

**THE LOCAL AREA PLANNING  
MODEL THAT ENSURES EFFECTIVE  
COMMUNITY PARTICIPATION  
WITHIN THE EZINQOLENI LOCAL  
MUNICIPALITY**

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**THE LOCAL AREA PLANNING MODEL THAT ENSURES  
EFFECTIVE COMMUNITY PARTICIPATION WITHIN  
THE EZINQOLENI LOCAL MUNICIPALITY**

**Submitted in partial fulfillment of the requirements for the Masters of  
Commerce in Strategic Project Leadership and Management**

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**DATE: 30 OCTOBER 2004**

## **DECLARATION**

**I declare, to the best of my knowledge, the following statement to be true and correct.**

**This work has not been previously accepted in substance for any degree.**

**This dissertation is being submitted in partial fulfillment for the degree of Masters in Commerce**

**This dissertation is the result of my own independent work / investigation, except where otherwise stated.**

**Other resources are acknowledged by giving explicit references. A bibliography is appended.**

A handwritten signature in black ink, appearing to read 'Sthabiso H. Chiliza', written over a horizontal line.

**Sthabiso H. Chiliza**

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# **1. INTRODUCTION**

## **1.1 TITLE OF THE STUDY**

The title of the research project is as follows: - The Local Area Planning Model that Ensures Effective Community Participation within the Ezinqoleni Local Municipality.

The focus of the study is on establishing an effective model that ensures community participation. There has been a major concern on the part of the community concerning their involvement in designing their development strategies. The Government, in response to the concerns of the people about the perceived top down approach in providing services or facilities, has introduced a strategy referred to as a 'Local Area Plan'.

The objective for this plan was to ensure effective community involvement in designing the strategy for community development at the ward level, particularly in rural areas. This, according to the government, was going to improve the level of participation. However the government had a concept without a model.

## **1.2 MOTIVATION FOR THE STUDY**

Historically, the communities have been given far less opportunities to design their own strategy. The justification to this practice was that they were not educated or skilled. This was also supported by the administrative system that did not encourage participation. The administrators would then decide for the communities and inform them of the decision. This has resulted to a very poor sense of ownership of the facilities provided and thus lay unused or vandalized. This also led to poor understanding of why the delivery by the government was moving at a "slow" pace.

Since the Local Area Planning concept is the aiding tool for participation, budget motivation and approval, it has attracted the attention of the leaders. Some leaders use it as a tool to interact with the communities; while communities are concerned that other leaders will manipulate the situation for political gains.

The motivation is therefore to assist the communities and ensure that the government has an effective tool / model that could be provided to communities as a guide for an effective local area plan designed by all the stakeholders.

The challenge, in developing this model, will be to ensure that there is a partnership between Leaders of Political parties, Tribal Leaders, Municipality leaders, District Leaders, Regional /National Leaders as well as the community at large. It would also promote Integrated Development Planning.

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

All the local municipalities are established in terms of the Constitution of South Africa with a specific purpose. The promulgation of the Municipalities Systems act No. 37 of 2000 and the introduction of new municipalities have further impetus on the attainment of a developmental local government. All municipalities are now required to prepare development plans.

In response to the request/expectation, all municipalities formulated their Integrated Development plans (IDP) from which all wards would develop their Local Area Plans (LAP) in full consultation with the communities. The idea behind this process was to:

- transform the plans to suit the priorities of communities
- inform the budget of the following financial year
- and hence eliminate the “white elephants”

The only guideline that was provided was the time frames without the model of how to go about this process. This was therefore left to the municipality depending on its initiative to engage consultants to guide them through this process. Some municipalities have come up with what they feel is a well developed LAP plan whilst others are not sure of how to approach the process. However funds are allocated to a project with a motivation of stakeholder support.

The problem is therefore the unavailability of an effective model that will be used as a guideline for the development of fully consulted Local Area Plans. Looking at this in line with the level of literacy of people within the rural areas and the influence of leadership, one does not get convinced of a fully involved process. The challenge is that the Municipality Strategy is informed and dependent on the Local Area Plan for its objectives and funds allocation.

## **SUB-PROBLEMS**

- (i) Lack of knowledge or relevant education : Community people do not have the right education to contribute meaningfully to the process.
- (ii) The influence of politics: Even though development is driven by development committees; political parties still have an influence on development, which sometimes retards the process.

## **1.4 THE PURPOSE OF THE STUDY**

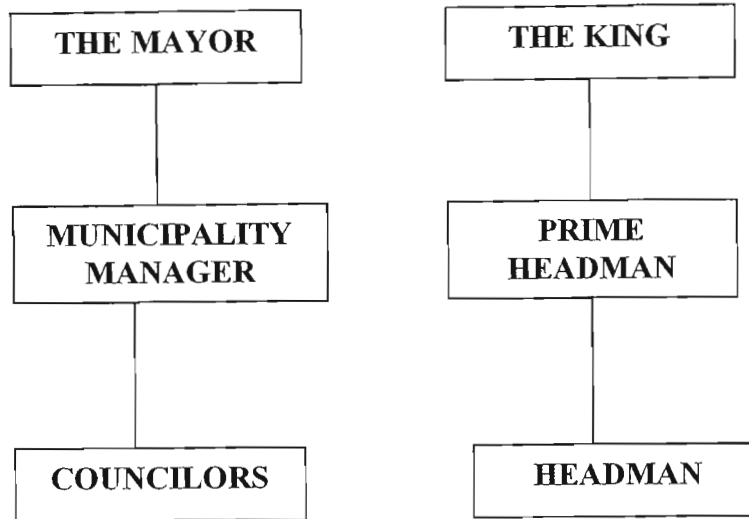
The intention of the study is to analyze the elements that retard or encourage community participation, the influence of leadership within the community as a social system and come up with a model that will enhance meaningful participation and service delivery within the community.

## **1.5 AREA DESCRIPTION**

TARGETED WARD	: WARD 3
WARD NUMBERS	: KZ 214
WARD SIZES	: 82.5 SQUARE KM'S
HOUSEHOLDS	: 1890
LOCAL AUTHORITY	: EZINQOLENI MUNICIPALITY
DISTRICT	: UGU DISTRICT
PROVINCE	: KwaZulu-Natal

## LEADERSHIP STRUCTURE

### LOCAL MUNICIPAL AUTHORITY      TRIBAL AUTHORITY



## 1.6 HYPOTHESIS

There was no effective community participation at the ward level because of the unavailability of a Local Area Planning process model that can be used as a guide for project planning and the design of reliable and fully inclusive local area planning strategies.

### ASSUMPTION

- There was no effective participation within the ward
- The role of leaders was not fully enhancing effective participation
- With the provision of a Local Area Planning model on participation:
  - Community members would feel that they are making a meaningful contribution
  - Leaders would have uniformity in the development of L A Plans
  - Benchmarking for resource allocation will be more realistic
  - Proposed development will be matching community needs as they would have fully participated in the planning process

## **1.7 ACTION STANDARDS**

This information will be used to :

- Guide various wards when developing a Local Area Plan
- As a benchmark when assessing the proposals for funds allocation
- Support other Municipalities when developing their LAP plans
- Provide an assurance that communities have been involved in the process

## **1.8 TIMING**

Since most of the work will be tested on the ground or within the community, we are looking at completing the research in November 2004.

## **1.9 RESEARCH METHODOLOGY AND APPROACH**

This is the system of procedures that the study will use to develop knowledge. This study will use the path of empirical methods, which involves using human senses. It will therefore be based on a qualitative research approach, which is a process of enquiry for understanding a social problem. It is extensively used in observational studies, Bailey (1987:60). The methodology that will be used is a soft systems methodology. Goddard and Melville (2001:9-10) present action research as the best approach in dealing with social problems. They provide the following steps in action research:

- The researcher should gather comprehensive data about both the specific problem (from the company/organization/community) and the general topic (from the literature study).
- The researcher and the stakeholders would agree on some recommendations, and these would be implemented by the company/organization
- After a suitable time-period, the researcher would make pre-agreed measurements to determine the effectiveness of the changes.

Action research becomes the most suitable approach here because the problem identified would require an adopted resolution.

### **1.9 1. DATA COLLECTION**

The study will make use of interviews, observations and group facilitation in meetings as methods of data collection. Some of the information would come from the existing Integrated Development Plan document from the District Municipality.

### **1.9.2 PRESENTATION AND ANALYSIS OF DATA**

The method that will be used in analyzing the data will mostly be qualitative than quantitative. The data analysis will be backed by evidence from the theoretical material. This analysis is not only aimed at giving some insight into this problem but also lead to some resolutions on the identified problem. The presented data would also have to be confirmed by the stakeholders.

### **1.10 RESOURCES NEEDED**

The researcher will be provided with the Integrated Development Plan document from the District Municipality and the Integrated Development Plan document from the Ezingoleni Local Municipality. A motor vehicle suitable for rural traveling would also be needed. Maps of the Wards would assist with boundaries. The list of all the leaders in area and stakeholders would assist the process when it comes to data collection.

### **1.11 DEFINITION OF TERMS**

- **LAP - Local Area Plan** is a bottom up approach to community development. Its emphasis is on community participation in developing strategies to address their community problems e.g. poverty alleviation.
- **EZINQOLENI LOCAL MUNICIPALITY**: It is situated in the South Coast of KwaZulu-Natal as one of the Local Municipalities within the UGU District Municipality according to the Municipalities Act No.37 of 2000.

- **COMMUNITY PARTICIPATION:** Refers to the full involvement of all the community members within the area of concern. It does not refer to the involvement of the leaders on behalf of the community.

## **1.12 LIMITATIONS OF STUDY**

The Local Area Plan process is a new concept to the Government and the communities. It is at this stage piloted with some difficulties in other areas. The study therefore is going to be exploratory in nature.

The Ezingoleni Municipality is one of the top five areas in South Africa where the biggest number of people died during pre-election violence. The Shobashobane Ward being the best example. There is still some tension within the community especially when a stranger moves around the community collecting some information. The plan to counter this is to work closely with the leaders within the community.

## **1.13 CONCLUSION**

The aim of this section was to briefly give an outline of this study on an Effective Local Area Planning Model that Ensures Community Participation within the Ezingoleni Local Municipality. In doing so the section covered the problem identification, study objectives, hypothesis, research methodology and limitations. The next section will look into the theoretical background.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.1 INTRODUCTION**

In South Africa there is relatively little research published on rural community participation on planning for the municipality activities since it is a new concept with the rural community. The amount of information available is that which has been generated by organizations outside of South Africa. It is mainly papers that are available on this concept. In this chapter the writer will deal with the aspect of participation and the influence of the environment in either encouraging or discouraging effective participation. This chapter will also explore how other communities have addressed the issue of participation within their environment.

This chapter therefore attempts to give a background discussion and conceptual view of the phenomenon of community participation. The writer will discuss the nature of community participation, the role of systems through systems theory analysis and the role of the Municipality in the introduction of the Integrated Development Plan.

#### **2.2 THE CONCEPT OF PARTICIPATION**

It is somehow ironic that participation is so prominent in control-oriented planning. It is in essence a covert recognition that some how, “the non-economic” variables (always the most troublesome knob on the development of vending machines) needs to be brought into the equation. Slocum et al (1995:3) say popular participation in development is broadly understood as active involvement of people in making decisions about the implementation of processes, programs and projects that affect them. The meaning attributed to “participation” is manifold but the common thread is that it is essential for the success and sustainability of the project interventions (Slocum at al, 1995:131). Participation as it has existed in practice, has always been less than ideal, and the term has covered a wide variety of activities.

Over decades, participatory methodologies have been carefully employed by others and abused by others. Recently, such diverse actors like prominent private organizations and government organizations have rediscovered participation, either directly or through NGO's like the Independent Development Trust and other bilateral developmental agencies. Slocum et al (1995:3) provide three areas of analyzing participation.

The first view is that, participation can be for purposes of transforming a present system or for simply maintaining the status quo. Much behavior that is past for participation, in some organizations, is in fact intended to maintain the system, giving no more than lip-service to the notion of change. Lack of effective participation is one of the major concerns when it comes to transforming systems.

Secondly, participation in theory and practice can help foster a positive image about the development. This has not been the situation for most organizations or communities. Participation can also be a wolf in a sheep's clothing- this is where it is used as a vehicle for a new form of manipulation or intervention. It might also serve to bring a new level of global culture and the economic restructuring process directly to local communities. Passing potential buffers and pre-empting critical review through national agencies or the communities themselves usually do this.

Thirdly, participation as a process of empowerment can help to amplify traditionally acknowledged voices. It strengthens the confidence of all the members of a group in knowledge and capacity. This type of empowerment implies constant readjustment, ongoing information exchange and conflict management. The intention of empowerment is to move the control of resources and institutions to disadvantaged groups, which have been excluded from such controls.

The control-oriented approach is not administering support tailored to local circumstances but spending money according to the terms of the "performance contract"

or output –oriented programmed budget. Slocum (1995:132) say participation can be involved to the extent that it meets the enclosure set for it.

The attempt to address project shortcomings in the mid-course through participation of people who say that the project is making them worse-off, is very difficult. It usually leaves them with two forms of participation i.e. violent opposition or resigned withdrawal. People judge it better by staying away.

### **2.2.1 PARTICIPATION IN CONTEXT**

Rocheleau (1995:17) say participation, like development, means vastly different things to different people, depending on who defines it and uses it, and to what end, where, when and how. Past experience suggest that participatory development can bring about both negative and positive change. Much on the relations of power embedded in the broader social context as well as in the participatory process itself.

The purpose is to address the issue of poverty, unequal relations of power and environmental degradation. The focus here is on the practice and process of participation in the context of community development. Both Rocheleau and Slocum suggest six sets of questions as a checklist against some of the common pitfalls of participatory development.

### **2.2.2 CORE AND SEGMENTED PARTICIPATION**

Cutchin (1999:270) takes the concept further and defines participation from two angles i.e. core participation and segmented participation. He defines core participation as a psychological, active and moral commitment to society. This comes from the need for intimacy and social relations that is the basis of life experiences and personal identity. Opposed to core participation, is segmented participation. This is the level of social action that maintains psychological and moral distance and distorts commitment. An improved understanding of core participation through events, lives and problems of health care situations or economic developments of the people can be fulfilled by qualitative investigations.

Core participation generates strong social ties, which are at the root of social capital. Social capital as defined by Coleman (1990:20) refers to social resources available for actors in a place. They are not tangible resources and unlike human capital which is individually based. It is based on the relations among people and is based on obligation, expectations and trust.

Core participation, therefore, enriches the imagination to identify the possibilities for action and moral competence within places.

### **2.3 OTHER VIEWS ON PARTICIPATION**

Porter (1991:1) views community participation as the organization of people within a locality to deal with problems and opportunities close at hand that affect their lives and patterns of living. This being the central theme of community development.

Porter continues and says that, since the World War II, there has been an increasing emphasis on community planning to involve the citizen's participation. This kind of planning calls for citizens to engage in setting and implementation of goals that they will themselves carry forward to fruition.

From the above, it is clear that the approach is on orderly manner of proceedings to improve the community through the united effort of people in carrying out their own plans and programs. This is also the central focus of Local Area Plans as proposed by the government. Both Porter (1991) and Slocum (1995) hold the view that says community participation is the deliberate attempt by the community people to work together to guide the future of their communities and the development of a corresponding set of techniques for assisting community people in such a process.

A few important elements or aspects of community participation appear again and again in the literature. These elements provide a general acceptable view about the concept.

**Namely:**

- Community as a unit of action
- Community initiative and leadership as a resource
- Use of both internal and external resource
- Inclusivity
- Organized and comprehensive approach
- Democratic, rational task accomplishment

Hendler (1993:209) confirms that it is recognized internationally that a critical factor for the success of development projects is the participation by the beneficiaries of the proposed development. Hendler in emphasizing the point cites Friedman (1993) saying “In South Africa during the early 1990’s there was a virtual consensus, at least in theory, that development must be negotiated with ‘the community’ and with its ‘real leaders’ rather than with those ‘leaders’ the establishment has chosen” This therefore clearly set effective participation not as an option but a necessity for development.

While the emphasis on participation implies that the priorities and interest of beneficiaries should either guide or strongly influence the outcome, structures through which the voice of the ‘people’ can be heard need to be practically implemented- otherwise participation may indeed involve merely a shift from one group purporting to speak for the people to another (Friedman, 1993:3)

### **2.3.1 BASED ON RDP IMPLEMENTATION IN KWAZULU/NATAL**

In analyzing the situation prior to 1994, the task team preparing for RDP implementation in KZN, amongst other issues came up with four elements that would affect community participation. These elements were fragmentation, inability to consult, reactive planning systems and current conditions on implementation.

#### **2.3.1.1            FRAGMENTATION**

The task team saw the fragmented provincial government administration that had resulted into uncoordinated and sometimes contradictory decision making by various structures as a threat to effective participation. This would in a way affect even the general participation at the grass root level.

#### **2.3.1.2            INABILITY TO CONSULT**

The history that had allowed government structures not to consult the majority of the population in policy-making and service delivery had promoted poor relations. The communities had lost interest on volunteering for participation. This as well was going to be a hurdle in changing their mind set.

#### **2.3.1.3            REACTIVE PLANNING SYSTEMS**

The planning system, which the new government inherited, was inaccessible, not transparent and did not encourage local participation. Thus the planning system was reactive and did not facilitate participation.

#### **2.3.1.4            CONDITIONS INFLUENCING IMPLEMENTATION**

The level of violence in the areas made the penetration and clients or communities to be impossible because of the fear of security. This therefore made participation very difficult and sometimes impossible.

These are the four conditions that were identified ten years ago and although much has been done to address these issues, some are still a reality in some areas.

## **2.4 WHY A PARTICIPATORY PROCESS?**

The importance of defining the ends served and making them explicit in collaborative work should not be underestimated. Facilitators and planners can better serve the interest of communities if they ask, why?

Participation can be a means to a specific end – within local communities there may be many distinct objectives for participation, including hopes of personal profits from the resulting actions, a platform for voicing needs of marginalized groups; a means of capturing resources for the poor from local elites. Facilitators will rarely find all these groups ready and willing to declare their intention or as an end to itself. Development agencies or local participants may also value participation for its own sake. For rural communities this might mean that they allow the outsiders to take part in the local activities.

### **(a) COMMUNITIES AS UNDIFFERENTIATED ‘WHOLES’**

Development practitioners often speak of communities as if they are undifferentiated wholes. They may assume that the project will bring equal benefit to all and have equally shared negative or unintended side effects. This assumption often renders invisible the situation of women whose distinct interest and position in the society have been largely ignored or subsumed under community within even the most participatory initiative.

### **(b) WHERE TO FOCUS PARTICIPATION**

Participation has increasingly been associated with community level meeting in many recent publications and in professional development circles. However participation can take place in national policy discussion and legislative process as well as in small, quiet meetings between family members, neighbors and members of a particular group based on occupation. In fact, close attention to the appropriate scale of the problem definition;

analysis and action can make a major difference in the quality of participation, the rate of participation and the representation of the group participating in the process.

The scale of these participatory efforts can also dramatically influence the outcome, both overall and for particular groups. Regardless of the number and size of stakeholder groups, facilitators will also need to consider the appropriate scale of participants' groups for various activities. Participation extends well beyond group meetings, whether to learn, to plan, to make decisions, or to discuss points of conflict and to search for consensus.

Every activity, in a given geographical and historical context, has a particular set of opportunities and limits with respect to nature, size and number of groups that can readily take part. The appropriate size and nature of participatory group will vary with the outsiders and local residents involved and their respective facilities and preferences.

### **(c) OTHER METHODS OF PARTICIPATION**

#### **RESOURCE MAPPING**

Mapping is just what it sounds like. You ask the community to draw a map. You can have them map anything you need to know about the ward, the wealth, water, electricity and other resource areas. I asked people to map where they obtained these products. But in order to tease out these different spatial perceptions, you must allow women their own arena for mapping. Other women will be less able to make their voices heard in a mixed group. The map provides a useful visual indication of resource cluster.

#### **WEALTH RANKING**

Participatory methods for wealth ranking involving card sorting are pretty standard. These were correlated highly with traditional measures of wealth.

#### **(d) PARTICIPATORY COMMUNICATION**

Participatory communication is defined as a process, which allows people to speak for themselves about themselves and about their issues. The process is an exchange among individuals that values each person's perspective and voice.

### **2.5 THREE NECESSARY CONDITIONS FOR PARTICIPATION**

- Freedom to participation: autonomy
- Ability to participate
- Willingness to participate

Obviously not all people will choose to participate in community action. Many may not even be aware of the opportunity. It is therefore clear that many activities will occur without the entire community participation.

### **2.6 REASONS FOR NOT PARTICIPATING**

- Lack of interest or disagreement because of not identifying with the planned action
- Unwillingness to become involved with those organizing or actively involved
- Others involve themselves initially but withdraw later because of disagreements.

### **2.7 DIMENSION OF PARTICIPATION**

- Pre-requisites for participation
- Types of participation
- Types of participants
- Relationships of participants to locality
- Stages of organizations as they relate to participants

## TWO TYPES OF PARTICIPANTS

- **Direct participation:** where the community is involved directly
  - The problem of communication is greatly reduced
  - Activity is likely to be quicker
  - Interval between decision and activity is brief
- **Indirect participation:** where the community is far large to be dealt with directly.
  - People cannot be involved face to face
  - No clear lines of communication

## SOLUTION

- The identification of sub-groups and their involvement in the community
- These are both formal and informal

## 2.8 FOUR COMPONENTS OF A PARTICIPATIVE ORGANIZATION

The town hall is the very simple method of community participation. This is no longer simple and effective with the changing community and times. Cary (1989:169).

Following are some of the elements that influence participation:

- Base and extent of participation: depending on the problem and the geographical location.
- Locality –interest oriented: today it is more interest than locality that draws people to participation.

- Sponsorship: looks at the financial support and resources that will bring the objectives to reality. This will include the conditions of the sponsor.
- Professional staff: importance of assisting groups to organize and participate. This is the role of consultants.

## **2.9 BLOCKS TO CHANGE THROUGH FEAR AND LACK OF PARTICIPATION**

The blocks to change are the factors, which prevent (intentionally or unintentionally) the lubricants to reach the wheel of learning. An example of a block to change as described by Maxwell (2000:4) is the cycle of fear. Fear causes inaction. Because of the lack of action or participation, a person will lack experience in a particular area. The lack of participation and experience leads the person or community to feel that they have an inability in this regard and fuel the inability to change. Maxwell (2000:38) highlights three elements that influence this lack of participation:

- “They” syndrome: This is when one waits for the “they” or “them” for a solution instead of taking the initiative to solve the problem. For example: members of the community would wait for the political structures to solve problems that affect them.
- Humility: This is probably the opposite of proper selfishness. It is a situation when one forgoes one’s ideas or beliefs because of another’s non-acceptance of them. This can also be explained by the ‘attribution theory’, which explains that this is a way of dodging failure.
- Theft of purpose: A goal provides energy to drive the wheel of learning as in proper selfishness. This situation arises when an individual forces their goals onto others. The other individual or group of individuals do not have their own goals. This in most instances is what describes participation in rural communities.

## **2.10 RELATIONSHIP BETWEEN PARTICIPATION AND SUSTAINABLE DEVELOPMENT**

Saxby and Malan (1993:437) say community participation and acceptance is essential to the sustainability of projects. Usually the term participation and sustainable development are not far apart in the development literature. The concept on sustainable development came from a paradigm that favors growth without the attention to equity and social responsibility. The focus on sustainable development has diverted attention from the gross inequities that exist between and among the people of South and North partly as a result of this paradigm. This paradigm locates the problem of the South as a lack of development. The concept of sustainable development, as it is typically used, does not challenge injustice in politics. It also does not analyze how and why sustainability mean different things to different parts of the world.

## **2.11 RELATIONSHIP WITH EMPOWERMENT**

Empowerment focuses on ways to mobilize local resources, engage diverse social groups in decision-making, identify patterns, which eliminate poverty, and build consensus and accountability. It integrates social analysis and participatory methodologies, identify issues for both the researcher and facilitator for the community, and offer tools that are operational and tested in a rural setting. Community empowerment structures are, significantly strengthened by involving local people in decision-making and with any implementation process. Such involvement encourages community awareness, understanding and commitment.

## **2.12 TRADITIONAL APPROACHES TO PARTICIPATION**

Slocum (1995:9) says there are three approaches to participation: i.e. through people's organizations and co-operatives, through community development structures and through guided participation in large –scale projects.

## **ORGANIZATIONS AND CO-OPERATIVES**

This contains a wide range of people's activities including welfare organizations membership organizations and co-operatives. Relief and welfare organizations arise out of a long history of assistance to victims of war, drought and other disasters. The aim is to supply relief and welfare goods and activities and the only participation required is that of the recipient. Many NGO's fall into this category of participation.

Co-operatives are found throughout the world as a means of pulling together economic resources for their benefit. They vary widely in structure and are normally geared towards profitability of individuals and they widely benefit more prosperous people than large communities. While they are formed with the intention of mobilizing the potential of collective power, they often have strong top-down sponsorship.

### **2.13 DEVELOPMENT**

Development (Oxford Dictionary) refers to growth, maturity or constructing to new use or growing to a different stage of advancement. Development can occur naturally or be externally driven. The most appreciated form of development is the systematic development which is by nature organized and managed.

Akhoff (1974:225) says effective development requires the kind of individual and collective commitment that is usually only brought about by a severe external threat from man or nature.

Leaders of less developed communities must learn how to bring about such a commitment without the help of a threatened or actual catastrophe, or violent revolution. Leadership within development may either be reactive, inactive, reactive or interactive. Of these the interactive is the most difficult because it seeks to overthrow an older and establish a new order.

### **2.13.1 SOCIAL DEVELOPMENT**

According to Midgley (1999:25) social development is a process of planned social change designed to promote the well-being of the population as a whole in conjunction with a dynamic process of economic development. Social development does not deal with individuals either by providing them with some goods and services or by focusing on any individual need. It focuses on the society and wider social processes and structures. It does not seek to cater for needs but also aims to enhance the well-being of the whole population. The distinct feature of social development is its attempt to link social and economic efforts.

Midgley (1999:22) sees social development and economic development processes as two sides of the same coin. This is because social development cannot take place without economic development and both economic and social development are meaningless without community participation.

Ghai (2000:152) identifies four elements that are the ingredients contributing to the positive social development:

- A strong political commitment to development
- A revenue base sufficient to finance the delivery to development
- Political processes promoting democratic participation within the society
- Prioritizing basic education, especially to a primary level that ensures literacy to society

All these serve as a basis for participation especially at the community level. Community development is thus seen as a primary strategy towards social development. Even though community development has not realized its full potential, it has offered an effective means of promoting social development within the context of economic development.

### **2.13.2 COMMUNITY DEVELOPMENT**

This is where local communities are organized to address problems of development with limited capital assistance and outside expertise. Many regard community development as naive, assuming homogeneity among the various local interests, promoting government projects, which have been planned by central bureaucracies, and ignoring the underlying causes of poverty.

### **COMMON ISSUES BETWEEN COMMUNITY DEVELOPMENT AND PARTICIPATION**

Community development is based on the belief that people themselves should determine the nature and pace of their development. The challenge on participation is that most of development programs impose government policies on community.

Community development programs, though aimed at enhancing community participation and foster local decision making, have to a large extent become an arm of the central or provincial government administration

### **2.13.4 THE GENERAL VIEW ABOUT THE COMMUNITY**

The term community refers to people who live in some spatial relationship to one another and who share interests and values. The community may be urban neighborhood, town, city, region, township, rural or any other combination of resources and population that make up a viable unit.

The community may also be any grouping of people with shared interest who live within a delimited area.

## **2.14 HOW LOCAL COMMUNITIES ARE ELIMINATED OR UNDERMINED**

Currently, many participatory methodologies, such as Participatory Rural Appraisal (PRA) or Participation and Learning Methods (PALM) do not address issues of social relations and the exclusion of particular social groups in decision-making. Questions about who participates in community decision-making are just beginning to be asked, hence the question on how communities get eliminated or undermined in the process of participation.

Porter (1991:2) identifies three elements that are used to work against ensuring community participation for sustainable development.

- If the intention is to increase efficiency
- Throwing senior structures as decision makers
- Others vary according to the situation as they may include ethnicity, gender, race and other areas specific issues.

## **2.15 LARGE SCALE PROJECTS**

This tends to include people in the planning and implementation of development projects which are usually externally initiated, funded and ultimately controlled, creating a working relationship between the development authorities and the rural population. While these efforts cover approaches to popular participation, ultimately it is the professional planners who determine levels of people's participation in these arrangements.

Over decades these approaches to development have been the target of serious criticism as their shortcomings have become increasingly evident. Usually such approaches have

been top down and unsustainable. Perhaps the most obvious criticism of the traditional approaches to participation concerns the ease with which they become manipulative or even coercive. At the best, they may help to develop local capacities and lead to local responsibility imperatives.

Rajar (1993:393) says the need for participative planning on any urbanization project for low-cost income sector in the current political climate, is unquestionable. This need raises the question of who to speak to in order to determine the needs of an as yet unidentified community for a project.

## **PEOPLE-CENTRED PERSPECTIVE**

The people-centered perspective casts a broader net. It focuses on issues of power and control. It is concerned with the nature of the society in which programs and projects are developed, rather than the technical and managerial aspect of organizations and participation in them. The people centered approach emphasizes the conscientization of people leading to awareness of causes to poverty and also an ability to come up with solutions within the community. Rocheleau (1995:11)

## **2.16 PARTICIPATION IN THE COMMUNITY DEVELOPMENT PROCESS**

According to Cary (1989:14) there are two major role players of community development within the community, i.e. the citizen and the community developer. To say the people of the community should actively participate in processes is not sufficient. Beyond the important observation, certain groups seldom enter into the process. We need to recognize that most groups participate only in the restricted ways and only for a limited period of time.

This is because the process frequently lasts longer and moves in a restricted way and only for a limited period. Many citizens even those interested have difficulty in maintaining

interest and following the course of events. This process is carried out through one of the three major organizational models:

- Inclusive organization: which provides for direct participation but is restricted to relatively small villages or limited urban neighborhood.
- The representative organization: which if necessary, participates indirectly and therefore suffers from specific problems built into the concept of representation.
- The non-representation of organizations; this is the most commonly employed model. The concept of representation should be limited to the authorized functioning, for others in order that it becomes a major meaningful term in the literature.

Band (1993:40) site the case of Soweto in early 1980's where hundreds of millions of rands were spent on services upgrading projects. From an engineering management point of view, the project was a huge success as it was completed on time, within budget and to the correct quality standards. However from the community's point of view it was a dismal failure in that amongst other things there was little or no transference of skills to the community. This suggested a direct concern on participation. To remedy the situation, it was agreed that communities must be apart of the initial decision making team who will define the project parameters. The setting up of a system and controls between the players to ensure effective participation was a solution to the problem.

### **THREE IMPORTANT NEEDS AND AREAS OF EMPHASIS**

- The indigenous recognition of community development organizations as both legitimate and representative of the community.
- The need to involve marginal groups more fully in such organizations
- The need to develop new collective identity concepts of community and the temporal and continuity aspect into account.

Basic to the community development process is the participation by the people of the community in the process. The emphasis is on common, shared interest and concerns- public issues which grow out of individual interest and concern. Cary (1989:144) says participation is derived from a widely shared discontent with existing conditions that are focused and channeled into organizational planning and activities.

Participation results from sufficient consensus concerning the direction of change. The consensus must be strong enough to initiate a program of action that meets with the approval of the majority of those combined in the action.

The initial reason for joining together is the realization that most actions taken by or on behalf of the group are undertaken through organizations. We therefore look at organizations as the desired vehicle for change to be accomplished.

### **THREE MAJOR VALUE ASSUMPTIONS**

- People of the community should actively participate in the process of community change
- Participation should be as inclusive as possibly can
- Participation should be through democratic organizations

### **2.17 PLANNING**

Planning is in essence, an organized, conscious and continual attempt to select the best available alternative to achieve the specific goal or basically an art of getting future things done. What ever else we might have in mind when we think of planning, we must certainly be thinking about decision – making. The implications is that there is a better way of going about decision making, by allowing it to take into account more data about events or outcomes which are further off into the future.

## **(a) WHY COMMUNITY BASED PLANNING**

Current decentralization processes emphasize the role of different levels of local government. Many countries now have processes of decentralized planning, which usually emphasize district/local government levels. Many countries also now have an explicit objective of poverty eradication and there is an increasing commitment to bottom-up, participatory or community –based planning approach as a way of identifying appropriate poverty reduction interventions.

The planning system is a key system for resource allocation. Unless poor people can influence the resource allocation system, the ability to promote sustainable livelihoods for poor people is limited, as is the degree of local democracy. Recent planning attempts have often focused on ad-hoc, expensive and unreplicable participatory rural appraisals, which may generate a lot of information but are not clearly linked into decentralized planning systems.

## **(b) PRINCIPLES ON WHICH ‘COMMUNITY BASED PLANNING’ IS BASED**

These principle are based on the sustainable livelihood principle suggesting that one key element is ensuring that “people are active and involved in managing their own development’. Community-based planning linked to the local government system provides an opportunity to make this a reality. There are seven basic principles on which community participation should be based according to the Manual on community Based Planning by Carnegie and Khanya (2001: p1)

- People focused
- Participatory and responsive
- Based on strength and not on needs

- Holistic
- Based on partnerships
- Sustainable (economic, social environmental and institutional) development
- Flexible and dynamic

### **2.17.1 THE BENEFITS OF PARTICIPATORY APPROACHES**

- Are quicker than conventional approaches
- Applied in field situations
- Learning directly from people
- Semi-structured-multidisciplinary approach with flexibility and innovation
- Emphasis on understanding processes through involving people, gathering insights on problems and their probable solutions rather than final answers and recommendations.

## **SPATIAL AND VISUAL DATA**

A village resource map can show different natural resources and microenvironments. Social maps depict relations within the village including infrastructure, dwellings heads of household's ownership, etc. Diagrams as participatory method help in building consensus and can form the base for resolving conflict.

## **SETTING THE PLAN**

Participatory methods incorporate a number of exercises that rank possible solutions. The process of open discussion and ranking of these responses elicit both solutions. Community action plans (CAP's) suggest goals, materials needed to meet these goals, and groups in the community to do the work-all initiated by the community, for the community.

## **GENDERED RESOURCE MAPPING**

Helps outsiders and community to understand how women and men see their own resources. It is a specially useful tool to convey issues of gender differences in the land use, responsibilities and labour. The impact of technology on men and women, and the gender distribution of access and control.

## **SOCIAL NETWORK MAPPING**

Donating, loaning and exchange of material, labour and other resources occur in many communities as a result of complex social, economic and cultural ties. Mapping these relations may help the facilitator to understand them and the needs of the community.

## **TIME RELATED DATA**

Time lines are a way to note the important historical markers of a community or household. It is important to consult a wide range of social groups because different groups and individuals often mark time by different events. Time lines are useful as an introduction to a discussion of gender roles and relations.

## **SEASONAL CALENDER**

Helps to identify livelihood tasks and to categorize responsibilities by season, gender, age and intensity of activity. It highlights heavy work periods as well as times of rest. The information is useful for project planning as well as a means to discuss gendered responsibilities.

## **ORAL HISTORIES**

They have been used in research, action and advocacy. They provide a way to understanding the roots and long-term trends of issues that people confront in the present. Through the juxtaposition of many life histories some general trends may be learnt.

## **TRANSECT WALK**

Transect walk portray the interactions between the physical environment and human activities over space and time. They are useful for identifying a community's natural characteristics, both current and historic. Involves walking with villagers through an area and discussing different aspects of land use, agro-ecological zones and histories.

## **FLOW DIAGRAM**

They show the cause-effect relationship amongst different factors and can be effective for understanding the inter-linkages amongst different aspects of rural life.

## **2.18 THE INFLUENCE OF LEADERSHIP ON PARTICIPATION**

Avery (1990:453) explains leadership as a complex process by which a person influences others to accomplish a mission, task, or objective and direct the organization or a particular group in a way that makes it more cohesive and coherent. He further sees it as a process of influence between a leader and his followers to attain group, organizational and societal goals.

According to April (2000:95), leadership emerges from clarity of self: the more the individuals know what is truly important to them – and what the values are to which they are deeply committed-the more clearly they see the path that they need to walk.

Avery (1990:453) emphasizes the element of influence on others to accomplish a mission while April (2000:95) emphasizes the ability to see the path they need to walk. Both miss the key element to participation, which is leadership through empowerment.

Leadership through empowerment, which I feel has a great influence on effective participation, involves putting the group or community in charge of the project. They share power and responsibility within the followers. The challenge with leadership through empowerment is that, without proper management, it tends to ignore the extent to which leadership can be shared and the conditions facilitating the success of shared leadership. This also creates problems for taking accountability.

## **LOCAL INITIATIVES AND LEADERSHIP**

The direction for the process is derived internally and not externally. People from within the community must resume the leadership role. If not ready or prepared to do so, training becomes a necessity e.g. development of a specific project in the community is less important than the development of capacity of people to establish that project. Porter, (1991:3).

Inclusive participation does not mean that all members of the community participate in all community undertakings or even that a large percentage plays a role. Inclusive participation means that all segments or groups within the community are given an opportunity to take part.

Further special efforts may be necessary to assist certain groups to organize as the first step towards active participation.

The organizational structure should be open ended so that if new groups emerge, or are identified, can become part of the ongoing process. This element suggests that such organizations might have a 'some what fluid' membership, based on a particular activity at any given time.

Comprehensive approach is the companion concept to inclusive participation. While rational community decision-making can focus on only a limited number of issues, and concerns faced by a community, those related should come from the broadest spectrum of situations.

A truly comprehensive approach is an ideal that will not be feared in real dynamic community but should serve as a goal for which the community strives.

The broad participation means intensive and extensive involvement throughout the community plus the investment of substantial resources towards the carrying out of specific community decisions.

The process by which these specific community decisions are put into action must be democratic, rational and oriented towards accomplishment of the specific task. No institution or sector is devoted primarily to motivating participation in community efforts. Porter (1991:4) says the only time this is fully practiced is when it is election time or referendum.

## **2.19 THE INFLUENCE OF ETHICS ON PARTICIPATION**

In broad terms, ethics can be described as “the attempt to arrive at an understanding of the nature of human values, of how we ought to live, and of what constitute right conduct” Norman (1986:1)

The key value that describes effective participation is “Participative Co-determination” which emphasizes the development of an environment where all community members are empowered through involvement in decision-making and accountability for decisions that affect them.

This value is almost the cornerstone of effective participation within communities.

## 2.20. THE COMMUNITY AS A SYSTEM

From a formal perspective, a community is a system with a network of specific processes. The community as a system will have boundaries that separate it from other systems as well as from the environment in which it exists.

Every system is composed of other interconnected lower order systems called subsystems and also thus interconnected to higher order systems called supra-systems. A very useful model of the organization as a system has been developed by Kats and Rosenweig 1981, in which they recognize management as a sub-system of three sub-systems:

- Strategic management
- Allocative management
- Operational management

In our context you will have the community as the system, the municipality as the supra-system and the development structures as the sub-system. Looking at these you immediately identify three characteristics that describe the relationship.

NAMELY:

- These systems maintain their coherence through ‘tensions of difference’ meaning that their wholeness emerges as a result of interaction between their parts. The municipalities as a supra-system exist because of the communities as they are set to serve them. Their success is measured on community satisfaction. Any development for the community would be sanctioned by the development structures, being the sub-system for the community. Therefore, although these systems are different, their wholeness emerges as a result of the interaction between them.

- Systems tend to be self-organizing and thus self-referential. They know about themselves just as they know about their environment. Because the existence of the other plays the crucial role for the effectiveness of the other, they understand their environment very well. The community understands the role of the municipality and development structures as they understand themselves.
- Systems are unable to accomplish things which they are not structured to do, systems are said to be 'structure determined. Because of the formal arrangement, boundaries between systems limit them to operate outside of itself. For example, community people might be very much aware of what the municipality is supposed to be doing, but can on their own function as a municipality.

This arrangement of operating as a system has to an extent contributed to some challenges that limit the community from effectively participating in the development of their Local Area Plans.

## **2.21 SYSTEMS THEORY**

The systems theory is received generally as a science of "wholeness" valid for all systems whatever the nature of their components. The living beings are recognized as organized, dynamic objects, capable of growth and to an extent do not conform to physics laws which apply to closed systems. Davies,(1977:91) holds the view that human and social systems are complicated but in no way unpredictable.

The systems theory also emerged out of the felt need to allow for growth and spontaneous development in groups of living objects. This view is basically concerned with problems of relationships and the issue of interdependency rather than the constant attributes of objects. It is not tied down to linear causality but has been able to absorb the concepts of wholeness. The mechanistic principles enable the systems thinking to allow for goal seeking within organizations or social situations.

The systems theory contains lessons applicable to all aspects of “work” but of validity throughout society. Although systems thinking is, according to Davies (1977:90), perhaps over ambitious, the ideas which have emerged from systems literature are valuable particularly in planning for any community intervention.

The main objective for systems theory is to provide a conceptual framework within which the multi-dimensional qualities of social relations can be studied and understood. One of the main attractions of the systems theory is its recognition of the social life and its willingness to incorporate essentially unpredictable social elements.

Ulrich’s (1994:330) view on the social system is that it is constituted by subjects and functional objects and hence rooted on a meaningful experience of the subject. Ulrich elaborates by saying that the organic paradigm claims to overcome the narrowness of the machine paradigm by taking account of the intrinsic capability of complexity absorption, self-regulation and self-organization that is characteristic of biological, ecological and social systems.

The purposeful systems paradigm take into account the conclusive role of human intentions and at the same time offer the planner a conceptual platform for coming to grip with problems of practical reasoning.

There are five questions that aim to support the systems theory in explaining or in recognition of social life and its willingness to incorporate unpredictable social elements. The questions are posed by Ulrich (1994: 377-411) as follows:

➤ What is /ought to be the purpose ?

This question addresses the meaning of participation in terms of the needs of the people, i.e. those that are affected. Sometimes the meaning of participation is given by those that are not affected and that negatively affect the levels of participation from the affected as they feel that every process hence forth is imposed on them.

➤ Who is / ought to be the client ?

This question gives clarity on whose status needs to improve with the proposed participation or give clarity on who should benefit from the intervention.

➤ Who is / ought to be the decision maker ?

This addresses the concern created by the internal structures who by virtue of the exposure to the problem regard themselves as the decision makers even though they may not be affected.

The second part is how the external structures determine the performance of the system, which end up impacting on the decision makers by either influencing the decisions or making the decisions for the affected.

➤ What is /ought to be the environment ?

The environment is classified as everything that co-produces the systems performance but is not controlled by the systems' decision makers. The difference between the decision environment and the problem environment is that decision environment is where the decisions are made and may not be the area where the problem is experienced, whereas the problem environment is where the problem is experienced but may not be the area where decisions are made.

➤ What is/ought to be the guarantor ?

This is where the burden or responsibility for the performance of the system rests. Sometimes communities who are experiencing the problem feel that the participation of the government being the supra-structure is an interference while the government is brought in by the fact that it is the guarantor to the processes.

Abrahamson (1981:47) classified systems of action as organized into two realms, i.e. personality systems and social systems. The Personality system comprises the motivation and goals of individuals. The social systems involve interaction between actors and the situational norm, which regulates that interaction. Thus, the four characteristics of systems of action are further attributed to the personality system (goals and motivation) and the social system (situational norm).

While these systems are differentiated, Abrahamson (1981:48) stresses their overlap or the way in which each aspect influences the other. The third system is the Cultural system, comprised of the values, beliefs and symbols, which pervade the society. These values and symbols are organized and integrated.

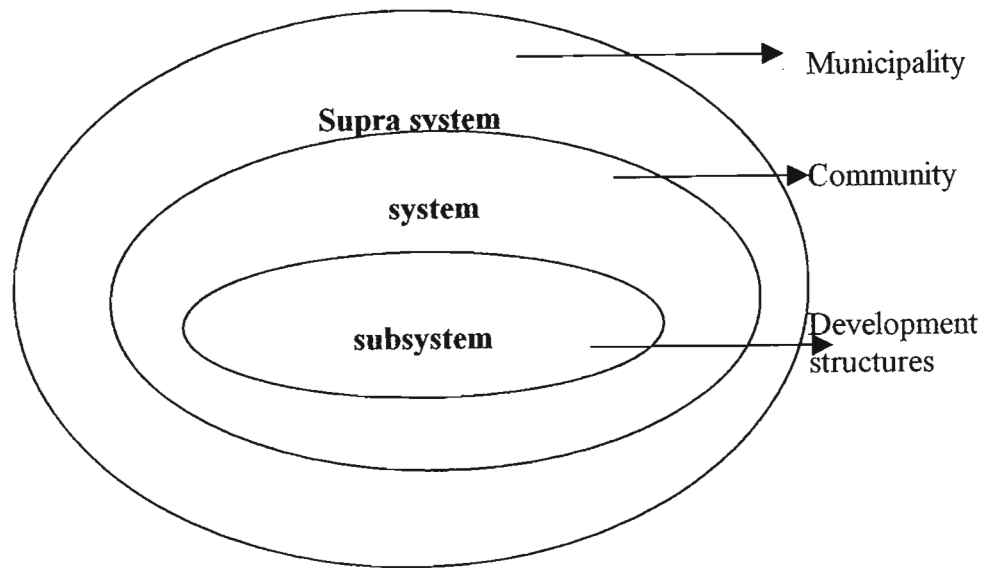
The cultural system upon behavior is indirect, resulting from its important influence upon both the personality and social systems.

The image of the community as a “system” provides a powerful perspective from which to explore these matters of development and participation. Communities can organize themselves in such a way that they become self-managing.

Sherman and Schultz (1998:7) say that for any change process to occur, one has to first open the system and fully understand how the business operates. They further highlight that development propositions emerge out of complex interaction within the subsystem, system and supra system i.e. the municipality, community and development structures or leaders

The community as a system is composed of other interconnected (low order) systems called subsystem and (high order) systems called suprasystems. Hence systems occur within systems, which occur within systems.

DIAGRAM NO. 1



The system has a boundary and an environment that influence its movement.

### **2.21.1 ULRICH'S VIEWS ON THE INFLUENCE AND IMPACT OF BOUNDARIES ON THE SYSTEM**

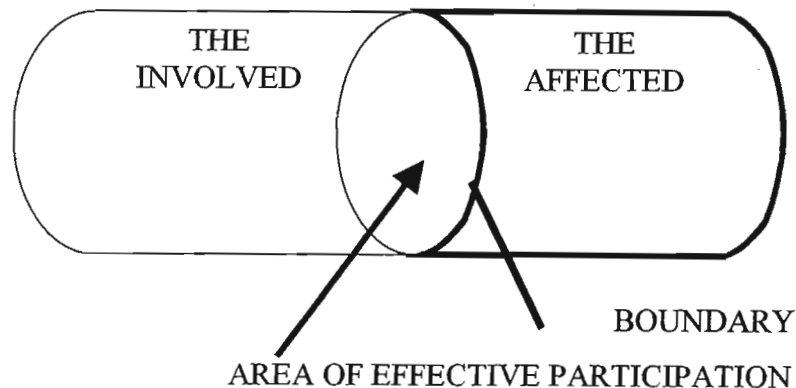
In analyzing the influence of the boundary on the system, Ulrich (1994:244) looked at the social system against the environment and the subsystem and the system with the special focus on the affected versus the involved. All this was analyzed in the context of participation of individuals or communities.

Ulrich (1994:244) defines the “involved” as to have an input in the process of will-formation. This ranges from being given the opportunity to voice one’s concern to an immediate decision competence. The emphasis here is on having a meaningful contribution to the process. Ulrich (1994: 245) defines the “affected” from two perspectives. From what he calls the “loose manner” the affected means as having any kind of interest at stake, such as ones’ professional reputation or impacted by what has

transpired. Formally “affected” means to personally bear at least some of the consequences of the planned outcome.

It is important to highlight that the “affected” are not always the “involved” in dealing with the challenges at stake. The people that are affected and also involved have the influence on the processes as those involved. However those that are affected but not involved do not have the same influence as those that are not affected but involved.

DIAGRAM NO. 2



In this diagram, “the involved” has an advantage of representing themselves as involved and affected. They are able to cross the boundary lines, where else the affected cannot cross the boundary and be involved not unless the opportunity has been provided. Some communities are affected by the unavailability of clean water in the area, but are not involved in the decision-making structures of resource allocations.

The area of effective participation is the most ideal relationship where the affected are also involved in the decision-making processes of solving their social problems. This provides the forum for meaningful participation.

The social system is therefore the total group of those affected and those involved. Within the involved group, there are three categories:

- > Client : the source of motivation. This addresses the basic question on ‘whose purposes are to be served?’.
- > Decision maker : source of control. This addresses the question on ‘ who is the source of control and has an influence on the effective outcome of the planning efforts?’
- > Planner : source of expertise. This addresses the question of ‘who stands for the expect or is involved because of their skills and knowledge?’

Following is the description of the area that was involved and affected in this analysis.

## **2.22 AREA CLARIFICATION**

WARD NAME	: Ezinqoleni –KwaMthimude
WARD NUMBER	: KZ 214- Ward No. 3
WARD SIZE	: 1890 sqm
LOCAL MUNICIPALITY	: Ezinqoleni Local Municipality
DISTRICT	: Ugu District Municipality
PROVINCE	: KwaZulu-Natal

## **THE INTERGRATED DEVELOPMENT PLAN –IDP**

The preparation of the IPD plan for Ezinqoleni Municipality was required in terms of the Municipalities Systems Act 32 of 2000. This new local government set up was

introduced following the local government elections in 1996. It involves the following phases and tasks:

- The first phase involved the preparation of a status quo analysis of the various sectors during which the needs of the community were identified, prioritized and transformed into a set of projects and issues.
- The second phase involved the establishment of the vision for the Municipality and setting goals and objectives to guide development over the next five (5) years.
- Phase three transforms the prioritized projects and issues into business plans for sections.
- The fourth phase integrates the various elements into a co-ordinated IDP plan.
- The fifth phase is the adoption of the integrated plan by the representative forum and council.

The **IDP GUIDELINES** document prepared by the Department of Provincial and Local Government Affairs provides the participants with an approach and methodology to be used in the preparation of the IDP.

- The District Municipality
- The PIMMS Center
- The Local Municipality
- Steering Committee
- Representative forum
- Consultant
- The Council

In addition there is the responsibility of the Provincial Department of Traditional and Local Government Affairs who have a facilitating, monitoring and review role as they oversee the IDP process in the Province as a whole.

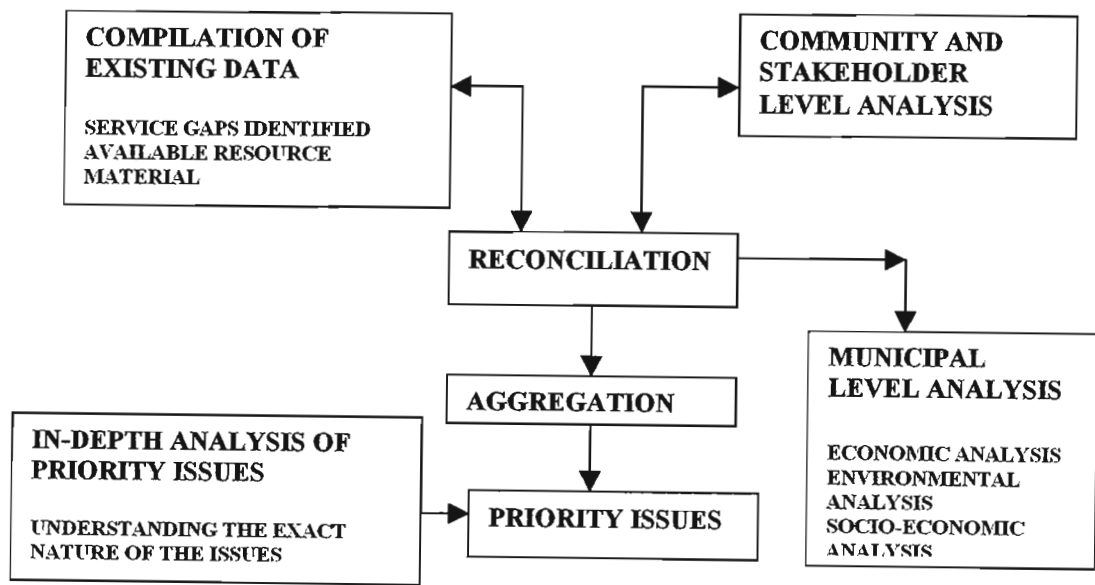
**IDP PROCESS IN PHASE 1**

As part of the municipality process, an Interim Integrated development Plan was formulated for the Municipality. The preparation of this interim IDP was completed before the end of March 2001 along with the IDP for the Ezinqoleni Municipality. This is part of the source of the problem as the Ezinqoleni IDP plan can only be developed once the Ugu one was finalized, but both were completed simultaneously, which puts a challenge on the effective participation process.

The diagram in Figure 1 provides a conceptual view of the processes followed in the preparation Phase 1 of the IDP for UGU District Municipality (UDM).

The diagram clearly indicates how the two elements are brought together, viz the compilation of existing data and the community and stakeholder level analysis.

**FIGURE 1: IDP PROCESS IN PHASE 1**



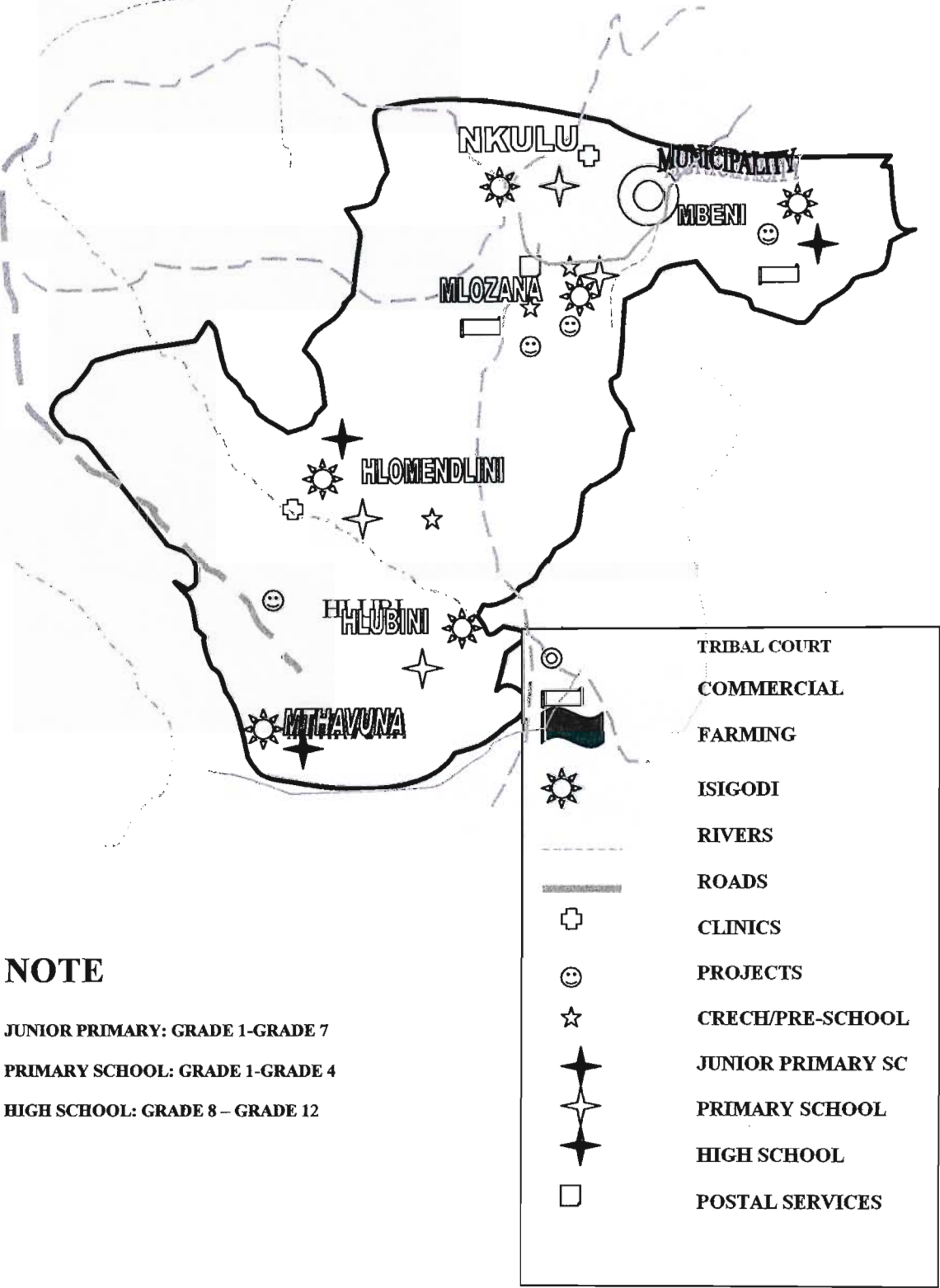
**THIS PREPARES THE WAY FOR THE ENGAGEMENT OF THE COMMUNITY ON A PARTICIPATORY PROCESS.**

## **IDENTIFICATION OF KEY ISSUES**

- The socio-economic cluster includes the range of issues reflecting the poor socio-economic status among the majority of the population at The Local Municipality.
- Limited Local Economic Development is characterized by a depressed local economy – income levels and job opportunities.
- Infrastructure includes issues related to poor accessibility by the majority of the population. In this case we are referring to the infrastructure necessary to meet the basic needs of the community and not the one responsible for encouraging investments.
- The institutional cluster includes issues relating to the current lack of capacity in the newly established IDP to “turn around” the local economy as a basis for addressing the problem of poverty.
- The majority of the population at this municipality is under-developed in most social and economic spheres.

# WARD THREE MAP

REFLECTING THE GEOGRAPHICAL LOCATION OF IZIGODI AND  
FACILITIES AVAILABLE



## **POPULATION DISTRIBUTION (2001: statssa1996, DIB 2001, COPY- P.7 IDP DOC.)**

There is a concern about the accuracy of the figures however these are the only available official figures and in some areas there are no figures.

<b>IZIGODI</b>	<b>POPULATION ESTIMATE</b>
Mlozana	3 000
Ndunu	2 500
Hlomendlini	2 450
Hlubini	0 900
Mthavuna	1 000
Mbeni	5 200
<b>TOTAL</b>	<b>15 060</b>

## **TOTAL POPULATION**

The total number of people within this ward is 15 060 to a total of 57 000 within the entire municipality.

## **LAND OWNERSHIP**

The land ownership is divided into three categories. The first is the government land, Private land and for Amakhosi. This ward is made up of two tribal authorities – i.e. KwaMthimude under Inkosi Ubaba uMavundla and KwaVukuzithathe under Inkosi Ubaba uCele. About 96% of Izigodi within this ward are under KwaMthimude.

## **FAMILIES WELL BEING**

The unemployment rate is estimated above 57% and with about 82% of the people living below the Poverty Determine Line. This is according to the statistics from the municipality office and STATSSA, 1996, DIB 2001.

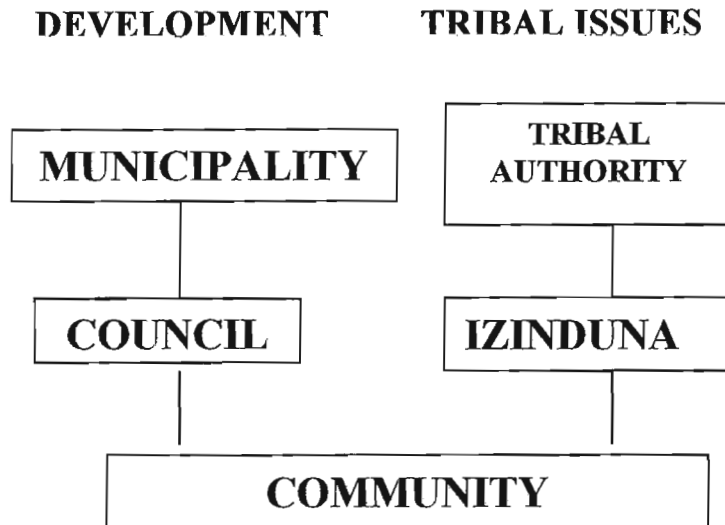
## **ECONOMY**

There is very little economic development within the ward. The reliable source of employment is the Municipality office, clinic, Tribal Court, Water Office, Sugar cane Farms, Schools and local shopping Center. The other identified community projects have not yet fully taken off. Some employment comes from local shops. The majority of the employed community within this ward is working outside the ward and even outside the municipality boundary.

## **HEALTH SITUATION**

It is important to note that the majority of the people within this ward have no access to clean water. The conditions of the toilets do not guarantee a healthy situation. There is currently no proper system for waste management or control. The lack of electricity in more than 80% of the homes contributes negatively to the health situation.

## **ORGANOGRAM**



## **FACILITIES AVAILABLE**

### **AREAS AND THEIR CODES**

**A – MLOZANA**

**B – INDUNU**

**C – HLOMENDLINI**

**D – HLUBINI**

**E – MBENI**

**F - NKULU**

<b>FACILITY</b>	<b>AREA AND FACILITY AVAILABILITY</b>					
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<b>FACILITY</b>	<b>A</b>	<b>B</b>	<b>C</b>	<b>D</b>	<b>E</b>	<b>F</b>
<b>ROAD NETWORK</b>	Y	Y	Y	Y	Y	Y
<b>ELECTRICITY</b>	N	N	Y	N	N	N
<b>CLEAN WATER</b>	N	N	N	N	N	N
<b>TELECOMMUNICATION</b>	Y	N	Y	N	Y	Y
<b>EDUCATIONAL INST.</b>	Y	Y	Y	Y	Y	Y
CRECH/PRE-SCHOOL	Y	N	N	N	N	N
JUNIOR PRIMARY	N	N	N	N	N	N
PRIMARY SCHOOL	Y	Y	Y	Y	Y	Y
HIGH SCHOOL	N	Y	Y	N	Y	Y
<b>CLINIC / MOBILE</b>	N	N	Y	N	N	Y
<b>PROJECTS</b>						
CHICKENS	Y	N	Y	N	N	N
SHOPPING MALL	N	Y	N	N	N	N
HOME FOR ELDERLY	Y	N	N	N	N	N
COMMUNITY HALL	N	N	N	N	N	Y
STADIUM	N	N	N	N	N	N
<b>SHOPS</b>	Y	Y	Y	Y	Y	Y
<b>POSTAL SRVICE</b>	Y	N	N	N	N	N
<b>SUGARCANE FARM</b>	N	Y	N	N	N	N

## 2.23 CONCLUSION

The foregoing exposition of the concept of community participation, systems theory and influence and the role and purpose of the Municipalities has indicated some areas that

need to be taken into account by the investigator as far as community participation and the identification of an effective model that will ensure effective community participation. Information in this regard will help us establish the value attached by the community to participation in relationship to service delivery within their community. This information then, leads us to the research design.

## **CHAPTER THREE**

### **3. RESEARCH METHODOLOGY**

The previous chapter has given a background discussion and a conceptual view of the phenomenon of community participation. In this chapter the writer will show the methodology employed to gather information to prove or disprove the hypothesis in the first chapter. The writer will also discuss the research instrument used, explain how the representative group of people or the sample will be chosen and finally how data will be analyzed.

#### **3.1 METHODOLOGY APPLIED**

Popenoe (1989:26) defines methodology as the system of procedures that help the researcher develop knowledge. Methodology demonstrates the ways in which the methods and approaches offered by the discipline of social research can be applied to this field of study. It is with a view to this definition that the investigator, in conducting this study, followed certain procedures in order to generate knowledge. Doby (1967:11) confirms by saying that methodology is normative in the sense that it simply specifies the procedure, which a body of scientists have more or less used to justify the conclusions reached. The research procedure used in this study is mostly determined by the nature of the study. Thus this research followed the path of the empirical method, which involves using human senses, such as sight and hearing, to observe the responses of people. The empirical method is very public and an open path of knowledge.

This study is according to the investigator, explanatory in nature. It is also known as an analistic study. The SCQAR Analysis that identifies the situation, the concern, the question and the answer will be used as a guide in analyzing the situation and when designing the questionnaires. Explanatory studies attempt to explain why certain situations or phenomenon exist. The approach usually involves the examination of one or

more variables in order to test a hypothesis or assess the influence of various factors. This explanatory study is used to explain community participation and the availability of the effective model to ensure effective community participation.

### **3.1.1 THEORY IN RESEARCH**

The use of theory in research cannot be divorced or used separately from the research process. There is a constant interplay of theory throughout the research process, from the initial selection of the research problem, the method of investigation, data collection, data analysis and evaluation. The initial use of theory is to provide a focus for any study and provide ideas for investigations. Theory also provides alternative perspectives for field research and assists researchers to formulate and reformulate problems posed during research. For example, in the hypothetic-deductive method, progress is made by empirically testing deductions from a universal statement and results obtained are used to verify or falsify the original theory. Theory is therefore indispensable in the entire research process.

## **3.2 RESEARCH INSTRUMENTS**

Stacey (1989:80) says that it is necessary to consider what kind of questions to ask and how to go about asking them. People may be asked questions by telephone or using face-to-face interview. An interview question consisting of close ended and open-ended questions is used as a guide in obtaining the necessary information in this study.

The questions that will be asked are under three categories; namely: personal particulars, existing structures of community participation and the ideal structures of participation. Some of these questions are overlapping so that the interview can be in a position to see where the respondents differ and agree in opinions.

The investigator will use the close-ended questions as to make it easier for the respondents to answer and be motivated.

Group administered questionnaires where questions are given either written or verbally / face-to-face to groups of respondents assembled together. The investigator plans for the investigation guided by the size of the group and the literacy level.

### **3.3 THE CHOICE OF THE SUBJECT**

The pre-requisite for this study is that all subjects should be community members of Ezingoleni Municipality residing within Ward 3. The subjects will be adults, youth, stakeholders and leaders of the community.

### **THE SAMPLE**

Sampling is traditionally associated with survey research, yet it is an essential element of all social investigations. It is the means by which the selection is made from the basic unit of study, which is the universe. The aim of sampling in social science research is to produce representative selections of population elements. (Mouton,1996:132) The interviewer decides to sample because it is difficult and impossible to interview and engage everyone within a short space of time. Strydom and deVos (1998:191) cite the definition of a sample given by Arkava and Lane as the elements of the population considered for actual inclusion in the study. It can be viewed as a subset of measurements drawn from a population in which we are interested. We study the sample in an effort to understand the population from which it was drawn.

According to Strydom and de Vos (1998:191) a sample is a small portion of the total set of objects, events or persons, which together comprise the subject of our study. The reason for sampling is feasibility. Often it is impossible to identify all members of a population of interest. The study of a phenomenon in its entirety would produce a massive amount of data, which by implication would be difficult to process, analyze and

interpret. In this case the population is too large and there is not enough time or sufficient resources to do the entire population.

## **THE SAMPLING TECHNIQUE TO BE USED**

### **FROM A THEORETICAL POINT**

The interviewer saw the stratified random sampling technique as the best sampling technique that can be able to select the representative group of people. The stratified random sampling technique divides the subjects into strata and then sample using random sampling technique. The investigation will be applied across social classes. They are divided into three categories. Random sampling will then be applied. The sample will consist of 150 respondents. The sample was composed of the following respondents as categorized:-

- 50 > ordinary youth
- 70.>ordinary adults
- 30 >community leaders both youth and adults (other stakeholders)

After identifying these categories, the simple random sampling technique was used. In this technique, each person in the population has the same chance of being selected. Simon (1979:12) also confirms that in random sampling each individual within the target population has an equal chance to be selected for the sample. According to Bailey (1982:93) random sampling has the advantage of canceling out biases and providing a statistical means for estimating sampling errors.

All the interviews were done face to face. This instrument was chosen because it is plurable; it allows the interviewer to probe into specific answers. It also provides high response rate.

## **FROM A PRACTICAL POINT**

The sampling methods that I will use have been determined by the needs of the study. My research project will deal with the issue of community participation and coming up with an effective tool of participation. The study will use the population of Ezinqoleni, which is divided, into five wards. The focus will be on ward 5 across the nodes.

Being a tribal area, the main language that is spoken is isiZulu. Because the researcher fully and clearly understands isiZulu, there will not be a need for an interpreter. It will not assist the process to just hand over the questionnaires because of the illiteracy level within that rural area. Interviews, therefore, will be conducted face to face to enable the researcher to give clarity where necessary.

Greater use will be made of qualitative rather quantitative techniques. Data will be collected from the field using mainly the participatory rural appraisal approach (PRA).

The following techniques will be used:

- Direct observation
- Household interviews using semi-structured interviews
- Semi-structured interviews with key informants
- Focal group interviews
- Social network mapping

The main reason for using the PRA methods include:

- To accommodate the respondents' literacy levels.
- To encourage group response.
- To have an opportunity for visual sharing of knowledge
- To empower rather than to dominate respondents

## **STRATIFIED SAMPLING**

The views and needs and aspirations of different groups of people will differ. For Example, young people may consider a community hall more greater than an old age home. The study will attempt to gather the views of different groups.

## **TARGET SAMPLING**

The researcher will target some heads of institutions as the providers of funds. To gather information about the electricity supply plans from the head of Eskom.

## **SNOWBAL SAMPLING**

It is envisaged to interview some prominent persons in community as key informants to gather information. Once the researcher has identified one or two such persons and interviewed them they will be requested to suggest the names of other people who have wealth of knowledge and would thus be a source of information.

### **3.4 PRESENTATION AND ANALYSES OF DATA**

After the response, answers will be noted down and then interpreted and analyzed. The answers from the interview will be treated together so as to compare their opinions and see where they share the same viewpoint or where they disagree. In some other answers, tables will be presented to show percentages and to compare.

## **QUANTITATIVE AND QUALITATIVE METHODS**

Commentators view the debate between quantitative and qualitative technique not only as a disagreement over advantages and disadvantages but also as a clash between methodological paradigms. Each method, according to this viewpoint, is associated with a separate and unique paradigm, which is in conflict. The quantitative paradigm has a positivistic hypothetico-deductive, objective, outcome orientated and rational world-view, while the qualitative paradigm has an inductive, holistic, subjective and process orientated world-view.

Because these two paradigms were assumed to be rigid and fixed, the conclusion was that they could not be used together and researchers had a choice of one or the other. It is clear that a quantitative understanding presupposes qualitative knowledge and when used together, each method will provide an in depth perception that neither would be able to provide by itself.

Qualitative methods have become very important to social research. There is increased use of the support for population-based framework in empirical research to understand the broad determinants e.g. community participation and the well-being. The importance of behavioral, biological and environmental factors is stressed. This approach is able to provide answers to questions about people's experiences in a place that cannot be obtained or addressed through quantitative approaches. It is therefore important to understand some of the principles of the quantitative approach.

### **3.5 CONCLUSION**

The investigator, in conducting this study, has shown the method that he followed on choosing the sample, and outlined the instrument used in this study. All this will allow the investigator to gather data that will be analyzed in the next chapter.

## **CHAPTER FOUR**

### **4. PRESENTATION, ANALYSIS AND INTERPRETATION OF DATA**

#### **4.1 INTRODUCTION**

In the previous chapter the investigator has shown the methodology employed to gather data by discussing the research instruments used; how the sample was chosen and finally how data will be analyzed. In this chapter the investigator will analyze data using the guide specified in the previous chapter. This data was obtained from the sample representing the Ward 3 community of Ezinqoleni. This data is intended to suggest the model for effective community participation within projects or any community activity.

Answers from various groups i.e. leaders, community members and various stakeholders will be presented and analyzed together so as to compare their views and see where they disagree or share the same view point.

#### **4.2 INTERVIEWING SCHEDULE**

The investigator aimed at establishing whether different role players in the community hold different or similar views about participation. The first category of information gives us the personal particulars of respondents.

**4.3 VARIOUS VARIABLES TESTED**

**4.3.A.1 SEX**

MALE		FEMALE		TOTAL	
NO.	%	NO.	%	NO.	%
70	47	80	53	150	100

Out of 150 respondents, 53% were females and 47% were males. The bigger number of females interviewed reflects the demographics of the area and the fact that most of males are at work in rural areas during the day.

This would then allow us to generalize from the data received. It must be noted that the interviewee randomly selected the respondents; even though the Headman as per the arrangement accompanied the interviewee with the leaders of the community.

There was, according to the interviewer’s opinion, no direct influence from the headman, even though his presence could have had an indirect influence on people’s responses.

**4.3.A.2 AGE CATEGORIES**

14 - 17 YRS		18 - 21 YRS		21 - 25 YRS		45 & ABOVE		TOTAL	
NO.	%	NO.	%	NO.	%	NO.	%	NO.	%
30	20	39	25	58	30	23	15	150	100

The age of respondents ranged from fourteen (14) years to fifty eight (58) years. Respondents who were between the ages of 40 years and 55 years were more positive about the level of participation, while those of ages between 14 and 25 years were not positive about the level of participation as per their expectation. The theory suggests that people form expectations as they experience the service delivery or as their level of awareness about certain aspects increases. It continues and suggests that if participation is over claimed, it is likely to create satisfaction. In this case people between the ages of 40 years and above were positive about participation, where else the younger generation felt that effective participation was a problem throughout the ages. This could be influenced by the fact that the majority of leaders in the community were above the age of 40 years, yet the majority of the population is below the age of 40 years.

#### 4.3.A.3 ROLES WITHIN THE COMMUNITY

LEADERS		STAKEHOLDERS		COMMUNITY MEMBER	
NO.	%	NO.	%	NO.	%
25	16	10	7	115	77

The majority of the respondents (77%) were community members who were not leaders or providers of any service to the community. This was done deliberately so that the investigator can get the views of people with no particular authority to influence their level of participation. The 16% of leaders came from the Headmen of the area, the councilors and other leaders of certain community projects i.e. poultry farming. The stakeholders' 7% came from some suppliers of services in the area e.g. teachers, police and sponsors of certain projects. Within the leaders, those from the municipality felt very positive about participation, where else those from the tribal leadership structure had

some reservations about participation in areas of development. This could be because the leaders from the municipality were the facilitators of most development projects.

#### **4.3.A.4 WARD**

All the respondents were from the same ward, i.e. ward 3 except some suppliers who were not from the same ward but were fully involved with the developments from the ward. This arrangement was in line with the plans of the study.

### **4.3.B THE PHENOMENON OF COMMUNITY PARTICIPATION**

#### **4.3.B.1 VIEWS ABOUT COMMUNITY PARTICIPATION**

The intention of the investigator with this question was to allow the respondents to respond openly about their feelings about participation without being channeled to a specific area. The majority of respondents (45%), felt that there was participation but not to the level where it could influence the direction of the community. They explained it as more like the awareness of what is taking place but without the meaningful opportunity to influence the direction. About 30% of the respondents felt that they had meaningful contribution within the community and were given opportunities to participate effectively. They emphasized the fact that an individual's ability to avail himself/herself was the key to participation.

About 25% of the respondents came out very clear that they were not happy about participation within the community. They felt that the community was not given the opportunity to meaningfully participate in activities that determine their future. It is important to note that participation is linked to awareness. Smolensky (1977:95) says that in order to provide people in the community with such experiences or participation, it is necessary to make them aware of the opportunities and have them mobilizing themselves towards those opportunities for participation. So, the Ward 3's 25% that is

unhappy with the level of participation, can be seen in line with Smolensky’s idea of participation and awareness.

**4.3.B.2 ORGANISERS FOR DEVELOPMENT ACTIVITIES**

In response to, who normally organizes activities for development, the majority of respondents (60%) felt that the municipality officials were the organizers. They further suggested in their response that the community is supposed to wait for the invitation from the municipality before participating. Further comments like “ They are paid to do that” suggested feeling that the community is not supposed to participate fully as they are not paid like the municipality officials.

The minority of respondents (38%) felt that it was the community working together or through the municipality officials and leadership. This view reflected a healthy understanding of participation. About 2% had different views like the political leaders, sponsors and specific individuals from the municipality. This was not seen as of major significance to the study as these individuals formed part of the structure of either leadership or municipality officials, which is covered by the 38% above.

The intention for this question was to see if the majority of the respondents see themselves as part or necessary part of development. The response indicates that they do not for reasons covered in response 4.3.B.4.

**4.3.B.3 EFFECTIVE PARTICIPATION WITHIN THEIR AREA**

YES	NO
38	62

The majority (62%) felt that the people were not participating effectively within the area and 38% felt that there was effective participation. The investigator was aware that community members interpreted effective participation differently, but asked this question so as to get their perception on this. The next question giving the reason for their response was going to assist in analyzing their perception.

#### **4.3.B.4 REASON FOR THE RESPONSE**

The responses were categorized into two i.e. those who felt that it was effective and those that felt that it was not effective.

#### **REASONS FOR FEELING THAT PARTICIPATION IS EFFECTIVE**

- We are consulted for any activity that takes place
- We as the community form part of the organizing structure
- We are invited in all the meetings on development or proposed plans in the community
- We elected the people who are facilitators, so they make decisions as per our mandate

#### **REASONS FOR FEELING THAT PARTICIPATION IS NOT EFFECTIVE**

- We are not involved in all these processes
- We are only involved at implementation and not planning
- Leaders impose these plans on us
- We are not knowledgeable enough to fully participate
- The municipality does all the plans

These responses were influenced by expectations and experiences from the current system in the community. The majority of those who felt that participation was effective raised the issue that they were consulted on most activities within the community. The majority of those that felt that participation was not effective emphasized the fact that they were not involved in most processes and that leaders were imposing their plans on them.

#### **4.3.B.5 THE LEVEL REGARDED AS POOR PARTICIPATION**

This question was aimed at eliciting areas or experiences from the community that they regard as a reflection of poor participation. This will assist the investigator when coming up with an effective model for participation. Looking at their concerns, it is evident that the problem starts from the initial stages of awareness through planning till implementation where their involvement is not meaningful. The level of education is an issue, however involvement can be tailor-made to suite their level of education. Following are some of the responses that were common:

- When I am only involved at the implementation stage
- When I am not told about developments and just see things happening without my involvement
- When we agree with the leaders on something and they implement something else like the pre-school which has been turned into a community hall without our blessing
- When key issues like supply and installation of electricity is ignored and we are given other things like sports fields that are important but not a priority.
- When we are not asked about what we need but get reports from consultants who claim that they spoke to us.
- When we are not given a feedback on the performance of the ward, be it financially or other challenges facing the facilitators or organizers.

#### **4.3.B.6 REFLECTION OF AN EFFECTIVE PARTICIPATION**

This question was aimed at eliciting from the community areas or experiences that they regard as good practices for effective participation. This was going to help the investigator to understand their reasoning behind their perceptions about effective participation. This was also going to assist with the development of an effective participation model within this community.

- Involvement from the conceptual stage
- Having authority on the process as equal partners like all the participants and the affected
- Training on all the processes so that one can contribute meaningfully
- Structured meetings for feedback and comments
- Structures at various levels of the community for contribution and participation
- Leaders understanding that the youth can make a meaningful contribution
- Suppliers of critical services like water and electricity availing themselves to the community for clarifying certain issues.

#### **4.3.B.7 ISSUES THAT BLOCK EFFECTIVE PARTICIPATION**

The intention for this question was to elicit the issues that according to the community block participation. This will assist in closing the gaps when suggesting an effective model for participation. It also measures the intensity of their frustration with the system in terms of participation. The lack of relevant knowledge or education was by far the most appearing on all responses. This therefore suggests either the level of education in the community or the lack of a transparent model for community participation. The second most appearing comment was that of

intimidation to ask. The respondents felt that this was linked to political correctness of one's question. Following are some of the popular comments:

- Intimidation to question certain activities within the community
- Lack of relevant knowledge or education on the matter of discussion
- Lack of awareness about activities within the community
- Leaders who do not believe that community members can have a meaningful contribution
- Community members not availing themselves for community activities
- Disregard of the youth by elderly people and also disrespect of elderly people by the youth.

#### **4.3.B.8 ISSUES ENHANCING EFFECTIVE PARTICIPATION**

The intention for this question was to elicit the issues that, according to the community, enhance effective participation. It will also assist in suggesting the areas of focus when coming with a model for effective participation. The provision of skills and the leadership that works in partnership with the people, came up as the most recommended strategy by the majority (70%), for effective participation. Following are some of the popular comments:

- Providing the skills to the community to make a meaningful contribution
- Fully recognized and empowered committees within the community
- Leaders working with the people in decision making
- Effective consultative structures e.g. community forums
- Transparency on the side of leaders and the municipality officials
- Availability of community members for participation

#### **4.3.B.9 LEADERSHIP CONTRIBUTION IN PARTICIPATION**

This question was aimed at establishing whether the community saw the leaders as having any role in either blocking or enhancing effective participation. This information was going to assist in determining the role of leaders in the model that will be suggested for effective participation. Following are some of the popular comments:

##### **POSITIVE CONTRIBUTIONS**

- Availing opportunities for the community to participate
- Facilitating skills development opportunities that promotes meaningful contributions
- Creating consultative structures for feedback and comments
- Fight for the recognition of the community by the government structures
- Protect the community from political influences

Facilitating skills development opportunities and fighting for community recognition were the popular ones as they appeared in more than 55% percent of the respondents. The strong feeling about community support or protection had an influence from the feeling that the hidden issue of political affiliations influenced the community treatment by either the Local government or National government.

##### **NEGATIVE CONTRIBUTIONS**

- Deciding for the community without getting their views
- Autocratic leadership style by the leaders
- Leaders acting outside of the mandate by the community
- Leaders that are not well schooled on community issues

- Leaders with no proper systems or procedures of doing things
- Leaders that do not base their decisions on factual issues

The majority of respondents raised the issue of leaders deciding without getting the community involved as the major influence of leadership on community participation.

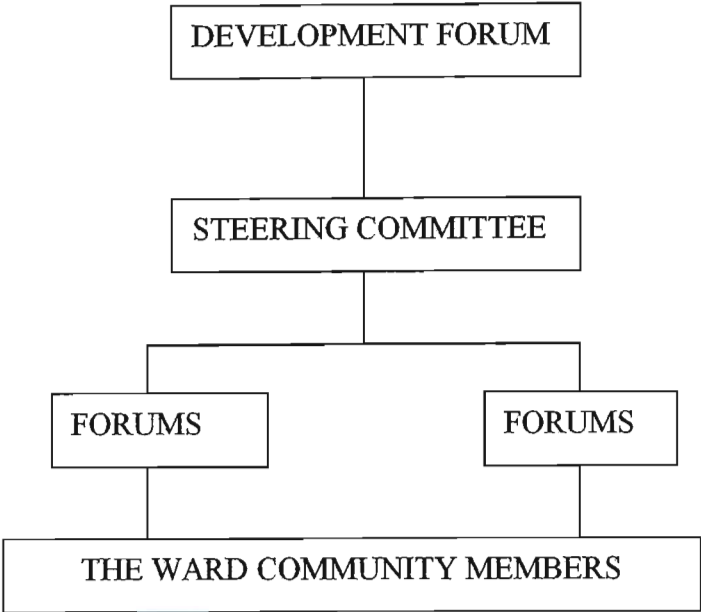
#### **4.3.B.10 THE STRUCTURE THAT WOULD ENCOURAGE EFFECTIVE PARTICIPATION**

The majority of respondents (82%) felt that the development forum or committee should oversee all development activities within the community. The reason for the strong feeling about the development forum was that it was made up of the municipality, external stakeholders and various representatives from the community. It was well represented by all sectors, hence the feeling that it should stay as the overseer of the process.

Because of the magnitude of activities and projects, 52% of the respondents felt the need for a steering committee to support the development forum in coordinating the activities of various forums and protect the community or forums from the supra-system that might be imposing on the forums being the system. The community having an open channel to all the forums with the steering committee supporting will ensure effective participation of all community members.

This proposed structural arrangement by the community made a big contribution to the development of an effective community participation model.

## AN EFFECTIVE STRUCTURE



### 4.4 CONCLUSION

In this chapter, the investigator has presented the data collected in chapter three and analyzed it against the intentions of the study. This data collected suggested a high level of community willingness to make a meaningful contribution and the lack of an effective model for community participation. The summary on findings against the theoretical background in chapter two, conclusion, recommendation and a proposed model will be presented in details in the next chapter.

## **CHAPTER FIVE**

### **5. SUMMARIES, CONCLUSION, RECOMMENDATION AND A PROPOSED MODEL**

#### **5.1 INTRODUCTION**

This is the final chapter of this study on The Local Area Planning Model that Ensures Effective Community Participation within the Ezingoleni Local Municipality. The format adopted is to give an overall summary, conclusion, recommendation and a proposed model based on the findings on the previous chapter.

#### **5.2 SUMMARY OF THE STUDY**

- This study, on the Local Area Planning Model that Ensures Effective Community Participation within the Ezingoleni Local Municipality was a study to establish the level of community participation and its effectiveness at the ward level.
- It was also aimed at establishing the influence of leadership on participation and the interaction with other formal structures like the development structures and the municipality
- Finally, it was intended to come up with an effective model that could enhance community participation within the ward and also be applicable in all the wards.

#### **5.3 BASIC ASSUMPTIONS RESTATED**

To actualize the aims of the investigation, certain assumptions were formulated as a point of departure. These are restated for a perspective understanding of the conclusions to be drawn from the findings of the investigation.

- There was no effective participation within the Ward.
- The role of leadership was not fully enhancing effective participation.
- With the availability of a Local Area planning Model on participation:
  - Community members would feel that they are able to make a meaningful contribution
  - Leaders would have uniformity in the development of Local Area Plans
  - Benchmarking for resource allocation will be more realistic
  - Proposed developments will be matching community needs, as they would have fully participated in planning.

## 5.4 CONCLUSION

The data on this study revealed that:

- The majority of the people in that community are females. The representation at the municipality structures has a good representation of gender. The Municipality is seen as the most formal influential structure, which influences development in the area. This, therefore, assist the system in terms of it being seen as supporting effective participation. This arrangement also supports the theory by Slochum et al. (1995:3) that says popular participation in development is broadly understood as active involvement of people making decisions about the implementation of procedures, programs, and projects that affect them. The good representation of females in that structure therefore, provides an opportunity for an effective participation.
- The majority of the population in that ward is below the age of forty (40) and the leadership (particularly from tribal structure) is above forty years. One of the three approaches used by Slochum et al. (1995:4) in analyzing participation, suggest that participation can be for purposes of transforming a present system or for simply maintaining the status quo. The poor representation of the majority

age group in this structure opens up the system for rejection, as the majority is not represented within the tribal leadership. The young female, who is in this case excluded through gender and age, is not availing herself for participation in activities organized by such structures. Hence then the central theme of community development being the ability of the people to deal with problems and opportunities that affect their lives is retarded (Porter, 1991:1).

- The community of Ezingoleni, ward 3, feels that there is participation within the ward, but not to a level of influencing the direction of community activities. Glice (1994:30) in the document preparing for RDP implementation highlighted that participation with no influence on decision making is not regarded as participation. This therefore supports the conclusion that there is no effective participation if the beneficiaries of the intended project cannot be participating meaningfully in decision-making.
- The municipality, in their commitment to deliver or carrying their duties, end up doing some activities that should be done by the community and limit their opportunities for participation. This in the view of the investigator is because of the result of the inherent reactive planning system that is not accessible to the people as highlighted in the COSATU document by Glice (1994).
- The community members felt that consultation could be improved a lot. It came out clearly that consultation was not at the expected level. Theoretically the planning systems that are not transparent do not facilitate effective participation.
- The community wants proper skills in order for them to have a meaningful contribution.
- Lack of relevant education was seen as the key issue that blocks the community from effective participation.
- The provision of skills and the leadership that works in partnership with the people is seen as the best strategy for effective participation. This has not yet reached the lower levels of the community.
- Leaders are not yet fully involving all the community members on development issues. April (2000:96) holds the view that leadership through empowerment has

a great influence on effective participation. The revelation by the study that leaders are not fully involving the community, therefore supports the conclusion that there is no effective participation.

The conclusion above indicates that the assumptions tabled at the beginning were correct. There is no existing model for participation. The LAP process only emphasizes the need for the community to be fully involved but does not suggest any model for doing that. It leaves it to the respective communities to come up with their own model. This creates challenges when it comes to benchmarking evaluating community involvement in the process.

## **5.5 RECOMMENDATIONS**

- Females should be adequately represented at all structures for effective participation to be realized even on the tribal structures with the full understanding of its sensitivity.
- Community members below the age of 40 years should be included in all the leadership structures. Where development is an issue, the leadership to have an effective plan to include youth in that development.
- The municipality to ensure that they take the community along every process for the transferal of skills.
- The municipality together with the community to come up with programs or workshops that will assist in developing the forum members and the community at large for an effective participation.
- The leadership to fully involve the community on every planning and decision making that impact on them.
- To review all the consultative structures in line with the recommended structure.

- The formation of a steering committee and various forums accountable to the steering committee is seen as part of the solution

## **5.6 PROPOSED MODEL FOR PARTICIPATION**

Achieving effective participation need not be a lengthy process in nature, however as a country that is at the stage of transformation, this is a lengthy process. There are various reasons to this, but the three that will be highlighted are the structures that are directly influencing leadership at the grass root level i.e. the traditional structure and the municipal structure, both serving and facilitating the community issues without sometimes a healthy cooperation. Distrust between the two groupings has the potential to make the process slow. Bringing the two parties together sometimes delays the process.

The second one being the lack of experience on the involvement of the community in decision-making. It sometimes becomes confusing to accept that what people want is sometimes the challenge to the process. This is because of the inherent history of not being involved for decades and thus people do not have a proper understanding of participation.

The third being the educational level that sometimes delays the process as people need to be taken through some awareness campaigns or training before they can effectively participate.

## **STRUCTURES**

A specific project structure is proposed in order to cope with the highly complex interrelationships, which come to play in a community project environment. The cornerstone of this model is the consultative or participative mode of intervention. This

is accompanied by a series of meetings or consultative forums at various levels with various stakeholders.

A structure or system of working groups (processes / work streams) coordinated by the steering committee is proposed. The steering committee and the development forums are essentially the core of the planning committee. In dealing with the issue of the tribal structure and the municipality structure, both parties are equally represented at the steering committee.

As a project progresses through its various stages and forms, as it would do naturally, different mechanisms need to be set up to deal with various stages of the project as it goes through its life cycle.

### **5.6.1 METHODOLOGY**

The process to be divided into four phases.

#### **5.6.1.1 PHASE ONE – START UP**

#### **OVERALL OBJECTIVE FOR PART ONE**

To introduce the concept or process to the leaders and the community and thereby ensuring the buy-in into the process and participation that will guarantee the ownership of the process.

This requires the project to be announced to be as wide a forum as possible. In this case the project need to be announced to the Executive of the District Municipality, Executives of the Local Municipality, Development structures, Councilors, Tribal authority leaders and the community being the beneficiaries.

## **> IDENTIFICATION OF THE WARD**

This process involved the consultation with the leaders and the community in deciding on the ward for which the project is targeted. The confirmation of the ward is only done once the agreement has been reached with all the role players.

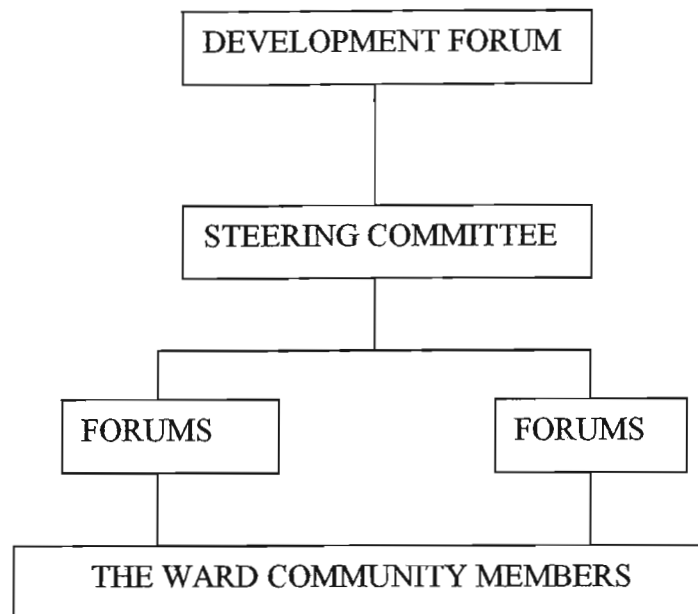
## **> INTRODUCING THE CONCEPT AND GETTING THE BUY-IN**

- Several meetings with the leaders and community members should be held to educate them on the concept so that they can have a meaningful assessment of the situation. The recommended system is through a public workshop.

The advantage of a public workshop is that it allows a two-way interaction to occur, where questions can be answered as opposed to a press release, which leaves a lot of questions unanswered. The educational level of the community also limits the process to a public workshop.

- Once they fully understand the concept, and then start the process of getting a buy-in into the concept. Educating them first will ensure that you have a genuine buy-in that will support you throughout all the challenging phases.
- The proposed steering committee, process leaders and work stream committees are then proposed in this open meeting. Interested community members are then invited to participate on something that they understand and support.

## **AN EFFECTIVE STRUCTURE**



Experience has shown that it is not advisable that political parties per se be included on the work streams. It is acknowledged that the inclusion of civic organizations, non-governmental organizations and service providers that have strong political agendas will surface at the planning sessions. This should then be dealt with at the very early stages.

### **STEERING COMMITTEE OR PROJECT CONTROL COMMITTEE**

The steering committee is normally the overall controlling body within a project. The Sponsor of the project also normally chairs it. The advantage of this arrangement is that the sponsor is normally the person who has the full understanding of the purpose of the project, controls or has the biggest influence on the funding and by virtue of his role has an element of neutrality in decision making.

The steering committee has the power to veto over what the work streams or process leaders may propose. To ensure that process leaders are fully represented at the steering

committee meetings, the project leader always lead the meeting on progress reporting and proposals.

The overall responsibility of the steering committee is therefore to monitor that development occurs within the parameters as set out by the sponsor and the community as beneficiaries. This, when well managed, by far provides the most legal and legitimate structure that ensures effective participation of all stakeholders.

## **> THE PROCESS TO FOLLOW**

In order to achieve the above objective set by the above structure, seven (7) sub phases are formulated to guide the process. The sub phases are as follows:

- Meeting between Project Sponsors and the Regional Council.
- Meeting between Local municipality representative and the Sponsor representative.
- The first Steering committee meeting.
- Leaders (Councilors') meeting confirming the understanding and buy-in.
- Introduction of the concept to the Tribal council and community structures.
- Report back to the Regional Council meeting
- Steering committee meeting
- Visiting the community: educating, selling the concept and securing the buy-in.

All the minutes of these consultative structures to be recorded and processed according to the principles of meeting management.

Each activity, objective and highlight from each phase to be recorded and shared with all the stakeholders.

The steering committee represented by all stakeholders to sign-off each completed phase.

### **5.6.1.2 PHASE TWO**

#### **STATUS QUO ANALYSIS**

In analyzing the status quo, the project leader or facilitator should ensure that the community is represented in all the plans and strategies.

A specialist in that field may chair each working group. The project leader will ensure that the community is involved in every step either through their seconded representative or / and through continuous feedback meetings.

#### **PROPOSED SCHEDULE OF MEETINGS AND ACTIVITIES WITHIN THIS PHASE**

<b>ACTIVITY</b>	<b>HOW</b>
PREPARE PHASE TWO PLAN	Guided by the project management plan principles
PRESENTATION OF PHASE TWO PLAN	Ensure that the plan has been approved by all the stakeholders
SITUATION & NEEDS ANALYSIS	The process leaders should ensure that community representatives accompany them as they conduct the situation analysis. This minimizes the risk of the findings being rejected.
REPORT TO THE STEERING COMMITTEE	After completing the situation analysis and the needs analysis stage, the project leader should report to the steering committee for their update and guidance as far the strategic direction is concerned.

ASSESSMENT OF CURRENT PROJECTS	The project leader together with the community structures should identify the projects that are underway and those that have been commissioned so that they could compare the needs to the projects and be able to identify the gaps. This as well is done in full consultation with the community structures.
STAKEHOLDER IDENTIFICATION	This involves the identification of all the service providers' availability to bridge the identified gap.
REPORT ON NEEDS ANALYSIS TO THE STEERING COMMITTEE	Once these have been identified, the steering committee is notified for awareness of what has been addressed and identify areas where they needed for support.
REPORTING TO COMMUNITY LEADERS	Bringing the leaders to speed on what will be achieved and what will not be achieved. This affords them the opportunity to comment or assist before it is tabled to the wider community.
REPORT TO THE COMMUNITY	The community is then given the update and also given the opportunity to suggest or come with some solutions where not available. The community is made aware that after this stage the selected group will come up with the strategy to deal with the gaps.
STEERING COMMITTEE MANDATE	After reviewing all the changes or proposals after the community meeting, the steering committee would give the mandate to a smaller group to come with a strategic plan.

### **5.6.1.3 PHASE THREE**

#### **STRATEGY DESIGN AND DEVELOPMENT**

The methodology here is to do the s. w. o. t. analysis, design the implementation plan and the monitoring process together with the community involved. This is done through meeting and presentations of the document formulated. The long process of interacting with all the stakeholders is still very crucial for every step, especially at the completion of the draft strategy document. All stakeholders need to be given an opportunity to understand and comment on the document.

After all the stakeholders have been given the opportunity to comment on the document, the steering committee when satisfied with every aspect, has to sign the document symbolizing the acceptance of the document and all the implications including cost, time frames and standards of deliverables.

### **5.6.1.4 PART FOUR**

This part is mainly the opinion of the project leader based on the experience with the process. It also includes lessons learnt for future improvements. The entire process should be documented for future references.

## **5.7 CONCLUSION**

With the above-mentioned model it is my opinion that effective participation in any local area-planning project will be a success.

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# QUESTIONNAIRES

THE BIG QUESTION THAT WILL LEAD TO AN ANSWER OR DECISION IS:

“ WHAT IS MODEL THAT WOULD ENABLE THE  
COMMUNITY TO HAVE AN EFFECTIVE PARTICIPATION  
IN COMMUNITY PROJECTS OR ACTIVITIES?”

INTERVIEWS AND GROUP DISCUSSIONS AS A SOURCE OF  
INFORMATION

A set of questionnaires has been set to elicit information from respondents. This information will enable us to identify the driving forces or elements that will inform the model. It is also through this exercise that one is going to be able to educate the community about effective participation.

PERSONALITY DATA FOR CATEGORIZATION

YOUR WARD	ONE	TWO	THREE	FOUR
ROLE IN THE COMMUNITY	LEADER	STAKEHOLDERS	COMMUNITY MEMBER	
AGE	14-17 YRS	18-21 YRS	21 AND 45	45 AND ABOVE
SEX	MALE		FEMALE	

EFFECTIVE PARTICIPATION

1. What is your view about community participation within your area of residence?

2. Who normally organize the activities for development?

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3. Do you think people participate effectively within your area?

Yes

☐

No

☐

4. What is the reason for your response?

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5. What level is regarded as poor participation to you?

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6. What would be an effective participation to you?

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7. What blocks effective participation?

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8. What enhances effective participation?

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9. What is the contribution of leadership in participation?

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10. What structure or arrangement, in your opinion would encourage effective participation?

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