008). There was a strong positive relationship between consultation and awareness of the project which means that as consultation increases, awareness also increases on the IOC LNG JV. Consequently, to increase project awareness within the affected communities, consultation needs to be more wide spread. However, it is important that during consultation, the necessary information should be shared affected persons with a proper feedback mechanism to improve participation.

Participation on the TASAF project was much higher than the IOC LNG JV. Respondents indicated a high level of participation in both the infrastructure and cattle sub-projects but the problem was with indirect participation. The people of Linoha were given the opportunity to choose their own projects according to their prioritized needs after which they selected a committee who were trained to monitor the implementation of the project. The people also contributed to the project by providing labour during construction. The respondents expressed satisfaction with the project and a confidence in their ability to implement future infrastructural projects due to the high level of participation. This demonstrated participatory development because the communities influenced and contributed to project decision making (Ondrik 1999). This is different for the livestock sub- project in Pangatena because of indirect participation which is an issue of representation. Participation and power play from knowledge of literature is not just between development agents and beneficiaries/ impacted but there are different levels of power play even at the local level which raises an issue of representation in participation (Arnstein 1969, Nelson and Wright 1995, Cornwall and Brook 2005)[15]. Mansuri and Rao (2012) argued that the representative system of participation in itself is not a problem but the challenge is the inability of the representatives to articulate the interests of the people they represent. They cited TASAF as an example stating that the village elites were responsible for deciding the projects that would benefit the extremely poor people and this was reflected in Pangatena. Consultations for the livestock project were carried out through representatives who felt that provision of livestock to the vulnerable persons would help support them, without consideration for their old age and disability. The beneficiaries of the project stated that they did not have the physical capacity and the skills needed to keep livestock which led to the failure of the project. The representative of the TASAF

office at Lindi Rural District also reiterated that the TASAF projects will fail if projects are forced on citizens and that TASAF projects cannot succeed without the direct participation of the communities. To add to this, the NGO's interviewed admitted that they mainly interact with community leaders during projects and information is usually disseminated through the leaders. It can be admitted that community representatives such as community leaders and opinion leaders play a key role in participation as they have knowledge of community needs and aspirations, control over local resources and facilitate information dissemination and community mobilization. The reality is that not every community member can be involved in decision making for every project and sometimes representatives would have to take the decisions. The question is that do community representatives articulate the interests of the people or their own interests and how can this be managed to ensure community participation?

6.2.2 Community Understanding of Participation

Participation has been misconstrued with several terms which range from information sharing, consultation, partnership, citizen control, etc. and these terms have different meanings that portray the extent to which people participate.[16] From the study it is evident that the definition of participation from a community perspective is often simplistic. The affected communities seem to be content with acquisition of information and the opportunity to share their views and opinions as participation. They also see cooperation with government or any other development actor in the projects that are implemented in their community (whether or not it meets their development needs) as participation. For the study communities, community participation has been reduced to information sharing, consultation and to sometimes decision making to a lower extent. These terms are components of participation but they are not participation by themselves (Roy 1999, Bassey 2012) as described in the literature review. From the studies among the communities affected by the IOC LNG JV, the respondents felt that participation on the project would be achieved if they had more information on project details, the chance to voice out their opinions and receive answers to their questions. This is because, the project proponents have not afforded communities enough room to participate right from the onset of the project hence, the low expectation. However, for the TASAF project, community participation is seen as involvement in decision making and implementation with emphasis on empowerment and capacity building which stems from

community experience in deciding their own projects and being empowered to implement them as in the case of the Linoha community.

Critical exploration of this research show that community participation is key to the success of any project and the extent of community participation is dependent on how the term is applied. Barasa and Julegat (2013) argue that community participation involves active involvement of stakeholders whereby individuals or groups have the power decide for themselves and take responsibility for their future. They further argue that community participation should not be an imposition but rather a partnership between communities and development actors who share power, knowledge and resources to solve development challenges. Mathbor (2008) also describes community participation as involving two distinct movements: community driven initiatives and community involvement as beneficiaries in government or donor- funded initiatives. He also emphasized the need for citizens to take more control over decision making that affects them and their resources. Furthermore, Arnstein's typology of participation depicts participation in hierarchy starting from Manipulation, Therapy, Informing, Consultation, Placation, Partnership, Delegated Power and Citizen Control, which is the highest form of participation. This means that researchers' view of community participation is not just limited to information and involvement in decision making, as has been applied in the study areas of this research, but extents to sharing power and resources and even complete community control over its development agenda.

The corporate policies and Tanzanian development policies description of participation varies from the community understanding of the term. Analysis of the Tanzanian Development Policies reveals that the country in the long term aims at having citizens who have the capability to think for themselves, define their development needs and manage their own development process. This is seen in the Tanzania Development Vision 2025 p.7, which stipulates that "the nation would work towards self-reliance, driven by the *psychological liberation of the mindset* and *the people's sense of confidence* in order *to enable the effective determination and ownership of the development agenda* with the *primary objective of satisfying the basic needs of all the people* - men, women and children'. The corporate policies of ExxonMobil, Shell and Stat Oil express commitment to some level of community participation by way of community engagement, information dissemination and feedback, involvement in decision making about project benefits and adherence to international best practices. These corporate policies when implemented will give

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the affected communities some level of information and influence over the development in their area.

Clearly, from the primary research results it is evident that this understanding of participation in the corporate and national policies has not been portrayed to the people which has resulted in missed opportunities for broad based participation of the affected people. The majority of people are not aware of the policies that would ensure their participation. The mindset of the affected communities keep changing and the people keep lowering their bar of expectation. From the study it can clearly be seen that the people are moving down the ladder of participation rather than climbing up and have settled for informing and consultation which Arnstein describes as Tokenism. This demands further research into nexus between participation and citizen expectations.

Comparing the responses from the TASAF infrastructure and livestock sub-projects, majority of the respondents from both communities agree that they have knowledge of the project, they were consulted, consultation was adequate, the project was empowering and knowledge sharing, and overall participation has been achieved. However, the reason for the responses vary which indicate divergent understanding of participation. The beneficiaries of the livestock project could not claim they were not consulted because they have received free goats which is perceived as a gift and to express that they were not consulted, and they haven't participation is an indication of ungratefulness which is culturally inappropriate. This is also the reason they could not voice out their opinions about the project. Also, the beneficiaries felt that the project has empowered them, not because they contributed to decision-making and have some level of control over the project, but because of the acquisition of a free asset. One goal of participation is to build the capacity of benefiting communities (Friere 1970, Cornwall 2011). The livestock project did not achieve this even though beneficiaries received free livestock. This shows that community perception to participation differ in different project situations and it is necessary to understand these perspectives in order to manage the participation process.

6.2.3 Corporate Policies

There is a marked difference between the corporate claims and the realities in the project affected communities, particularly on the IOC LNG JV project in Lindi Region of Tanzania. A look at the

corporate policies of the IOCs show that they are committed to some level of community engagement to share information, minimize impacts, meet community needs and address grievances. This has not been made practical in the IOC LNG JV project as only 30% of respondents have been consulted either directly or through community leaders. Most of the respondents from affected communities are not aware of the project and do not have project details including the names of the corporate organisations. From the analysis of the corporate policies, it was identified that among all the corporate policies of the IOCs, ExxonMobil's policy shows high commitment for public involvement in decision making and stakeholder engagement which when implemented will ensure participation. However, the corporate claims of ExxonMobil Tanzania and all the other IOCs are not particularly popular with the nine potentially project affected communities, as they have not been part of the said social investment and community engagement framework. This may be partly due to the fact that the responsibility for involving affected communities in decision making, harnessing the project benefits and mitigating the adverse impacts of the project (which has been left unattended) in this case is for the group (ExxonMobil, StatOil, Shell, Pavillion Energy and Ophir energy). However, it does not diminish the fact that they have a role to play in the mix as promised in their corporate policies. This further confirms the position of Schweitzer (2011) and Pulver (2007) on the gap between the rhetoric of the oil and gas companies and their actual delivery. Also, one would presume that the TPDC who represents the government would take charge and ensure affected communities get a fair deal but they seem to be concentrating on the overall benefit to Tanzanians and neglecting the directly affected communities. This can be partly linked to the shortfall of the National Petroleum Act, 2015, which does not clearly mention the role of directly impacted communities. This is likely to affect the level of community participation and community influence attainable on the IOC LNG JV. The reason for this is that the policy has been prepared specifically to guide oil and gas development and the fact that it has not mentioned the community means that their interests may not be protected. Although the Petroleum Act, 2015 states that the regulatory authorities such as PURA and EWURA will ensure participation of Tanzanians in the petroleum and gas value chain there was no emphasis on the community of impact being a beneficiary of the project. This has been the problem in similar economies where the realities on the ground do not reflect the policies of the investors as well as the government and affected persons suffer project impacts which are not

mitigated or managed (Akabzaa 2009, Amponsah-Tawiah and Dartey-Baah 2011; and Bassey 2012)

6.2.4 Tanzania Development Policies

Analysis of the Tanzanian development policies showed policy objectives and directives that facilitate the participation of communities in the development that concerns them, but data gathered from both the quantitative and qualitative survey for both projects indicate that most people do not know about these policies. In agreement with Uemura (1999) and Maral-Hanak (2009), Tanzania is well known for its initiatives towards community participation which suggests high level of participation at the local level, but the reality is quite the opposite. None of the respondents the IOC LNG JV project knew about the Tanzanian Development Policies during both the quantitative and the qualitative surveys. About half of the respondents of the TASAF project knew about the existence of such policies but they were unaware of the content and could not directly describe how government policies enhances their participation. This is a major pitfall as knowledge of the policies would have benefited the communities impacted by the project in several ways. The affected communities on the IOC LNG JV do not know about the benefits that persons affected are entitled to, the land acquisition and compensation payment process, the kind of information they are entitled to and how to access it and information on how to ensure project minimizes risk and impacts. TASAF project beneficiaries stated that knowledge of these policies would have enhanced their participation and influenced their decision making on the project.

Like the affected communities, the NGOs that operate within the Lindi region also do not have knowledge about majority of the Tanzania development policies on participation except for the Environmental Management Act, 2004. This is worrying as they are very close to the communities and responsible for the implementation of many development programmes at the local level. Knowledge of the policies as well as regulation by the government will ensure that the NGOs adhere to better involvement of their project beneficiaries in decision making and project implementation. Some of the policy directives are explained below.

i.   The National Economic Empowerment policy states that Tanzanians should benefit from spin-off activities from large investments such as the IOC LNG JV. As a result,

the affected communities can take advantage of this to get the needed development and job opportunities these large investments bring to their locality.

ii. The Environmental Management Act, 2004 is crucial to the management of project impacts and applies to the IOC LNG JV. The act stipulates that communities under the project are entitled to engagements to sensitize them on project benefits and impacts. It is evident that the representatives of the project have not complied with this national safeguard because the project benefits and impacts have not been communicated to about 75% of the respondents. The act also describes the process of engagement and the code of conduct of project representatives such that it ensures that meetings are scheduled well ahead of time and meeting invitations are circulated to ensure maximum participation. It sets the stage for project representatives to work with the community to identify project impacts and come up with solutions to mitigate them. This act was the only act known by the NGOs and from interactions with them, they do not implement the participation component of the act as community engagement on their projects is minimal.

iii. The Village Land Act, 1999 stipulates that there should be non-transfer of land until adequate compensation has been agreed upon by village council and the land commissioner. From the study, even though the land for the IOC LNG JV has been acquired by the TPDC, compensations are yet to be paid even though valuation has been carried out is some communities. Community leaders have not been involved in the land acquisition process which might cause future problems during compensation payment.

iv. The National Economic Empowerment policy also gives the TASAF communities the leverage for participation. This is because the policy state that not only should citizens be involved in their infrastructural development, their capacity should be built through skills development to facilitate their involvement. This presupposes that communities when aware of the law backing their necessary involvement in infrastructure development will be more inclined to participate because they will see it as their right.

The research however showed that TASAF management took cognisance of this policy directive because the people were involved in decision making and trained to monitor the implementation of the infrastructural projects that meet their needs.

v.   The Tanzanian Development Vision 2025 and the National Economic Empowerment policy stress on the education and capacity building of Tanzanian citizens to equip them with the knowledge and skills needed for them to own and manage the country's development. One of the ways through which this can be achieved is participation in development activities. Citizens learn through involvement in decision making, implementation, monitoring and evaluation of projects.

6.2.5 Conclusion

This chapter presents the findings from the field study on the IOC LNG JV project, TASAF project and engagements with the NGOs. The chapter also presents the findings and analysis of select Tanzanian development policies and the corporate policies of the IOCs. The last section of this chapter discuss research findings which consolidates findings from the field study, policy analysis and literatures to better situate the outcomes of the research.

The next chapter is conclusion and recommendations. The chapter contain the research conclusions recommendations and the research limitations.

CHAPTER SEVEN

CONCLUSION AND RECOMMENDATIONS

7.0 Introduction

The aim of the study was to examine community participation in development projects in the Lindi region of Tanzania to better understand its potency and how it can be improved to enhance the development of the people. This was done by assessing the participation component of two projects in the Lindi region- the LNG and TASAF projects. Additionally, Tanzanian development policies and the corporate policies of the IOCs were reviewed. This chapter discusses the conclusions and makes recommendations for practice and future studies based on the research findings as discussed in chapter six above. It further captures my contribution to social performance practice, which emphasizes the need for adequate citizenship engagement and participation which has been discussed in different focal areas of the practice. It explores the need for participation matrix along the lines of the recommendations made. This matrix discusses the goal of participation, the rationale, the mode, the timing and how to evaluate the outcomes. It is believed that this matrix would significantly change the practice of social performance because adequate participation is central to development as critically discussed in chapter two of this research.

7.1 Research Conclusion

From the study, it can be concluded that:

1. Participatory Policy Development is Essential to Community Participation

As evident in this study, there is a significant gap between government policies and the public realities. The study reveals that although there is significant room in the government of Tanzania's policies to accommodate community involvement and co-sharing at every level of development, this has not translated to the involvement of the public or their understanding of government policies because they do not know about the policies. As discovered in the course of this research, although all the communities surveyed are involved in land based livelihoods, the respondents are not aware of the village land laws, particularly the *Village Land Act of 1999*, which affect their livelihoods directly. Also the respondents from the IOC LNG project were not aware of the

Petroleum Act of 2015, neither are they aware of the *National Economic Empowerment Policy of 2004*, which in this case affects them directly.

2. Policy Education is Central to Participation

The research revealed that the level of education does not translate to awareness on participation policies. Citizen involvement in public policy development is important, but it is also necessary to create a space in the basic education sphere for policy education. This is because the citizens do not only need to be aware of policies during preparatory stage, they need to learn policies as an agent of public development, which will affect their lives. Evidentially, not everyone would be involved in policy development. Old and new policies would continue to affect the lives of the citizens even though they are not part of its development. Equipping the pupils with basic but adequate policy education could help plug the time gap. As evident in the engagement with the communities, the non-state actors and the civil servants, there is a measurable gap in policy education.

3. Community Participation enhances project buy in and success

From the study, it was identified that the extent of community participation determines the extent of community acceptance of the project and community satisfaction. Communities when involved in decision making and execution of the project feel part of the project and therefore accept the project and are satisfied with the development process and outcomes. This was apparent in the TASAF infrastructure project in Linoha. On the contrary, the inadequate participation in the Lindi LNG project led to communities expressing dissatisfaction with the project with majority saying that their information needs were not met.

4. Direct and Indirect Consultation affects Participation.

In most communities, affected persons either participated directly or through representatives. It was identified that in some cases where project decision was made by representatives, the project was not successful as it did not meet the needs of the beneficiaries and the beneficiaries did not have the capacity to implement. A clear example of this was evident in the study whereby the livestock sub- project of TASAF, even though a good intervention on its own, did not solve the problem of the beneficiaries in Pangatena community who were old and some physically

challenged, without the energy or the expertise required to raise livestock. This was also evident in the indirect consultation on the IOC LNG project, where the community leaders were unable to be charged with the responsibility of disseminating information to their people.

5. Community Participation is central to community development

Participation in development ensures development in not just a growing economy but delivers socio- economic values to the people. People are experts of their own lives hence for a development solution to meet the needs of people, the people must be allowed to participate in decisions that affect them. When communities participate, they take command of their own development process, making decisions tailored to their own needs. Communities are also empowered with skills and their capacity is built through participation in the development process which minimizes their dependence on government and external aid and makes them more self-reliant. Linoha community is a clear example in this instance. The community members have built capacity from being involved in the planning, implementation, monitoring and evaluation of the health centre project. They have applied these skills to the construction of a football pitch for the school and are currently facilitating the construction of classroom blocks for the school.

7.2 Research Recommendations for Government and Project Developers

Although this study was carried out in the Lindi Region of Tanzania, the recommendations can be applied ubiquitously as community participation is a universally applicable phenomenon. As discussed in the terms of reference section of this research, far beyond the immediate country of Tanzania, findings from this research is equally applicable to similar economies in Africa. Based on the findings and conclusions from this study, the following positions are recommended;

- *Citizenship Engagement in Policy Development*

Findings from the research revealed that the people are not involved in developing policies that affect their lives. It is thus recommended that there should be active citizenship engagement on policy development. Government and non- governmental agencies need to ensure that there is adequate avenue for public involvement in policy development. The government should work with the public agencies such as the national orientation agencies[17] and non-state actors such as NGOs and CBOs to facilitate public participation in policy development. This can be done through local

community policy forums, community congresses, local radio call in programmes, debates, and consultations with interest groups. This would help both the government and the people. It would help the government to proactively measure the impact of the policy on the people and to gauge their situation against the policy proposals. It would also imprint the policy in the minds of the people such that they are promptly able to apply these policies when the need arises. It is also a ready tool to facilitate community participation in its implementation. Public participation in policy development enhances local content because the views of the people are taken into consideration and the outcome is that policies respond to community needs and aspirations. When communities participate in policy development, they have foreknowledge of what is expected of them and what to expect hence they do not make unrealistic demands, which helps manage development expectations. This enables the project proponents and government to manage each other's expectation.

- *Integrating Policy Learning into Basic Education*

One of the research findings is that the level of education does not translate to policy awareness, as such it is recommended that policy learning be integrated into basic education academic curriculum. This to ensure students have adequate knowledge and understanding of national policies. At the basic education level, the pupil gets to understand their civic rights and responsibilities. At this stage, they could be taught about policies that shapes their lives. Participatory policies can help them gain early understanding of national policies that describe how they can participate and this becomes part of their socialization. At the higher secondary and tertiary levels, this can be further institutionalized and broadened to help them gain understanding and have the power to contribute to the implementation of the policies, regardless of their areas of practice. State actors such as the Ministries, Departments and Agencies and District Governments should also be routinely educated on the national policies. Educating the state actors on government policies is essential because they are responsible for the implementation of the policies and they manage the development processes in constituent parts of the nation. The State actors' knowledge of government policies would equip them to design projects and implement them with the stakeholders' in mind, towards ensuring that the project meets the need of the targeted population. Non- state actors such as NGOs both local and international, CBOs and the Traditional Authorities should also be routinely educated on public policies, particularly those that affect their

areas of operation. For the NGO's, they need to be abreast of the national regulations and policies that guide their development interventions and policies related to ensuring participation of citizens. This helps prevent ethical issues and also ensures that their development activities actually meet the needs of the people and ensures optimal participation. For CBO's and traditional authorities, education on public policy would help them facilitate the development process in their area, enhance their participation and give them power to demand accountability from other stakeholders. On a broader level, citizens need to be educated on the policies of the nation in order to know their rights and responsibilities and to own the development process. The public needs to be sensitized on policies formulated by government and this should be communicated effectively to the understanding of the local people. At the project level, there should be policy education for every project and this should be considered as a component of the stakeholder engagement. For every development intervention, project affected persons need to go through a public policy orientation programme. This orientation help the people gain understanding of the specific policies that affect the development project in their area in order to know how to participate. The means of public education must be socially acceptable and culturally appropriate. The facilitation process should not just cover the elite but every individual, regardless of status, race, gender and sexual orientation.

- *Development Projects Should Insist on Direct Consultation*

The research findings revealed that indirect consultation has negative impacts on participation. Consequently, it is recommended that project affected persons should be directly consulted when discussing the impacts or benefits of projects that affect them. This can be done through group meetings with affected persons where they can interact with project representatives. In every project, priority for participation should be given to the project beneficiaries and the adversely impacted. As evident in this research, the directly impacted / beneficiaries are the most knowledgeable about their situation. As such, they are in the best position to express their concerns and or grievances. In some cases, the needs of the project affected persons are likely to be ignored and representatives might push forward their individual opinions rather than that of affected persons. Also, as evident from the research, participation of directly affected persons speed up implementation and achievement of project objectives as it enables prompt stakeholder buy in. Although it is accepted that not all stakeholders will be able to participate and in some cases

community leaders or elected representatives will have to make decisions on behalf of the entire population, persons directly affected by a project should be directly consulted.

- *Stakeholder Engagement should be sustained to Protect Social License*

Findings from the field (quantitative and qualitative) and desk research on the IOC LNG JV and TASAF revealed that consultation does not equal participation. As a result, it is recommended that stakeholder engagement should be sustained to maintain social license. Social license is a crucial intangible network capital that guarantees that an organisation is able to operate in any environment without disapproval of the stakeholders involved. Ongoing stakeholder consultation strengthens stakeholders' participation in community development and it also help communities to shape their own development.

- *Corporate Organisation Need Differentiate between CSR and Social Performance*

Findings from the content analysis of the corporate policies also revealed that many corporate organisations do not understand the difference between their social performance and their corporate social responsibility. Companies need to create a social hub to differentiate between social performance and Corporate Social Responsibility. This distinction is necessary to help organisations understand their social impacts and necessary mitigation / management plans as different from measures which they intend to take, to augment the roles and responsibilities of the state. This distinction is crucial to participation discourse because evidentially, many organisation do not see the difference between their roles and that of the state. As such, any activity they are involved that seems to benefit individuals is regarded as CSR, while in reality, in most cases, they are just reacting to impact they have caused as a result of their operations. Organisations that have misinterpreted these roles (CSR and Social Performance) often de-emphasize participation as they do not see it as a stakeholder issue for corporate organisations and a citizenship issue for public investments. Further differentiation between social performance and CSR is detailed below.

7.3 My Contribution to Practice

In addition to this research contribution to academic body of knowledge (see section 1.4), it offers practical contribution to social sustainability, particularly on how to ensure participation in social performance, corporate social responsibility and policy development.

7.3.1 Difference between Social Performance and Corporate Social Responsibility (CSR)

Social Performance in development project planning is a series of steps taken to study and hypothesize on the anticipated project impacts and working in participation with necessary stakeholders to proactively manage, mitigate and/or compensate for project social risks and impacts such that projects do not cause more harm than good. Corporate Social Responsibility (CSR) is an organisation's commitment to augment infrastructural or human capacity development activities which are originally the functions of the state. CSR has been described as a way of giving back to the society, while social performance is adequately performing against project impacts to ensure project is sustainable.

Corporate organisations often confuse CSR for social performance and see CSR as a way to compensate for the impacts of development projects. Social performance involves the identification of impacts, prevention of avoidable risk, and management of unavoidable risks and adequate compensation of residual risks as a result of development. The aim of social performance is to ensure that the affected persons do not lose and do not bear the social cost of development. It is not a privilege or a favour to affected persons but what is due them.

Contrastingly, CSR is a corporate organisation's contribution to the improvement of the lives in and around the investment area, particularly targeted at augmenting service delivery. CSR activities contribute to development but usually does not include measures to identify specific project impact to be mitigated. The two concepts have independent drivers; social performance is driven by project impacts while corporate social responsibilities is driven by goodwill. This means that if an organisation invests in any activity as a result of the impacts it creates, the organisation is responding to its social performance. When an organisation responds to a gap in service delivery, out of goodwill, it is considered as corporate social responsibility.

7.3.2 Participation Matrix

This matrix, (see Figure 7.1), is an outcome of the research findings, showing the focal areas of participation in relation to social risk management. It is in response to the research objective to propose a good practice model on community participation for social performance practitioners, government policy makers and development project investors towards attaining participation in

social sustainability practice. The three focal areas include Policy, CSR and Social Performance. Under each focal area, the goal, rational for participation, mode of participation, timing and the means of evaluating the outcome is stated. This matrix is specifically designed as an intervention to help plug the gap in community participation on development projects. It is proposed to be a toolkit for government policy makers, to understand the importance of community participation in policy development and the role of policy education to citizenship development. This toolkit is also proposed to help corporate organisations understand the approach to attaining community participation in corporate social responsibility (CSR) and Social Performance. In all, it is designed to help improve the quality of practice of community participation towards helping communities get empowered through development projects to accelerate sustainable development.

Figure 7.1 Participation Matrix

FOCAL AREAS	PARTICIPATION MATRIX					
	POLICY		CSR		SOCIAL PERFORMANCE	
Matrix	**Participatory Policy Development**	**Policy Education**	**Needs Assessment**	**Joint Implementation**	**Impact Assessment**	**Joint Mitigation**
Goal	Policies developed reflect the opinions of citizens and meet their needs	Policy knowledge becomes part of citizenship knowledge	To identify and prioritize community needs and aspirations	To enable community own their own development	To ensure the management and mitigation of project risks and impacts	To make use of local knowledge to solve indigenous problems
Rationale for Participation	It is the right of citizens	To enable citizens to demand accountability	To ensure projects reflect community needs	To integrate local knowledge	To identify potential impacts of projects and categories of affected persons	To ensure the mitigation measures actually address project impacts
	To increase knowledge of policies	To enable citizens perform	To redefine community	To build capacity of communities	To include the views and opinions of the	To include the views and opinions of

					affected persons in decision making	the affected persons
	To hypothesize the effect of the implementation of policy on the populace	To make them see the policy as an institution	To ascertain what constitutes value addition to the community	To create a sense of responsibility and develop and self- help mechanism	To avoid development scapegoatism	To create adequate avenue for citizenship engagement in impact management
Mode of Participation	General Public forum	Redevelopment of secondary education curriculum to emphasize policy education	Community congress to measure public opinion	Capacity building	Multiple Stakeholder Engagement	100% impacted household survey
	Citizenship engagement with popular franchise representative	Teaching policy at the secondary education level	Focus Group Discussions to measure group opinion	Cost Sharing	Sample survey of affected persons	Multiple stakeholder engagement to gain group perspectives

	Media Awareness and Sensitization	Policy education should be part of basic education	Prioritization and Ranking	Community Buy back system	Focus Group Discussion with impacted groups	Participatory mitigation planning with adequate buy back system
Timing	During policy development	Targeted at education levels	Prior to the project/ programme	At the completion of the design of project	At the inception of project development	Immediately after project design
Evaluation	Active contribution to policy development	Educational evaluation through examinations in school	Understanding of differences between needs and wants	Community Buy back system	Community understanding of project impacts	Community buy-in in mitigation process
	Public understanding of policy and implementation procedure	Active youth engagement on policy matters	Ability to justify the proposed project/ programme	Community understanding of process value chain	Communities commitment to supporting projects in identifying project impacts	Mitigation support buy-back system

7.3.3 Understanding the Participation Matrix

Based on Research findings this section describes the nexus between the research terms of reference (aims and objectives), the research findings and the participation matrix. It establishes how the research findings informs the participation matrix and how these findings can be translated into concrete practice change for practitioners and new learning perspective for the academic community. The research findings are presented in accordance with the research objectives and the signal it informs in terms of the participation matrix and how these can influence body of knowledge and practice.

Nature of Participation in the IOC LNG JV and TASAF projects

Participation involves a deep level of mutually beneficial relationship, empowerment and knowledge sharing to make an informed decision (Hickey and Mohan 2004). Also, the UN principle of Free, Prior and Informed Consent (FPIC) enshrines that affected persons have the right to know about any project prior to the impact, their consent must be sought and affected persons must not agree to a project under duress. The survey for the IOC LNG JV project indicated low level of participation and in some cases, participation was not direct. TPDC has acquired the land already without informing the affected persons and the communities have no option but to accept the project and vacate the land as recommended by law. Also, respondents indicated that they were not given the opportunity to ask questions and share their views and opinions. Consequently, to increase project awareness within the affected communities, consultation needs to be more wide spread. This finding speaks to every aspect of the matrix because the reaction of the people tells a discomforting story borne out of lack of participation. As such, the negative feedback establishes a strong rationale to pursue the participation goal, essentially the timing section which advices on when the community are supposed to be allowed to participate within the project lifecycle. Timing is of essence because once the people lose faith in the system, it would be difficult to get them back to believe that things can be done properly or sustainably. As in the case of the IOC LNG Project, the quantitative survey revealed that the affected community members believe the project cannot be sustainable or benefit Tanzanians. This was further confirmed during the qualitative surveys where they stated explicitly that with the lack of participation (and inadequate participation for some), the project is not likely to succeed or at least be sustainable.

The feedback also reflects that participation on the TASAF project was much higher than the IOC LNG JV. In Linoha, respondents indicated a high level of participation in both the infrastructure and cattle sub-projects. They were given the opportunity to choose their own projects, select a committee who were trained to monitor the implementation of the project and provide labour during construction. This demonstrated participatory development because the communities influenced and contributed to project decision making (Ondrik 1999). Conversely, in Pangatena, participation was indirect through representatives such as community leaders and opinion leaders. Mansuri and Rao (2012) argue that the representative system of participation in itself is not a problem but the challenge is the inability of the representatives to articulate the interests of the people they represent. This was seen in the TASAF project in Pangatena where consultations for the livestock project were carried out through representatives who felt that the provision of livestock to vulnerable persons would help support them, without consideration for their old age and disability. It is important that during consultation, necessary information is shared with affected persons with a proper feedback mechanism to ensure participation attains its goals. This feedback informs the mode of participation as described in the participation matrix. The mode of participation is so essential that it can make a difference between citizen power and tokenism (Arnstein 1969, Cornwall 2011). The nature of participation determines the outcome which means that the nature of participation directly influences the achievement of the goals of participatory development. This has been further categorised by the matrix. The project focus and the stage in development is relevant to participation because the type of project determines the mode of participation and there is a different participatory need for every stage of the project. The research addressed two different projects; IOC LNG JV which is a joint venture between private investors, the government and TASAF which is a purely social investment. There is a marked difference between the participation needs of these projects and direct community feedback which helped form the sections in the matrix which has been better modified by my best practice experience in sustainable development practice.

Community Understanding of Participation

This objective was specifically designed to measure the community members understanding of what makes up participation as a phenomenon in development thinking. The finding is that most respondents construct of participation is information sharing. Very few of the respondents see it as an empowerment process. The same applies to the government officials and respondents from non-state agencies engaged. Participation has been misconstrued with several

terms which range from information sharing, consultation, partnership, citizen control, etc. and these terms have different meanings that portray the extent to which people participate (see chapter 2.4 of this research).[1] Barasa and Julegat (2013) argue that community participation involves active involvement of stakeholders whereby individuals or groups have the power to decide for themselves and take responsibility for their future. They further argue that community participation should not be an imposition but rather a partnership between communities and development actors who share power, knowledge and resources to solve development challenges. From the study, it is evident that the definition of participation from a community perspective is often simplistic. The affected communities seem to be content with acquisition of information, information sharing, consultation, an opportunity to share their views and opinions. Very few believe decision making is also a component of participation. This is evident in quantitative and qualitative studies where majority of the respondents agree that information sharing, or consultation suffice for participation, except for very few. This position informs the goal and rationale section of the matrix. The goal section provides clarity on what the fundamental role for participation is, for each component of social development practice discussed. It provides a succinct framework through which the question *"what is participation for?"* could be answered carefully and critically. This goal section also benefits significantly from the first objective of the research (review of literatures), which has been critically engaged in section 2.4 of this thesis.

From the studies among the communities affected by the IOC LNG JV, the respondents felt that participation would have been achieved if they had more information on project details, the chance to voice out their opinions and receive answers to their questions. To them, the term Community Engagement as discussed in section 2.4.5 (The Language of Participation) of this thesis is participation. However, for the TASAF project, community participation is seen as involvement in decision making and implementation with emphasis on empowerment and capacity building which stems from community experience in deciding their own projects and being empowered to implement them as in the case of the Linoha community. This shows that community construct of participation differs from one project situations to other. Consequently, it is necessary to understand these perspectives in order to manage the participation process. This goes back to the point that the nature of the project determines its participation structure. This has also been well represented in the matrix as it proposes unique

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[1] See Chapter 2 for further details

participation needs for different aspect of social development. This research show that community participation is key to the success of any project and the extent of community participation is dependent on how the term is applied. This means that the practitioner's view of community participation is not just limited to information sharing and involvement in decision making. As it has been applied in this research study, community participation extends to sharing power and resources and an equal community control over its development agenda. Thus, as established in the section 2.4 of this research (Review of Literature), which responds to the first research objective, the *Goal* Section of the Participation Matrix (Figure 7.1 pg. 221) sets out the purpose of the matrix. Further, the *Rationale* Section explains the anticipated outcomes for each practice area, once the set goals are attained. As such, the two sections help define what is expected of participation in a succinct way, such that practitioners and researchers can approach participation against this backdrop.

Participation Space in Corporate and Government Policies

This objective was designed to understand how government policies on development and corporate policies of development agencies enhance community participation. It was expected that the review of these policies and engagement with the communities and non-state agencies on participation policy would help ascertain the role of community participation in development. The outcome of these review and the public engagement is expected to help identify the gaps in the role of policies both at the government level and at corporate level towards a better understanding and its effectiveness in enhancing community participation in development projects.

From the analysis of the corporate policies, it was identified that among all the corporate policies of the IOCs, ExxonMobil's policy shows high commitment for public involvement in decision making and stakeholder engagement to share information, minimize impacts, meet community needs and address grievances which when implemented will ensure participation. However, there is a marked difference between the corporate claims and the realities in the project affected communities, particularly on the IOC LNG JV project in Lindi Region of Tanzania. Most of the respondents from affected communities are not aware of the project and do not have project details including the names of the corporate organisations behind the investment. The corporate claims of ExxonMobil Tanzania and the other IOCs are not particularly popular with the nine potentially project affected communities as they have not

been allowed to participate in the project as contracted under the companies' *social investment* and *community engagement framework*.

Based on my practice experience and the review of listed corporate policies and surveys conducted, these performance gaps are upshots of two main category of challenges, which plaques many corporate organisations. The first is the concept of wrong definitions and the other is the procedural approach. The definition challenge is a fundamental issue in social development (Marsland 2006, Cornwall 2011). Many concepts in social development are wrongly defined and this puts practitioners at risk of compounding problems, which they are supposed to solve.

On this case study, the definition challenge on the policy affects two perspectives to the discourse. The first is that the corporate policies reviewed have a different perspective on what constitutes project impacts which is different from project goodwill. The second challenge under the definition perspective is that while defining what constitute participation in these corporate policies, they still limit participation to information sharing and at best, community engagement. This definition limits the role of participation in development project.

On the second category which bothers on procedural approach, the corporate policies have not adequately differentiated their social development framework along the different subsets of practice. The policies suggest that they will be applying a broad-spectrum approach to social investment, corporate social responsibilities, social performance, policy development among several others practice areas. These different areas of social development require clearly different approaches. This informs the clarifications provided on section 7.3.1 (Difference between Social Performance and Corporate Social Responsibility (CSR) of this thesis on the difference between social performance and corporate social responsibility and the categorisation established in the matrix – policy, social investment, and social performance.

In terms of public policy, the goal is to examine if the government policies actually give room for community participation both at the documentation stage and the application of the policies. Findings from the quantitative and qualitative data collection for both projects studied indicated that the people do not know about these policies. This is a major gap in the role of public policy development because knowledge of the policies would have benefited the project communities. This is because the communities would have been aware of the mode and extent to which they

can participate, the kind of information they need to receive about the project and the procedures for community participation and land valuation.

None of the respondents on the IOC LNG JV project knew about the Tanzanian Development Policies. The same applies for 50% of the TASAF project respondents. They do not know about basic livelihoods policies such as the Village Land Act of 1999, even though they are all farmers. They do not understand their right in land acquisition and the benefits that are accruable to affected parties in this circumstance. The same applies to the NGOs working around Lindi that were surveyed in the course of the research. The NGOs sampled do not have knowledge of the Tanzania development policies reviewed in the course of this study. Out of the five policies reviewed in the course of this research, the NGOs are only familiar with one – the Environmental Management Act of 2004. The other policies studied include: The Village Land Act of 1999, National Economic Empowerment Policy of 2004, The Tanzanian Development Vision 2025 and the Petroleum Act of 2015. All these policies contribute directly to development, essentially at the local level. The contents of these policies have been discussed in section 6.1.4 of this research (Government Development Policies and Participation in Tanzania pg. 186).

The poor knowledge of participation components in government policies constitute a major challenge to development. This is concerning because these policies are not just the tools for the government activities. They are also a benchmark for corporate organisations operating within the country. Evidentially, because the government policies are not popular among the people, even those whom they impact directly, policies from the corporate agencies suffers the same fate because they are benchmarked by the state institutions. This explains why there has been no complain from the state agencies about the poor state of policy awareness by the corporate agencies on the IOC LNG project. Uemura (1999) and Maral-Hanak (2009), believe that Tanzania is well known for its initiatives towards community participation which suggests high level of participation at the local level with its development policies showing objectives and directives that facilitate the participation of communities in developments that concern them, but, the reality is quite the opposite. This shows a clear disconnect between the national policies and the realities among the people. This is a similar reality in many emerging economies (Bassey 2010, Bassey 2013, Dartey Baah 2013). This finding necessitates the policy learning component of the matrix. Based on the findings, it is recommended that policy learning should be part of basic education, particularly development policies that bothers on

the basic lives of the people. Equally important as well, participatory policy development is also recommended. This is in direct response to the knowledge gap in policy awareness among the community members, government agencies and the non-state actors.

7.4 Contribution to Literature

As mentioned in the course of this research (in sections 1.0b, 7.2 and 7.31), social performance is an emerging multidisciplinary area of practice. Social performance was initially popular within the corporate sector to mean how corporate agencies such as banks and microfinance institutions measure their performance against their social goals (CGAP 2007), essentially in making life better for their benefactors who they are doing business with. To this end, several literatures (GCAP 2007; Gbadamosi 2016; Wood 2016) construct social performance as being synonymous with the terms corporate social responsibility, corporate sustainability, corporate social performance and social investment. Wood (2016) further describes corporate social performance as the principles, practices, and outcomes of interactions between businesses and individuals, groups or institutions whether deliberate business actions or reactions to unintended externalities. Here, social performance is projected from the business perspective and as a way of maintaining business relations with the wider stakeholders ranging from directly impacted stakeholders such as the affected communities to a wider group, such as the entire country of investment. The goal here is to create goodwill and positive action towards minimizing negative effects of businesses. Ganescu (2012) also argues that social performance describes the principles and policies that organisations use to respond to social pressures, and ways by which organisations acknowledge their responsibilities to their consumers. This position presents a customer- centric approach to social performance with the endpoint is; maintaining business relations. From a social perspective, social performance has also been described as the realization of a company's social goals where social goals mean improvement of the economic and social conditions of clients particularly the poor and disadvantaged (CGAP 2007). This perspective of social performance lean towards corporate social responsibility which is defined as a company's investment in social goals outside its profit requirement (McWilliams 2000). The focus of this research is different from these business perspectives.

The focus of this research is based on the understanding that social performance is much more than corporate social responsibility. This research is premised on the understanding that in practice, social performance is a methodological approach to safeguarding that investments are socially responsive and taking proactive steps towards ensuring development projects do not

cause more harm than good, especially as it relates to impacts of the project on the people. It is a process of modelling anticipated project situation to proactively evaluate the potential risk a project is likely to pose to its immediate and larger environments, in an attempt to redesign the proposed project approach or proactively create mitigation procedures that will manage the anticipated impact. Although many of the points raised in section 7.3 of this research will contribute directly to practitioners, it will also contribute significantly to the academic literatures on social performance. This is anticipated to happen in two folds: through the research process adopted by this study and the research outcome; essentially the participation matrix.

The Research Process: As discussed under the research framework section, there is a uniqueness to the research method adopted by this research and the process adopted by this study essentially in the ethical approach and research planning which differs markedly from similar research in the same discourse areas. This is because the researcher did not only use questionnaires, key interviews and FGDs like similar researches (Leksakundilok 2004, Kanyaya et.al., 2014) but also conducted a content analysis of the relevant government and corporate policies. Also, the research considered gender sensitivity and took efforts to ensure equal inclusivity of male and female in the research process. In practice, gender issues have implications far beyond demography because it opens a discourse on gender roles and responsibilities and how this affects the subject under examination – participation. This approach is targeted towards plugging the gap between academic research and professional practice. In essence, the research process is targeted at creating a study that is academically acceptable and professionally viable. The uniqueness in this is conducting a study that adheres to academic research standards and also complies with ethics of professional practice, such that both the academic researchers and professional practitioners can find a common ground on the research process and the research outcomes. This is expected to take ethical standards in research to another level and importantly, contribute alternative thinking process for students in development studies, looking to conduct research into community development, essentially working with communities and practitioners in the practice. More detailed example of these processes are captured in chapter five of this research under the research process.

Participation Matrix: As detailed in the sections 7.3 above the participation matrix is developed from the research findings. Although it is primarily designed to enhance the knowledge base of practitioners, it would also contribute significantly to the body of knowledge in social

performance. This is because it provides a framework of good practice on community participation for social performance practitioners, government policy makers and development project investors towards attaining participation in environmental and social sustainability practice. Due to global movements such as fair trade, green economy, carbon trading and other social and environmental sustainability interest groups borne out of global challenges such as global warming, the need to get environmental and social sustainability solution is at its all-time high. This matrix will contribute significantly to the literatures to popularize this area of practice and get people to gain better understanding of community participation.

7.5 Research Limitations

According to Simon and Goes (2013), no research is perfect. Consequently, they posit that every research has limitations. They further argue that every study no matter how well it is carried out, it would have some limitation. They went further to project that limitations are matters and occurrences that arise in a study which are outside the researcher's control. Simon (2011) describes research limitations as an experience that is humbling and empowering at the same time. It is described as a humbling experience because in spite of the research details, there are still areas that are outside the researcher control. There are alternatives in methodologies, approaches and tools which if explored could have given a slightly different feedback. However, Simon (2011) argues that the empowerment comes from the researcher's criticality and ability to understand the research limitations. Leedy and Ormrod (2010) posits that research limitation could emerge from either the research approach, samples size, research tools or any other research assumption which has the potential to change the research outcome. On this study, the following research limitations has been observed: Inadequate Secondary Data, Research Sample Size and Poor Project Disclosure.

    i.   Inadequate secondary data-

Simon and Goes (2013) argues that research can be limited by the amount of information available on the subject. This is evident on this research. The project affected communities are in remote locations in Tanzania without up to date secondary data particularly on general population and attendant demographic details. This would have been very useful to understand what percentage of the entire population were sampled in the course of the research. This made it difficult to determine the sample size for the communities at the beginning of the study. Although attempts were made to ascertain the average population of the communities, this was

not very successful as the numbers did not tally with the direct observations in the course of the study. This may be due to the impending project development in the area, especially in the communities affected by the IOC LNG project. If this information had been available, it could have deepened the research analysis and possibly increased the level of findings.

ii.   Sample size-

Leedy and Ormrod (2010) argue that sample survey relies heavily on the assumption that the sampled population is a true reflection of the entire population. They posit further that this could be a potential limitation to the research because if there is a slight digression on the precision of this sampling, the outcome may not be completely accurate. Due to the nature of the projects under review, different samples were used for the different projects. For the livestock project in Pangatena, all the 18 project beneficiaries were sampled. However, for the Linoha infrastructure project, stratified sampling of 36 persons across age and gender divides were sampled. This is because the entire Linoha community and other communities around them are benefitting from the infrastructure project. Although 482 respondents were surveyed on the IOC LNG project across nine communities, this is still not 100% sampling as in the case of the TASAF livestock project in Pangatena village (see chapter 5). Even though, the 482 samples on the IOC LNG project was adjudged representative based on the diversity of the opinions gathered through the quantitative and qualitative surveys, if this research were to strictly follow impact mitigation procedures in social performance practice, all the directly impacted households were to be surveyed in detail.

iii.   Lack of Full Disclosure-

Simon and Goes (2013) opines that a case study can constitute limitation in conducting research because the chosen case may not reflect the full characteristics of similar entities. This was experienced in the course of this research. Despite efforts made to engage with the IOCs to discuss their corporate policies and their potential action items on the project, particularly the organization's perspectives to participation, there were no responses. This is a significant limitation to the research because there was no direct communication with the IOCs or its representatives in the course of the study. As a result, the corporate policies analyzed were extracted from the companies' websites on the internet. Due to this lack of direct response from the IOCs, it was not clear if the joint venture companies have any immediate or future plans to

address the issues raised in the course of the study particularly how they would deal with community participation issue on the Lindi LNG project.

7.6 Recommendations for Further Research

Based on the findings from the research, the following areas of further research need to be investigated by researchers.

- Further study into policy development and participation in emerging economies.

Review of literature suggests that citizens are increasingly being involved in policy formulation by governments particularly in the developed countries, but this is not evident in emerging economies. There is the need for further studies on the nexus between policy development and participation.

- Cultural perspectives on participation.

It was identified in the study that community understanding of participation is affected by experience on projects. Even though researchers and practitioners see community participation as a broad term encompassing different approaches and levels, community understanding is much more simplistic. There is therefore potential for further study into the cultural perspectives on participation and how it affects the level of community participation.

- How Educational Level Affects Community Participation

Quantitative data from this study revealed a weak positive correlation between level of education and the participation. Although this does not mean that education is the main factor influencing the participation of communities in development project, but again, it means that there is definitely a role played by education towards ensuring people participate in their own development. As evident from the qualitative surveys, the development agencies and the community people mentioned that there is need for basic education to enable active participation of the community. Because this has not been discussed exhaustively in this research, it is recommended that this can be taken up by other researchers as potential area of further research. This can be done by conducting a research into how basic education can impact community participation in development projects. This research can help analyse the roles basic education play in development and how this role could be optimised towards sustainability.

- How Age, Gender and Vulnerability Affects Community Participation.

The quantitative data gathered in the course of this research revealed that age and gender do not have any strong correlation with participation. This means that the respondents do not perceive their gender or age as factors that could influence their participation in development project. This is markedly different from the author's experience in other countries where gender divide plays a crucial role in decision making and participation. Based on this, it is recommended that further research should be conducted to look into how age, gender and perceived/being vulnerable affects community participation on development projects particularly in emerging economies.

CHAPTER 8

REFLEXIVE ACCOUNT OF PERSONAL LEARNING AND PROFESSIONAL JOURNEY

8.0 Introduction

It is not sufficient simply to have an experience in order to learn. Without reflecting upon this experience, it may quickly be forgotten, or its learning potential lost. It is from the feelings and thoughts emerging from this reflection that generalizations or concepts can be generated. And it is generalisations that allow new situations to be tackled effectively

(Gibbs 1988 p. 9, Ashmore and Robinson, 2014)

One distinct feature of professional learning is the reflexive nature of extending the frontiers of knowledge. It is no longer the assimilation of knowledge, rather it is reflecting on the problem-solving skills and techniques, documented to solve future problems. This chapter is a reflexive account of my personal learning journey, my emergence as a social performance consultant and a background to this doctoral research in sustainable development. This reflection chronicles my understanding of the developmental activities that culminated into my habitus as described in chapter one of this research.

8.1 Previous Learning

I have gained diverse experiences studying and working in different industries, attending several seminars, trainings and workshops. This has shaped my current practice as an environmental social risk management consultant and my pursuance of Doctor of Practice, Sustainable Development.

As captured under my vocation habitus (Chapter Two), my leanings are mainly work based. I learned significantly from my work experiences which includes working as an Agricultural Farm Manager, Customer Service / Front Desk Officer, Process Analyst and Sustainable Development and Environmental Social Risk Management Consultant. The diverse skillset gained from each of these job functions formed the base of my habitus as a professional. However, knowledge gained in the course of the programme has propelled my knowledge of the practice, which has empowered me to specialise in Social Impact Assessment and Planning.

8.2 My Persona in the Research

This research is formed of many components and processes. All the research components and processes have benefited from my persona, which is a combination of my previous learnings as stated in section 1.2 (My Current Practice) and section 8.1 (Previous Learning) above, personal drive, attitudes and professional convictions.

This research started as a result of my personal drive for self-improvement based on my upbringing to never be satisfied with average performance and this has helped sustain the rigour required to conduct this research at doctoral level. As a graduate of Theatre Arts, and a certified Public Relations practitioner, I am conversant with conducting work-based research, which is common to both areas of practice.

Importantly, the social performance practice relies significantly on data gathering to help proactively diagnose project impacts, the result of which enables practitioners to mitigate potential risks and manage unexhausted challenges as a result of impacts to ensure the projects do not cause more harm than good. These experiences equipped me with strong research competence and negotiations in sub-Saharan African settings, which has helped sustain this research. Some of the base experiences that I have from my previous learning, which have brought to the research can be classified into the following stages of this study:

Design and Planning: As a practitioner, over the last 12 years, I have conducted field-based research in more than five hundred (500) project affected communities, engaging directly and indirectly with a larger public of about fifty thousand persons. This experience has clearly helped me to learn how to design community-based research in such a way that it drives the anticipated outcome, without breaching ethical standards in practice. My design and planning knowledge and experience has significantly helped this research through the planning stage, from DPS4561, through to confirmation of the research topic, setting the research goals, conducting the pilot and confirmation of the research aims and objectives. Through this stage, my knowledge of research design has been very useful.

Implementation and Engagements: This research has involved a measurable amount of interpersonal communications, group and institutional engagements and multi-stakeholder interactions. This involves working with people, groups, institutions and various level of stakeholders who are crucial to the success of this study. The ability to do this has been based on my knowledge and experience, which has helped build this research. I learnt these skills

over my twelve years of practice, working as a multi-stakeholder engagement professional, and a veritable component of Social Performance practice. It was this very component of the practice that led me to the understanding of the value of community participation in development projects, which is the cornerstone of this research. Conducting research involves thinking through the tools and how best they can be used to achieve the best result for the study. This is also borne out of experience because in social performance, the right tools have to be deployed to ensure the desired result is achieved. A typical example of this is use of community entry meetings, focus group discussions and institutional engagements, which often time could be conflicting, but are skillfully applied in the course of this research based on previous knowledge and experience of using these tools. All these have benefitted from my knowledge and experience of research implementation and engagements.

Research Data Analyses and Documentation of Findings: Data analyses and documentation of findings is at the heart of this research. Understanding the method to use in data gathering, data analyses and ultimately how to construct (make sense) the findings is often time the most challenging part of a research. This often times could be the deciding factor whether the research would be able to achieve its goal or not. I was able to navigate this complex area of the research due to my day to day experience working as a social performance consultant. The practice involves making value judgement based on information gathered to help solve problems. To do this, the consultant needs to be able to translate complex numbers gathered from studies to arrive at conclusions, which will then be translated into plane language to help business leaders make business decisions targeted at solving social problem caused or that could be caused by development projects.

Developing a Model of Good Practice: Although the model of good practice came as a result of the research findings, the understanding of the gap which ignites the construct was borne out of practice. Over the years, there has been conflicting opinions on what the different sections of social development in practice. This research has been able to establish empirically that the concept of CSR is markedly different from Social Performance and so is it different from Policy development, essentially as it affects the role of community participation. I was able to pick up the conflicting gaps in the understanding of these concepts, which has ultimately helped to construct a model to respond to the gaps identified.

In conclusion, following my years of experience as an environmental social risk manager, I have come to the understanding that a development project is "a project" to all stakeholders

except for the impacted communities. To the government, projects are often seen as one of the many campaign promises, to bring a better life to the people. In cases like this, the government only takes critical responsibility for such projects while in office. The investors recognise projects as businesses, which truly it is as it involves significant financial exposure and measurable disclosure of technical know-how. Despite this involvement, to most project developers, the primary responsibility is their financial exposure, making sure they do not cause financial harm to their stakeholders and shareholders. A similar narrative applies to the NGOs. To them, projects are seen as potential challenges, which they must help to morally guide to making responsible decisions that would not cause harm to stakeholders. Although these are not negative interests, all these interests are outside the confines of the lives of these stakeholders. The impact of a project to the lives of project affected persons is completely different. To the project affected persons, project practically alters their lives, their wellbeing and the impact of the project and the process of it being well managed or otherwise becomes the formative period of their generational narratives of the people impacted essentially for long term projects with significant impacts. This underscores the importance of community participation on development projects for me. The other stakeholders experience the projects from afar, the directly impacted communities live the project realities. If the project succeeds, they are often victims of the positive impacts such as influx, effluence discharge, structural and economic changes among several other industrialization challenges. Unfortunately, if projects fail, the directly impacted communities inherit the abandoned structures and modification brought about by the project attempt. In either of these instances, the projects would still have managed to modify the lives of the people.

8.3 Learning on the Programme

I was the Global Field Director for IDC Limited when I enrolled on the Doctorate in Professional Studies programme. Although there were no modules in the programme that specifically targeted social performance practice, through the research modules, I have gained significant practitioners' research knowledge, which has helped me better situate and articulate my specialty within the larger community of practice. Importantly, this doctoral programme has helped sharpen my existing knowledge base because it has enabled me to have a better understanding of different specialty in my area of practice and how they fit within the larger picture of solving practice problems. This major understanding has propelled me from being a field consultant to a practice thought leader[18]. Because of the ubiquitous nature of my research

area of interest, I have been able to measure more empirically, the nature of participation as it affects the stakeholders in different areas of social sustainability practice, which has enhanced my intellectual and practical.

During the first stage of this programme, I was privileged to document my previous learning through a reflexive account for my RAL[19]. RAL is the reflexive account of learning, where previous professional experience is documented to be recognised as academic learning. On my first RAL, I explored the centrality of data management to my practice. This initial reflexive account revealed the power of data in every organisation as it informs planning and decision making. My RAL Claims[20] focused on data management with specific experiences and knowledge of kinds of data used in different industries which I have practised in different capacities. Reflectively, I realized that the nature of data that I had access to determine the quality of decisions I made in my different roles and the lack of specific data usually caused a stop work order until they are addressed. In more specific details, working in the media required the breakdown of international and national research and policy documents into simple radio drama scripts to build the capacity of listeners for development. Should there be any gap in the data presented in sensitizing the audience in any scheme, such scripts are suspended until such facts are confirmed. A typical example is of plugging data gap is the clarification of how long HIV virus can stay outside the human body. This simple clarification is crucial when developing scripts that explains safe sex and other ways of avoiding the HIV virus. Another example is explaining interest rates and banking systems to micro and small-scale traders, while building their capacities on embracing self-help mechanism in trade and business. I also reflected on my process management experience which revealed that data management is at the heart of process management. Development and management of processes include understanding of existing customer databases, product interest groups, targeted audience, information of internal stakeholders and corporate capacities to manage the proposed processes. All these internal and external resources and realities are analysed to make informed process management decisions. In my experience on social and environmental risks management practice, my reflexive account revealed that data is the key to a sustainable environmental and social risk management. Quality data ensures that decisions made in managing environmental and social risks are socially and environmentally acceptable.

At the critical reflection stage on my RAL, I did a reflective review of a Socioeconomic Baseline I conducted for a project in Gobogobo Village, Chimoio District of Beira Region,

Mozambique. The reflexive account involved critical analysis of the process of data gathering which includes planning, scoping, development of survey instruments and the actual survey. I also explained the use of GIS in Social Baseline documentation which I developed in the course of my work on this particular project. The aim of the GIS and social baseline nexus is to integrate the social details of project affected persons (PAPs) with the community map. This integration was to ensure PAPs information can easily be accessed via a single click on mapping/project management software such as ARCGIS and MAPSOURCE which are common with technical project managers. The essence of this interface is to reduce the time it takes project stakeholders, particularly at the technical level to read the full baseline reports to understand project impacts. Because this process requires significant stakeholder engagement to understand the stakeholders' stake in the project, this reflective account also demonstrates how I have also learnt the process and importance of stakeholder mapping to stakeholder engagements. Stakeholder mapping includes the identification of stakeholders and their interests, which facilitates my understanding of building win-win scenarios in engagement and community participation.

In conducting this doctoral research, I have gained measurable research skills which have significantly improved the quality of my practice. Managing social risks in line with acceptable international standards require substantial ethical practices amongst other features which helped other areas of my life. Ethics, Reflexivity, Empiricism, Triangulation, Objectivism, Confidence and Peer Review, are some of the outstanding features I have gained in the process of this research, which has improved my rigour in day to day practice, particularly in data collection and analyses in social sustainability.

8.4 Direct Research Benefits to My Practice

Ethics – This research required compliance with the Middlesex University Research standards. Understanding of these ethical requirements have positively influenced my practice as a social risk manager particularly in dealing with project affected households. Some of the work ethics I have gained include confidentiality, informed consent, the use of first language, recognition and respect for gender issues, race issues and vulnerability in project development and management.

Reflexivity – Reflexivity is very essential in professional doctorate programme as it enables the researcher recall and document problem solving skills which are reliable enough to serve

as knowledge base to solve similar problems in the future. In the course of this programme, I have gained ability to reflect on my past problem solving skills which have continually enabled me to create bespoke solutions to social performance problems. This uniqueness has moved my skill level from being a field consultant (specialist level) to a thought leader in social performance practice (project manager).

Empiricism – Presenting fact-based and verifiable information is one of the hallmarks of academic/field research. Leaning this skill in the programme has significantly improved my practice. It has enabled me to measure more accurately how specific impacts can affect households and how the proposed solution or management plans can help mitigate such impacts. This particular attribute has helped my practice to be more inclined to the use of verifiable data to accentuate my professional position in practice.

Triangulation – Getting the same information through different means and from different stakeholders to understand the converging and diverging perspective is crucial to professional doctoral research. Although I learned this skill originally in my practice as a stakeholder engagement field consultant, this research has further helped to sharpen this skill. To enable me conduct active triangulation, I saw the need to better map stakeholder required which serves as the compass to triangulate their perspectives to the discourse. Also, because an average community, particularly in an emerging economy is a melting pot of different mixes, understanding different perspective to the same concept is essential to the practice. This is because a social performance practitioner needs to understand how each of the different mixes would be impacted or benefit from the discourse. As such, triangulation is an essential tool which would help put data from different perspectives side by side in practice, towards making an informed decision.

Objectivism – Ability to treat information without any emotional attachment but as an independent body of truth is crucial in research. Although this skill is difficult to practice in social performance, it is essential in managing ethical standards in professional practice. Ability to be objective and critical which I have learnt in the course of this research has enabled me to work with little or no conflict of interests, as I am more able to measure my level of emotional involvement in any discourse in my practice.

Confidence – Because I have a deeper knowledge and greater understanding of my practice and I am more able to plan my professional practice more accurately to align with targeted goals, this has built my confidence.

8.5 My Practice Specialties

The skills gained in the course of my research has significantly improved my practice. I currently work as a social performance safeguard consultant for the World Bank Group, Ghana CMU managing safeguard compliance in Ghana, Liberia and Sierra Leone. Aside from this, I work as the Project Lead and Founding Director for Translantic Development Limited (TDL) an international sustainable development firm that specialises in field based social performance practices in emerging economies essentially in Africa (East Africa, West Africa, Central Africa and North Africa). Also, I am a freelance consultant for the ERM Group, a global social and environmental consultancy with zonal offices in the United Kingdom, United States of America, Canada and South Africa. As an environmental social risk management consultant, I help clients explore every aspect of human interface on their development projects, to hypothesise on possible social impacts and designing, implementing and monitoring management and mitigation plans for such identified impacts. This is usually for large scale development projects but the solutions provided often permeate every cadre of social structure affected: multinational investors, large corporations, small and medium enterprises and industries, micro business owners, tradesmen and subsistence farmers.

This research has helped me gain specialization which has continually shaped my practice. These specializations are borne out of my previous leanings, gained from several work experiences. My current practice now entails specialist practice areas in social performance management which has benefitted significantly from this research particularly the skillsets listed in the section 8.2(a) of this chapter. My current areas of specialty include:

- *Conducting Socioeconomic Baseline Studies*
  Socioeconomic baseline studies involve critical study and documentation of the social and economic features of a proposed project environment prior to the establishment of such project. Baseline studies are conducted to gain understanding of the current social and economic landscape so as to serve as a measure of change in the future. It is also conducted to help understand the challenges which can be aggravated or resolved by the establishment of such project. Baseline studies also help create a platform under

which the potential project impacts can be hypothesized. This process is referred to as Social Impact Assessment (SIA) in social performance.

- Hypo*thesizing on Potential Project Impacts*

Impact assessment (IA) is a critical stage in project impact management under social performance practice. Impact assessment often builds on the findings from the baseline studies. IA uses significant baseline features which are established in the baseline findings to hypothesize on the potential risks a project could contribute to its immediate environment. Impact Assessment creates a platform for a framework through which identified project impacts could be managed or mitigated.

- *Developing Impact Management Frameworks*

Impact mitigation frameworks (MF) are terms of references which guide the development on impact management and mitigation measures. Often times, management frameworks are developed in line with specific standards, which guides its component. MF are usually designed as a detailed corporate policy statements to guide the management and mitigation of specific social impact. It is often used as a guide for preparing the impact management plans.

- *Developing Project Impacts Management and Mitigation Plans*

Impact management and mitigation plans are studies and documents targeted at solving an identified project impact. Often times, impact management tools are developed with the project stakeholders to ensure it is culturally acceptable, fit for purpose and importantly, responds to the needs of the people. Some of the very common impact management plan include: Resettlement Action Plan, Livelihoods Restoration and Improvement Plan, Worker Housing Plan, Influx Management Plan, Food Security Plan, etc.

- *Conducting Stakeholder's Needs Assessment for Social Investments*

Needs assessment is a social performance study that is targeted at helping the community understand the difference between their need and wants when facing a social investment plan. Need assessment serves as guide as well as a tool. It is a guide in the sense that it helps to inform the funders of social investment plan of what is critical to the people in terms of their needs. It is a tool in the sense that the process of

developing need assessment involves working with the stakeholders to design a buy back system into the plan. This buy back system ensures that the community owns the plan and are able to manage such investment sustainably.

- *International Development Funding Compliance*
Third party funding are often subject to specific international lenders' requirements. Development lenders and grant agencies have safeguard policies which are conditions for lending to any organisation or government agencies. Compliance in this instance is helping the borrowers, (usually governments or large infrastructure development organisations) to meet the safeguard standards of their lenders.

- *Design and Update Existing Development Policies for Governments*
Policies are government instruments that helps to shape operational activities in the governance system.

- *Capacity Building and Mentoring on Social Performance Practice*

- *Improving Access to Market and MSME support Mechanisms*

- *Social Inclusion and Eradication of Extreme Poverty and Vulnerability.*

8.6 DProf. and beyond

Based on the level of knowledge, experience and exposure gained in the course of this research, I intend to use my current platform as an international consultant to spread the knowledge gained among my peers, clients and stakeholders. Some of my focus after my doctoral research include the following:

Training – I intend to spend time sharing my professional knowledge among my peers, colleagues and associates through development of a social sustainability knowledge hub. This would enable learnings from multi-sectoral projects across different parts of the world.

Further Research – I intend to conduct further research into multiple stakeholder engagement, particularly on cultural issues, policies and corporate governance and social sustainability.

Volunteering for Humanitarian Course – From my experience it is evident that the cost of environmental social risk management is far beyond the reach of small and medium enterprise. I intend to volunteer in this regards particularly to help build capacities especially for vulnerable populations in emerging economies.

Political Analytics – I intend to go into politics and political analytics as it affect social sustainability.

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APPENDICES

A. QUANTITATIVE QUESTIONNAIRE FOR IOC LNG JV PROJECT

Community	
Name (First name, Middle name and surname)	
Gender	1. Male 2. Female
Age	
Occupation	
Educational Level	1. None 2. Standard 2-7 3. Secondary I- IV 4. Secondary V- VI University 5. Technical 6. Adult Education

1	Do you know about the IOC LNG JV project?		Yes		No	
2	Will you be impacted by the project?		Yes		No	
3	Do you know about the project impacts and benefits?		Yes		No	
4	Have you been contacted by the IOC LNG JV representatives?		Yes		No	
5	Was the consultation carried out in your community?		Yes		No	
6	Was the consultation carried out in Kiswahili?		Yes		No	
7	Did the facilitation explain in detail the dangers of high pressure gas pipelines?		Yes		No	
8	Were you informed of the requisite buffer zone for the ROW?		Yes		No	
9	Would you consider the consultation adequate for your need?		Yes		No	

10	Was there a direct attempt targeted at your age group on how to manage the impact of the project?		Yes		No	
11	Was an enumeration exercise carried out to understand the level of anticipated impact, prior to the digging of the RoW trenches?		Yes		No	
12	Was compensation paid for the farmlands/ communal assets impacted by the RoW trenches?		Yes		No	
13	Was the process of calculating the compensation disclosed to you?		Yes		No	
14	Were there surveys targeted at vulnerable groups in communities along the ROW?		Yes		No	
15	Was the community engagement direct with the PAPs or through community leaders?	1. Directly	2. Through Community Leaders			
16	Was there any disclosure in terms of financial size of the proposed IOC LNG JV?		Yes		No	
17	How would you describe your experience of this project?	1. Happy	2. Sad	3. Indifferent	4. Cheated	5. Neglected
18	What do you think you need to do to get adequately informed and participate in the project?	1. Engagement	2. Ignore	3. Call MP/GoT rep	4.Protest	
19	Was the project knowledge sharing?		Yes		No	
20	Was the project empowering?		Yes		No	
21	Have you benefited from the project?		Yes		No	
22	How do you think you could benefit from the project?		Yes		No	
23	Do you think the project would benefit Tanzanians?		Yes		No	

24	Do you have knowledge of participation component of Tanzanian Development Policies?		Yes		No	
25	This policy would have influenced your decision on the project?		Yes		No	
26	If participation involves knowledge sharing, taking responsibilities and benefiting from project and empowerment: which will you prioritise?		Yes		No	
27	What is your understanding of community participation in development project?		Yes		No	
28	Do you think you participation can achieve this on the IOC LNG JV project?		Yes		No	
29	Give any example of a project you know that has achieved participation?		Yes		No	

B. QUANTITATIVE QUESTIONNAIRE FOR TASAF PROJECT

Community	
Name (First name, Middle name and surname)	
Gender	1. Male 2. Female
Age	
Occupation	
Educational Level	1. None 2. Standard 2-7 3. Secondary I- IV 4. Secondary V- VI University 5. Technical 6. Adult Education

1	Do you know about the Tanzania Social Action Fund project (TASAF)?		Yes		No	
2	Are you a beneficiary of the project?		Yes		No	
		Strongly agree	Agree	Neither agree or disagree	Disagree	Strongly disagree
3	The project has an impact on me					
4	Knowledge about the project impacts and/or benefits					
5	I have been contacted by representatives from TASAF (CLO, Consultants etc.)					
6	Consultations were carried out in my community					
7	Consultations were carried out in Kiswahili					
8	The consultation was adequate for my need					
9	There was a direct attempt targeted at my age group on how to manage the					

	impacts/attain benefits of the project					
10	I have been adequately empowered to participate in this project					
11	My experience on/ with this project was satisfactory					
12	The consultation was a knowledge-sharing process only					
13	The consultation process was empowering					
14	I have benefitted from the project					
15	The project will /has improve(d) the lives of Tanzanians					
16	Community participation has been achieved on the TASAF project		Yes		No		
17	Do you know about the Tanzania participation policy		Yes		No		
18	This policy is /would have been useful to my understanding of participation.					
19	This policy would have influenced your decision on the project?					
20	How will you define community participation?					
21	What aspect of the project do you think needs improvement?	Please detail below:				

C. **QUESTIONNAIRE FOR FOCUS GROUP DISCUSSION- IOC LNG JV PROJECT**

1. Do you know about the IOC LNG JV Project?
2. How did you know about this project?
3. Do you know about the project impacts and benefits?
4. Have you been contacted by the IOC LNG JV project representatives?
5. Was the consultation carried out in your community?
6. Was the consultation carried out in Kiswahili?
7. Would you consider the consultation adequate for your need?
8. Were you informed of the requisite buffer zone for safety?
9. Was the consultation adequate for your need?
10. As a youth male / youth female / adult male / adult female, was there a direct attempt targeted at your age group on how to manage the impact of the project?
11. Was compensation paid for farmlands/communal assets impacted by the ROW trenches?
12. Was the process of calculating the compensation disclosed to you?
13. Were there surveys targeted at vulnerable groups in communities along the ROW?
14. Was there any disclosure in terms of financial size of the proposed IOC LNG JV Project?
15. How would you describe your experience on this project?
16. Would you describe this project as knowledge sharing?
17. Would you describe this project as empowering?
18. Do you know about the Tanzania participation policy?
19. Would knowledge of the policy influence your understanding of participation?
20. Would the policy have influenced your decision on the project?
21. What is your understanding of community participation?
22. Do you think community participation can be achieved on the IOC LNG JV project?
23. Give any example of a project you know that has achieved community participation?
24. What are some of the challenges faced with participation on this project?
25. What do you think needs to be done to improve participation?

D. QUESTIONNAIRE FOR FGD- TASAF PROJECT

1. Do you know about the TASAF Project?
2. What do you know about the TASAF project?
3. Which projects have been implemented in the community?
4. What was the consultation process for the TASAF project implemented in your community?
5. Were you consulted directly or through community representatives?
6. Was the consultation carried out in Kiswahili?
7. Would you consider the consultation adequate for your need?
8. Was there a direct attempt targeted at your age group on how to manage the impact of the project?
9. How would you describe your experience on this project?
10. What do you think you need to do to get adequately informed and participate in the project?
11. Would you describe this project as knowledge sharing?
12. Would you describe this project as empowering?
13. Do you know about the Tanzania participation policy?
14. Would knowledge of the policy influence your understanding of participation?
15. Would the policy have influenced your decision on the project?
16. What is your understanding of community participation?
17. Do you think community participation has been achieved on the TASAF project?
18. What are some of the challenges faced with participation in the planning and implementation of the TASAF project?
19. How do you think this participation can be enhanced in future projects?

E. QUESTIONNAIRE FOR NGO & CBO

1. How is participation important to project implementation?
2. How has participation been entrenched in your activities in the Lindi region?
3. Who are the people allowed to participate on a project?
4. How do they participate? Directly or through community representatives?
5. Do communities know about project impacts?
6. How did they know about the project impacts?
7. Are communities informed about the project before implementation?
8. Are they involved in project implementation?
9. If yes, how are they involved in project implementation?
10. Are they involved in monitoring and evaluation?
11. What are some of the concerns raise in terms of participation?
12. Are you aware of any Tanzania development policies that facilitates participation?
13. Mention them
14. What are some of the challenges faced in ensuring participation?

[1] CGAP is Consultative Group to Assist the Poor. It is an international development initiative working to ensure that development initiative work for the poor, essentially in emerging economies.

[2] WB ESF is World Bank Environmental and Social Framework. It is a framework instrument designed by the bank to regulate the activities of government and businesses which the bank is lending to or providing guarantee for to other development lender.

[3] Ministerial Departments and Agencies are institutions of the states such as the ministries, the state regulatory and advisory boards and agencies that help articulate the policies of government and implement the government goals.

[4] PAE's: Project Affected Entities are often referred to as Project Affected Persons (PAP). The use of PAP to address those who are being impacted by a project may not be completely correct from a practice perspective because in some cases, they are not humans, they are businesses, cultural sites, religious sites and public spaces. As such, assuming that they are all human, limits the scope of the understanding.

[5] International Best Practices (IBPs) are global practice standards established by international development funding agencies to serve as safeguards for development funding towards ensuring that the funding they provide is not used to cause hardship to the project affected parties. An example of this is the World Bank ESF mentioned above.

[6] Joint Venture is a business arrangement whereby two or more parties pool their resources together to establish a business. The entities involved share ownership, risk and returns.

[7] CIA is Central Intelligence Agency of the United States. Classified in 1966, Released in 2007 and declassified in 2011.

[8] Eastern India Rain fed Farming Project: This project is funded by the government of India and the Government of United Kingdom, through DFiD / UKAid. It is designed to increase food production, create direct jobs and alleviate extreme poverty amongst the people.

[9] IISD- International Institute for Sustainable Development

[10] QGDC means Queensland Government Department of Communities

[11] United States Department of Health and Human Services

[12] DPS4561 Module (Planning a Practitioners' research) was completed as a condition for this research

[13] Culturally the women are responsible for all the home chores, despite contributing actively in the livelihoods process. As such they have much less time to be part of the research process, compared to their male counterparts.

[14] SONGAS project is a gas development and power generation project. The gas is extracted and processed at Songo Island and it is transported to a plant in Dar es Salam to generate electricity. The gas processing plant and pipelines were built and are owned by Songas Ltd, a

local joint venture company between CDC Globeleq and Tanzania government through its agencies.

[15] Refer to Participation and power relations in Chapter two for more details.

[16] See Chapter 2 for further details

[17] National Orientation Agency is the agency of government responsible for creating awareness on government activities and policies.

[18] A practice thought leader is an equivalent of HOD or Project manager, who leads the group of experts in a particular area of specialization.

[19] Review and Acknowledgement of Learning

[20] RAL Claims is the acknowledge of experiential learning as an academic attainment measured in university credit system