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**An Assessment of the influence of the Community Based Plan (CBP) on the Integrated Development Plan (IDP) of Vulamehlo Local Municipality.**

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**2014**

**A dissertation submitted in partial fulfillment of the requirements for the degree of Master in Town and Regional Planning in the School of Built Environment and Development Studies in the University of KwaZulu-Natal, Durban.**

## **Declaration**

I, Zandile Majola hereby declare that this dissertation is my own unaided work except where otherwise acknowledged in the text and it has not been submitted in the whole or part of, or for any examination or degree at any University. This dissertation is submitted in Partial Fulfilment of the requirements towards the degree of Masters in Town and Regional Planning to the School of Built Environment and Development Studies, Howard College Campus, University of KwaZulu Natal

Signatureō ō ō ō ō

Miss Zandile Charity Majola

## **Acknowledgements**

I would like to convey my sincere words of gratitude to the following people for their encouragement, guidance and support right from the beginning up until the completion of this research project.

- My supervisor Mr. Myeni for his support, patience and guidance throughout my research.
- The staff of Vulamehlo Municipality together with the ward committee members who participated in the study. A very thank you to all of you.
- My family mom, dad, my sisters and cousins for their support, my special thanks goes to Nontobeko Audrey Majola, my younger sister for never stop believing in me.
- My daughter, Lungelwa, (Lu) for your understanding when Mommy could not be there for you.
- Lastly, my Lord Jesus who has given me strength to complete this thesis.

## **Abstract**

In the late 1990s consultants played an important role in the developing the Integrated Development Plans (IDPs) in various municipalities in South Africa including KwaZulu-Natal. What has been noticed is that, there has been a poor progress with regard to community participation in the formulation of the IDP. It was impossible for communities to make meaningful contribution into inter-sectoral opportunities for development. Community Based Plan is one of the tools initiated by the current government to encourage community participation in developing IDPs. Therefore this research is aiming at assessing the influence of the Community Based Plan on the Integrated Development Plan of Vulamehlo Local Municipality. The study was carried by looking at roles of ward committees and other role players during the community based planning and the integrated development plan processes.

A qualitative research method was used to identify challenges which are associated with the use of the community based plan. The study looked at various theories of community participation including collaborative theory, bottom-up approach, the theory of citizen participation and Arnstein's ladder of participation in order to understand the importance of community participation in the CBP and IDP process. The findings of the study revealed that the key challenge was lack of feedback from the officials indicating that there is no constant feedback from the officials indicating that there is no constant feedback provided to the community regarding community based once it is developed. Moreover the findings indicated that ward committees are unable to play their role effectively during the IDP process. They only participate during the IDP roadshows/izimbizo and are not involved from the inception to implementation. Both local and international case studies were used to support the idea that community participation should form part of the compilation of both the community based plan and the Integrated Development Plan. The culture of community participation enhances cooperation and effective implementation of municipal developmental programmes.

In conclusion this dissertation recommends that community based plan does have an influence towards the integrated development plan of the municipality, but its

effectiveness lies in the proper planning and giving it the attention it deserves as one of the tools to be used to promote community participation in the affairs of the municipality.

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## List of Acronym

CEO	Chief Executive Officer
CBO	Community Based Organization
CBP	Community Based Plan
COGTA	Cooperative Governance and Traditional Affairs
DPLG	Department of Provincial and Local Government
EXCO	Executive Council
FET	Further Education Training
GTZ	German technical assistance agency
GCIS	Government Communication Information Systems
IDP	Integrated Development Plan
IFC	International Finance Corporation
KZN	KwaZulu-Natal
LED	Local Economic Development
LGSETA	Local Government Sector for Training
MSA	Municipal Structures Act
MSA	Municipal Systems Action
NGO	Non- Governmental Organization
PGDS	Provincial growth and Development Strategy
SALGA	South African Local Government Association
SDF	Spatial Development Framework
SWOT	Strengths, Weaknesses, Opportunities and Threats

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## **CHAPTER ONE: INTRODUCTION AND RESEARCH METHODOLOGY**

### **1. Introduction**

The apartheid planning agenda was based on separation and control. It was highly bureaucratic, implemented top-down approaches, and did not involve the broader community in decision making (Naidoo, 1993). Since the formation of the democratic in South Africa in 1994, the focus has been on redressing the imbalances and injustices of the past. The democratic elections ushered in a new form of governance that emphasises public participation in policy making in all three spheres (i.e. national, provincial and local) of government.

According to the Department of Provincial and Local Government's (DPLG) assessment of Integrated Development Plans (IDP) in the late 1990s, consultants played a critical role in developing IDPs in a number of municipalities in KwaZulu-Natal. These consultants generally were from an engineering or town planning background, who were traditionally trained to focus on physical, infrastructure or spatial issues, as opposed to community consultation and the dynamics associated with this element. As such, there has been slow progress in the arena of community participation in the formulation of IDPs. Another problem stemmed from the fact that different consultants often formulated the different sectoral plans, which resulted in very little inter-sectoral integration. As a result, it was difficult if not impossible for communities to make consequential input into sector plans regarding opportunities for development. In addition, the involvement of the private sector and government departments had been limited (DPLG, 2001).

Participatory governance is supported by South Africa's Constitution as well as other legislation (Smith, 2009). The Municipal Structures Act No 17 of 1998 and the Municipal Systems Act No 32 of 2000 serves to give meaning to Section 152 of the Constitution that identifies representative and participatory democracy as the primary objectives of local government. The establishment of ward committees in every local municipality translates the constitutional mandate of local municipality into practice. These committees serve as a formal communication link between the local

community and the council and play a key role in the communities' effective participation in the IDP process. The White Paper on Local Government identifies tools and processes that are intended to change the nature of planning so that it becomes participatory and inclusive at local level. Integrated development planning and budgeting enable municipalities to prioritise and integrate development in municipal planning processes (White Paper on Local Government of 1998).

The roles and responsibilities of each of the three spheres of government is differentiated. National government is charged to develop and implement national policy and co-ordinate the functions of state administration and government departments. Provincial government is mandated to formulate and implement provincial legislation and co-ordinate the provincial administration and departmental functions. Local government is tasked to provide a democratic and accountable government for local communities; ensure the provision of services to communities in a sustainable manner; promote social and economic development; promote a safe and healthy environment and encourage communities and community organisations' involvement in matters of local government+ (White Paper on Local Government, 1998: IX). In terms of the South African Constitution, national and provincial governments must utilise legislative and additional measures to support and strengthen municipalities' capacity to manage their own affairs, exercise their powers and perform their functions (Section 154, (1) Constitution). Local government legislation has been put in place to enable South Africa to constructively work towards providing basic services and improving citizens' social and economic lives (SALGA/GTZ, 2006).

From the perspective of community-based planning, it can be said that the IDP processes have been interpreted in a minimal way. Despite municipalities being required to consult widely, active community involvement is not generally emphasised. Given that local government faces many challenges in providing services that will contribute to a stable and healthy environment, the Community-based Plan (CBP) approach has been seen as a tool that offers a number of benefits. These include moving from consultation to empowering communities, encouraging ownership of local development and overcoming dependency; and the fact that plans are more specific, targeted and significant in addressing the priorities

of all groups, including the most vulnerable. Lastly assistance to municipalities gives expression to the requirements of the Municipal Systems Act, No 32 of 2000 (EISA, 2005). The main argument of this study is that passed IDP processes have not sufficiently catered for functional and sustainable community involvement in planning; hence, government has introduced the concept of community-based planning to address this challenge.

This study evaluates the influence that a CBP has on the compilation of the IDP of Vulamehlo municipality.

## **1.2 Research Problem**

Government and policy makers are starting to recognise the important role that communities can play in development programmes. Efforts are being made to ensure increased and improved community involvement in planning and development processes in their areas (Rural Dialogue, 2000). However, despite these efforts, a number of challenges stand in the way of community involvement. According to Reedy & Sing (2003), the intention behind the IDP is for it to entail a participatory process and is a cornerstone of any municipality's activities. Although the primary responsibility for preparing the plan rests with local government, the process requires the active involvement of key stakeholders, government departments, community organisations, the private sector and individuals (Reedy & Sing, 2003).

The White Paper on Local Government of 1998 highlights that municipalities commit themselves to working with citizens and community groups thereby finding sustainable ways of meeting their social, economic and material needs and improving the quality of their lives ([www.devplan.kzntl.gov.za](http://www.devplan.kzntl.gov.za)). The Municipal Systems Act No 32 of 2000 instructs a municipality to develop a 'culture of municipal governance that complements formal representative government with a system of participatory governance' (Visser, 2004). However, the Act notes that participatory governance should not allow interference with a municipal council's right to govern. Participatory democracy is therefore intended to complement the governance structure rather than replace or substitute for them (Steytler & Boulle, 2002).

However, municipalities have not created sufficient opportunities for members of the community/citizens to make a meaningful contribution or participate fully in decisions that affect their lives.

In an address to the National Council of Provinces in 2011, former Deputy President Kgalema Motlanthe noted several reasons for IDPs not working properly, namely insufficient economic, institutional and human capacity; and inadequate knowledge of government and budgetary processes. He added that, "Our findings... have been that there is a lack of meaningful participation by communities and local stakeholders in the IDP process. It was further highlighted that even in areas where participation does occur, it is often merely for compliance, with most indicators already being determined by officials" (Motlanthe, 2011).

Community involvement is a central component of the IDP. The Municipal Structures Act No 117 of 1998 defines a municipality as of the political, administration and community structures. It does however have a separate legal component which excludes community liability (Municipal Structures Act, No 117 of 1998). The Act requires that the IDP adopt appropriate mechanisms, processes and procedures to enable the local community to be regularly consulted on its development needs and priorities. In addition, the community should actively participate in the drafting, implementation, monitoring and review of the IDP. However, the DPLG investigation found that, in most municipalities, the community is not always consulted when it comes to their development needs and during the formulation of the IDP.

The community-based planning process provides a link between municipal planning, delivery and activities at a ward level (Khanya & DPLG, 2001). One of the challenges faced by municipalities is the lack of community-based planning during the IDP process; as a result, the link between the CBP and IDP is compromised. Communities are not given sufficient time to voice their concerns and development needs. This has resulted in communities feeling that there is limitation to the access to information related to government programmes and services. Furthermore, the information that is available is often difficult to obtain and interpret (Rural Dialogue, 2000).

The other challenge is the relationship between the community and local government, especially in rural areas, where there are perceptions that the municipality does not understand rural issues and imposes policies and programmes that negatively affect communities (Doen & Phidd, 1988). This has resulted in service delivery protests. Furthermore, the programmes developed are not empowering and are not based on the strengths and opportunities of the local area (Doen & Phidd, 1988). The lack of community-based planning also results in a lack of community ownership of programmes identified in the IDP. The vandalising of structures built by municipalities that has occurred could be due to the fact that the community was not fully involved during the planning process ([www.khanya-mrc.co.za](http://www.khanya-mrc.co.za)). This negatively impacts service delivery.

According to the Former Deputy President it is clear that there is a need for collective ownership of the development process and strengthened relations between ward committees and independent civil society formations in the promotion of meaningful engagements between local government and community members. He added that, significant attention must be given to formulating strengthened communication strategies that will improve on the effectiveness in the communication between municipalities and communities (Motlanthe, 2011). Citizen participation is defined as an ongoing process of debate, dialogue and communication between local government authority and the community (Visser, 2004: 39). According to Visser (2004), citizen participation improves the quality of decision-making in local government.

### **1.3 Objectives of the Study**

The study's objectives were to:

- 1.3.1.1 Investigate the influence of the Community-based Plan on the Integrated Development Plan.
- 1.3.1.2 Identify the role-players in both the Community-based Plan and the Integrated Development Plan.
- 1.3.1.3 Evaluate the importance of the Community-based Plan during the Integrated Development Planning process.
- 1.3.1.4 Assess how the community-based planning process can be improved.

1.3.1.5 Identify the challenges associated with the use of a Community-based Plan.

#### **1.4 Main Research Question**

To what extent has community-based planning as a tool to enhance community participation been used to influence the compilation of Vulamehlo Municipality's Integrated Development Plan?

#### **1.5 Subsidiary Questions**

1.5.1 What is the importance of the Community-based Plan?

1.5.2 How can it be used to influence the Integrated Development Plan?

1.5.3 Who should get involved during the compilation of the Community-based Plan?

1.5.4 What challenges are associated with community-based planning?

1.5.5 How best can they be dealt with?

1.5.6 How can the process of the community-based planning be improved?

1.5.7 Why should there be a link between the Community-based Plan and the Integrated Development Plan?

1.5.8 What steps are taken during the compilation of the Community-based Plan?

1.5.9 What is the value of the Community-based Plan to both the community and the municipality?

#### **1.6 Hypothesis**

If well thought out and transparently implemented, community-based planning can have a positive influence on the compilation of the Integrated Development Plan.

#### **1.7 Defining Key Concepts**

This research study focused on the influence of the CDP on Vulamehlo Municipality's IDP. This municipality is located south of Durban. It is important to define the key concepts used in this study in order to clearly understand the topic. The key concepts are Community-based Plan, Integrated Development Plan, participation/community participation and municipality/ local authority.



There are many definitions of 'community'. The most common meaning is the one that refers to people. Matyumza, (1998) defines **community** as a collection of different interest groups, often in conflict, that together make up a community profile. The potential for conflict, even in a group, arises out of a diversity of interests. Harrison 1998 argues that the development process may build social relations and strengthen common interests within a geographic area, but it also has the potential to heighten conflict and further polarise residents (Harrison, 1998). For the purpose of this study, community is defined as a group of people with something in common, normally residing within a particular geographic area. The emphasis on 'community' in this study indicates that problems at local level need to be tackled collectively rather than on an individual basis (Harrison, 1998). Community is therefore important for this study since both the IDP and CBP largely depend on the involvement of the community.

### **1.7.1 Community-Based Planning**

**Community-based Planning** is a continuous planning process by means of which residents in a particular area act collectively to improve their living conditions and by doing so gain greater control over their own lives (Kumar, 2002). They improve their living environment by taking charge of their surroundings and their developmental issues. The CBP has been initiated by the Department of Co-operative Governance and Traditional Affairs (COGTA). This is a ward-based planning approach that seeks to make a municipality's IDP more relevant to local conditions at ward level.

### **1.7.2 Integrated Development Plan (IDP)**

An **Integrated Development Plan** is a five year strategic document which serves as the principal strategic management instrument for a municipality. It is an approach to planning that involves the entire municipality and its citizens in finding the best solutions to achieve short, medium and long term development (Department of Provincial and Local Government: 2000). The White Paper on Local Government of 1998) calls for all local government structures to formulate IDPs. It locates IDPs in the discussion on the changing role of local government. Chapter 5 of the Municipal Systems Act delves exclusively into expressing the concept and requirements of

integrated development planning (Municipal Structures Act, No 117 of 1998). It prescribes that each municipality must, within a prescribed period after the start of its elected term, adopt a single, inclusive and strategic plan for the development of the municipality (Municipal System Act, No 32 of 2000). The Act states that IDPs must be reviewed annually, in line with an assessment of the municipality's performance measurements.

### **1.7.3 Local Government**

Cox 1994, defines **local government** as that tier of government which operates specifically at a local level dealing with grassroots and tangible issues which affect people in their everyday lives, such as rates and taxes, water provision, all services to properties and representation of local issues and communities at regional and national level (Cox, 1994 :1). Based on this definition, it is evident that the role of local government is to lobby other levels of government on behalf of the community it serves. This is because disadvantaged and marginalised groups within local communities are often voiceless. Therefore local government has a critical role to play in service delivery. It can be concluded that local government has an important place in the overall system of governance.

### **1.7.4 Community Participation**

Stoker (1997) defines public or community participation as members of the public taking part in any of the processes of formulation, passage and implementation of public policies. This wide-ranging definition expands public participation beyond the development of policy, to decision-making and implementation (Stoker, 1997). Goodey (1981) defines participation as the involvement of those affected by or who will eventually be affected by developmental outcomes in decision-making.

## **1.8 Study Justification**

This study is important because of the manner in which it was conducted. The approach adopted had an impact on the community's ownership of development initiatives within the municipality. Communities were able to voice their dissatisfaction about what happens in their neighbourhoods (Kumar, 2002). The study also enabled local people to better understand their locality. Furthermore, it

maximised the community's opportunity to influence the IDP and promoted a real partnership between the municipality and communities to improve local participation.

The DPLG & Khanya (2001) notes that the benefits of CBP include that plans are more specific and effective in addressing the priorities of all groups, including the vulnerable. It also notes that the municipality empowers its ward committees to function effectively on the basis of a ward plan which they support, and monitor its implementation. In addition, by giving consequence to the requirements of the Municipal Systems Act No 32 of 2000, and taking participation beyond simple consultation to a level that empowers communities; the local communities' energy can be harnessed, thereby overcoming dependency. Finally, a CBP can play a key role in reconciliation and mobilisation by bringing different sectors of the community together to generate mutual understanding (DPLG & Khanya, 2001).

The study contributes to the body of knowledge on planning systems, particularly the issue of resource allocation versus the municipality's budget. Furthermore, the involvement of local people provides useful information to guide integrated development planning in terms of development and service delivery ([www.khanya-mrc.co.za](http://www.khanya-mrc.co.za)).

In most cases, participatory planning takes the form of short workshops within wards where problems are simply listed. This neglects the richness of the local context, and does not identify local strengths, or promote local action (Kumar, 2002). This study offers a thorough method to undertake participatory planning as part of an IDP.

The study aimed to promote community planning that empowers communities. This can be achieved by ensuring that everyone participates fully in the process, resulting in improved local conditions and agency plans and services.

## **1.9 Research Method**

This section provides a brief overview of the research method employed by this study. A qualitative rather than quantitative research methodology was used to collect data. As the research topic indicates, the focus was on the community and their experiences, understanding and attitudes towards the CBP and IDP. A qualitative research approach was appropriate in soliciting information for this investigation. The other reason for adopting a qualitative research method was that

the study was concerned with opinions, feelings and experiences; data was collected through direct encounters in the form of interviews or observation. The researcher was part of the process from the beginning to the end; this was an exploratory and open-ended investigation (Payne, 2004).

The study used both primary and secondary data sources.

### **1.9.1 Primary Sources of Data**

#### **1.9.1.1 Sampling**

Sampling is defined as the process of selecting a sufficient number of elements from the population to participate in the research project, while an element is defined as a single member of the population (Sekaran, 2003). This study used cluster sampling because it is a good tool when the population is large. The municipality under investigation comprises of ten wards. The study did not focus on everyone that resides in these wards. In selecting the participants, the study focused only on ward committee members that reside in these wards since they represent different economic sectors within the community. Besides the ward committee members, the other participants were two municipal officials from the IDP section and Public Participation section. Purposive sampling was used to select these officials. In this type of sampling, the participants are deliberately selected by the researcher. Welman and Mitchell (2005) argue that purposive sampling enables a researcher to select participants that are in the best position to provide relevant information. The IDP manager and Public Participation manager were selected because they were part of the CBP process and could provide information on the linkages between the CBP and IDP and how the CBP could be improved.

The total sample comprised 102 respondents. One hundred respondents participated in focus group discussions, mainly ward committee members. As noted above, the other two respondents were municipal officials. The Vulamehlo Local Municipality IDP puts the total population at 74 014 with approximately 16 135 households. The tools used to collect the primary data were interviews and focus groups.

### **1.9.3 Interviews**

An interview is a purposeful discussion between two or more people+ (Saunders *et al.*, 2003). The interviews enabled the researcher to gather valid, reliable data which was relevant to the research objectives. Unstructured and semi-structured interviews were conducted. Saunders *et al.* (2003) note that both types of interviews allow the researcher not only to gain answers to the questions but to explore the internal dynamics of the research topic. Semi-structured interviews are made up of open-ended questions. Interviews were held with two municipal officials, the IDP manager and the Manager, Public Participation. The reason for selecting these two officials was that the IDP manager is responsible for developing the municipality's IDP and ensuring its implementation. The Manager, Public Participation was selected as his unit is responsible for developing the CBP. These officials provided rich information on the link between the CBP and IDP; and the challenges confronting the CBP as well as its importance. For the purpose of this study, it was of critical importance to understand the CBP and IDP processes. The two officials were interviewed separately and an interview schedule was used.

### **1.9.4 Focus Groups**

Serekan (2003) notes that focus groups are sometimes called focus group interviews. Serekan (2003) defines a focus group as a group interview that focuses clearly upon a particular issue, product, service or topic and encompasses the need for interactive discussion amongst participants+ (Serekan, 2003). It is sometimes better to obtain information from a group rather than individuals as questions and debates raised during group discussions yield detailed information on the topic being studied.

As part of the research undertaken for this dissertation, focus group discussions were held with ward committee members. The recommended size of focus groups was between seven and ten as smaller groups may limit the amount of information collected. These participants came from ten wards. In each ward, there was one focus group with ten ward committee members. The researcher took notes and facilitated discussions simultaneously. The reason for selecting these participants was that the municipality had already formulated a CBP in each ward and the participants were part of the process. The type of information that was obtained from

the ward committee members revolved around how they view their role in the CBP and IDP if they contribute to both processes and the challenges, if any.

### **1.9.5 Secondary Data**

Secondary data sources are defined as data that has already been produced. These include journals, theses, reports, books and government publications. This study used all these sources as well the IDPs of both the local and Ugu District municipalities. Vulamehlo falls under Ugu District Municipality and some of developmental functions are the responsibility of Ugu District.

### **1.9.6 Data Analysis**

Thematic analysis was used to analyse the qualitative data that was collected. Aronson (1994) defines thematic analysis as analysis that focuses on identifiable themes and patterns of living and/or behaviour. He further defines themes as units derived from patterns such as conversation topics, recurring activities, meanings and feelings+(Aronson 1994). This was critical in the sense that the data focussed on the patterns and themes of behaviour between the municipality and community. The patterns emerged from the interviews with relevant key informants. The themes were formed using the information gathered from informants and also from the objectives of the study.

### **1.10 Limitations of the Study**

The objectives of the study were met and the ward committees and the municipality were able to provide useful information. However, at first it was difficult to get ward committees to agree to meet with the researcher even though consent was obtained from the municipality and the mayor. Firstly, the municipality pays ward committee members a stipend of R500 per sitting for any gathering. Secondly, the fact that ward committee members had previously been consulted by the municipality but had not received feedback discouraged their participation. To overcome these limitations, the researcher used the meetings for the ward committees convened by the municipality to conduct her research. Once they had dealt with their scheduled business, group discussions were held. This was useful as the researcher gained a sense of what is discussed during the regular ward committee meetings. However, a light lunch had

to be provided for each group discussion, which the researcher had not initially budgeted for.

### **1.11 Chapter Outline**

This dissertation comprises of the following five chapters:

#### **Chapter one**

This chapter provides an introduction and explains the background to the study, the rationale for the study, and its objectives, the problem statement, research question and sub-questions and the research methodology.

#### **Chapter two**

This chapter presents the theoretical and conceptual framework on community participation. It reviews the literature on community-based planning in the form of South African and African case studies.

#### **Chapter three**

This chapter examines the historical background of the case study, Vulamehlo Municipality in terms of its location, and socio-economic and other relevant information.

#### **Chapter four**

This chapter presents the research findings, data analysis and interpretation.

#### **Chapter five**

This chapter provides a summary of the findings, recommendations and the conclusion.

## **CHAPTER TWO: THEORETICAL FRAMEWORK AND LITERATURE REVIEW**

### **2.1 Introduction**

This chapter is divided into three sections. The first discusses and explores relevant theories that enable an understanding of community participation structures and practises. These theories are Arnstein's ladder of participation and the theory of citizen participation, collaborative theory and the bottom-up approach. The section concludes by examining how these theories can be applied in South Africa.

The second section of the chapter presents a literature review based on South African and African case studies of community-based planning. These include Mangaung Municipality and Ingwe Municipality, and Uganda and Ghana. The final section focuses on the legislative framework for community-based planning.

While community participation has been the focus of intense debate since the early 1990s, theories relating to this concept emerged during the 1960s. However, the definition, role, function and importance of community participation varies from culture to culture and from one political system to another (Stoker, 1977). Furthermore, the reasons for seeking participation vary, depending on the institutional, political, and economic context and the personal interests and points of view of those opposing or supporting participation (Cook & Morgan, 1971).

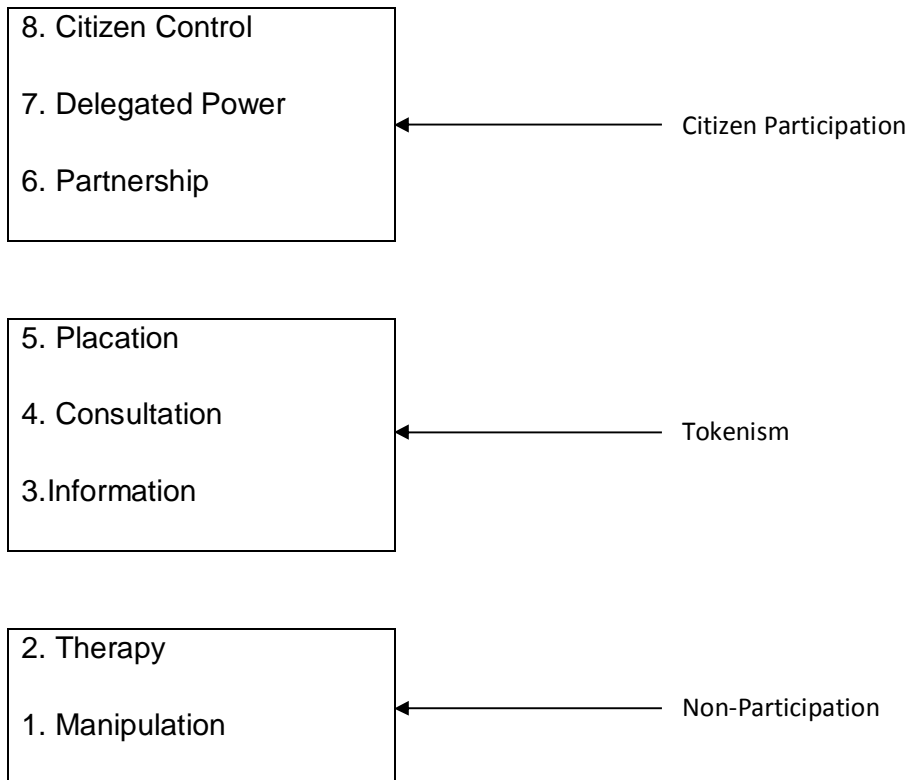
### **2.2 Arnstein's Ladder of Participation**

Arnstein's (1969) work recognises that there are different levels at which community participation occurs in developmental processes. Arnstein formulated a ladder of participation ranging from manipulation or therapy of citizens, to consultation, information, placation, delegated power and what is viewed as genuine participation, which he termed partnership and citizen control (Arnstein, 1969). According to Arnstein, more control is always better than less control. However, he adds that increased control may not always be desired by the community and increased control without necessary support may result in failure (Arnstein, 1969). Darke (1977) argues that the variable which underpins this analysis is the extent to which participants have the power to act as independent decision-makers. The



community is rarely brought into the early stages of the process, where the problem is conceptualised and identified. Local government has a tendency to treat community participation as an event rather than as a continuous activity.

**Figure 1: Arnstein's Ladder of Participation**



**Source: Darke, 1977**

Darke (1977) maintains that participation is not always an integral part of the on-going process of problem identification, policy formulation, decision-making, implementation, monitoring and review. He notes that, all too often the vent of participation is focussed on the publication of a particular set or more or less finalised proposals. There is every reason why the public should be involved in establishing needs, problems and aspirations, in setting aims and objectives, in preparing alternative strategies to meet those aims and objectives, in selecting a preferred strategy and a final policy and in subsequent implementation and monitoring (Darke, 1997: 99). To simply stage participation in order to tell people what has already been decided is cynical window dressing.

This study agrees with Darke's argument that participation is not always an on-going process and that the public is not involved in the early stages of policy making. One

of the principles of the CBP is that participation should not be a once-off incident but should be part of a continuous process, with implementation, monitoring and annual evaluations and reviews (DPLG & Khanya, 2001). For example, during the pre-planning of the CBP programme, Manguang Local Municipality convened an initial meeting with councillors and ward committees to explain the process from the beginning up until the last stage of the plan.

A number of scholars have further developed Arnstein's theory of participation and there has been a shift towards greater understanding of participation in terms of the empowerment of individuals and communities through the process. Burns *et al.* (1994) adapted Arnstein's ladder of participation and proposed a ladder of citizen empowerment. Burns *et al.* maintain that people should maintain responsibility for themselves, and should therefore be active in public decision-making (see Figure 2).

**Figure 2: A ladder of citizen empowerment**

<b>CITIZEN CONTROL</b>
12. Independent control
11. Entrusted control
<b>CITIZEN PARTICIPATION</b>
10. Delegated control
9. Partnership
8. Limited decentralised decision-making
7. Effective advisory boards
6. Genuine consultation
5. High quality information
<b>CITIZEN NON-PARTICIPATION</b>
4. Customer care
3. Poor information
2. Cynical consultation
1. Civic hype

Source: Burns et al: 1994

Burns *et al.* (1994) draw a distinction between *cynical* and *genuine* consultation, and between *entrusted* and *independent* citizen control. According to the authors, so called *civic hype* become popular during the 1990s and is incorporated on what they term the bottom rung of the ladder. This considers community participation as a marketing exercise, in which the desired end results are *sold* to the community (Burns *et al* 1994).

Burns et al (1994) argues that people should take responsibility and participate in community issues that affect them. In other words, they must be active in public

decision-making. In terms of the CBP, for the community to own the CBP or ward plan they need to part of the process. Through the CBP, they develop a ward plan and participate in decisions relating to the development of their area (DPLG etc., 2005).

Genuine consultation is critical and central to the CBP. Section 29(b) of the Municipal Systems Act No 32 of 2000 states that the process followed in developing an IDP must include consulting the local community on their development needs and priorities and that the local community must participate in drafting the IDP (Section 29 (b)MSA, No 32 of 2000). Government introduced the concept of community-based planning to enhance public participation in the IDP process and at the same time deepen democracy (DPLG etc., 2005).

In 1999, Wilcox further extended the concept of the ladder of participation by formulating a continuum of involvement with five interconnected levels of community participation (see Figure 3).

**Figure 3: A ladder of participation**

Information
Consultation
Deciding together
Acting together
Supporting together

Source: Wilcox, 1999

Wilcox (1999) argues that different levels of participation are acceptable in different contexts and settings. He recognises that communities are not always empowered though the participative process but that these processes still have value (Wilcox, 1999). This argument is opposed to Arnstein's interpretation that moving towards citizen control is the only acceptable route.

This review of the literature on participation and involvement reveals that, although the idea of empowerment is habitually implied, there is little discussion regarding the

operation of power. In discussing the issue of power, Stewart and Taylor (1995) examine two levels of power, that is, at a conceptual and practical level. At a conceptual level they argue that the issue of power is limited and it is held by certain people or groups. This is due to the fact that, as some are empowered through the process, the power of some others must be diluted (Stewart and Taylor, 1995). The other view is that power is a positive sum game as power can be achieved by some without necessarily diminishing it from others. On a practical level, Stewart and Taylor (1995) argue that determining which issues the community are allowed to be involved in is central to an understanding of participation and empowerment (Stewart and Taylor 1995). Controlling the agenda under discussion is a hidden dimension of power which is highly important, but is often forgotten in practice. Some studies have shown that operational issues are included in the agenda, whilst strategic issues are decided elsewhere.

It is therefore clear that while scholars have advanced the development of the ladder proposed by Arnstein, the model displays some weaknesses. One weakness outlined by (Wilcox 1999) is the failure to recognize the different spheres of decision-making in which levels of participation can occur. The issue of community capacity building is also not fully debated. It is one thing to ensure that people participate and another thing to make sure that they are fully capacitated at the end of the day. This issue of community capacity building has been emphasised in most research and policy decision-making. The Civil Renewal Unit (2003) describes capacity building as central to the government's programme in which people in their own communities are empowered to provide the answers to their contemporary social problems (Civil Renewal Unit, 2003).

Both Wilcox and Burns raised critical and practical arguments pertaining to citizen empowerment, participation and the issue of capacity building. The South African government's adoption of community-based planning aimed to address these issues, especially capacity building. Training is one of the ways to build a community's capacity to formulate their own plans and own them. Those that are trained during the CBP process include councillors, ward committee members and facilitators. This aims to build on their strengths rather than their needs (DPLG etc., 2005).

Since the community-based planning process is a new experience for many people, it is led by trained facilitators from the ward committee as well as the councillor and the municipal facilitator. According to DPLG etc., 2005 the plan is developed from what the people in the ward say . the job of the facilitator is to use a structured planning process in a participatory way to help the community to understand the situation, agree on the priorities, and plan how these priorities will be addressed+ (DPLG etc., 2005).

Based on Arnstein's ladder of participation, this study argues that community empowerment is critical so that people are armed with the knowledge and understanding to be able to participate in decisions that will affect them.

### **2.3 Theory of Citizen Participation**

Citizen Participation is a process which provides individuals an opportunity to raise issues and impact on public decisions and has for a while been a component of the democratic decision making processq(Cogan and Sharpe, 1986:283). Cogan and Sharpe (1986) note that, %public involvement means to ensure that citizens have a direct voice in public decision+ (Cogan and Sharpe, 1986). For them the terms %citizenq and %publicq and %involvementq and %participationq are often used interchangeably. While these terms are normally used to indicate the process through which citizens are given a voice in public policy decisions, Cogan and Sharpe (1986) argue that they have a different meaning and offer little insight into the process they seek to describe (Cogan and Sharpe, 1986).

Cogan and Sharpe (1986) discuss citizen in relation to planning processes. They argue that many agencies tend not to include or to minimise public participation in planning efforts, claiming that citizen participation is too expensive and time consuming. However, many citizen participation programmes are initiated in response to public reaction to a proposed project or action (Cogan and Sharpe, 1986). Cogan and Sharpe (1986) argue that both planners and stakeholdersq perceptions are crucial in the formulation and execution of any public participation programme or project. Public participation is often a requirement for planners, but is sometimes viewed as optional for citizens. According to Cogan and Sharpe, in most cases, citizens participate in the hope of a satisfying experience and to positively influence the planning process. Cogan and Sharpe points out that participation can

offer a range of rewards to the community. These could be intrinsic to the meaning of involvement (through the very act of participation) or instrumental (resulting from the opportunity to contribute to public policy) (Cogan and Sharpe, 1986: 287). Cogan stresses that the expectations of both the planner and citizens are important to ensure an effective public participation programme that leads to a better planning process and product as well as personal satisfaction. Therefore, it is crucial that citizen involvement programmes reflect the expectations of the planner and citizens in order to minimise conflict.

Cogan and Sharpe's argument regarding the time consuming nature of participation is pertinent. One of the principles of the CBP is that the ward plan and process must be learning-oriented so that it reflects the needs of the people at grassroots level. While this takes time, it should ensure that the end product is of good quality. In this study, the researcher invited municipal officials from the Participation and Planning Units to participate. The motivation for doing so is the reason outlined by Cogan and Sharpe (1986) of minimising conflict. The CBP is supposed to feed into the IDP, which is why planners were part of this study.

Cogan and Sharpe (1986) further suggests that participation programmes can make the planning process and planners more significant by reducing the planners' isolation from the public; providing opportunities to disseminate information; assisting in identifying alternative solutions and increasing public support (Cogan and Sharpe, 1986). Cogan *et al.* also outline the benefits that can be gained from an effective citizen involvement programme especially in the planning process. These include information and ideas on public issues; public support for planning decisions; avoidance of protracted conflicts and costly delays; a reservoir of good will which can carry over to future decisions; and a spirit of cooperation and trust between the agency and the public (Cogan and Sharpe, 1986). All of these benefits are crucial in the planning process, especially the first three. When citizens are not involved in planning decisions this results in conflict, and public protests.

Due to the fact that there are a variety of citizen participation techniques, ranging from simple open meetings to more sophisticated methods, planners have a duty to formulate public participation programmes that achieve the specific goals, objectives and circumstances of each individual project. According to Cogan, a successful

citizen participation program must be integral to the planning process and focussed its unique needs, designed to function within available resources of time, personnel, and money; and responsive to the citizen participants+ (Cogan and Sharpe, 1986:298). It is therefore clear that each project will require a specific approach to public involvement. On the other hand, Cogan and Sharpe 1986 points out that, in most cases, successful citizen programmes have some common elements. He notes that, such programmes must comply with legal requirements, identify concerned or affected citizens, clearly articulate their goal and objectives, be a central part of decision-making, receive sufficient funding and staff and be allocated adequate time and highlight clear roles and responsibilities for participants (Cogan and Sharpe 1986). For Cogan, a programme that integrates citizens is likely to be successful in meeting the expectations of both the planner and the participants.

The debate outlined by Cogan and Sharpe (1986) raises the issue of the planning process being viewed in isolation from the public. The IDP is a ~~key~~ strategic document for the municipality and an approach to planning that involves the entire municipality and its citizens in finding solutions to promote development goals+(DPLG, 2000). If the IDP processes are followed correctly, communities/planning processes should not be viewed in isolation. The CBP feeds into the development of the IDP, therefore ensuring that the public is not excluded from the planning process.

Further debate on the theory of citizen/public participation was initiated by Kweit and Kweit (1987), who maintained that the criteria for evaluating policies in a democratic process include the accessibility of the process and/or the receptiveness of the policy to those who are affected by it, rather than the efficiency or rationality of the decision (Kweit and Kweit 1987). Kweit and Kweit (1987) argue that policy analysis and evaluation tends to be concentrated by a few experts and is well-suited to bureaucratic decision-making as opposed to citizen participation. This has resulted in citizen participation playing a minimal role in the traditional policy analysis process. It is highlighted that citizens often lack technical expertise required in planning and can be emotionally involved in the issues of concern rather than being detached and rational (Kweit and Kweit, 1986: 22). Kweit and Kweit (1987) state that a lack of comprehensive information hinders democratic decision-making. It is suggested that input from citizen groups outside the organisational boundaries can help to provide more comprehensive information on all aspects of the policy analysis process.



According to Kweit and Kweit (1987), in a democracy, it is the public that determines where it wants to go and the role of its representatives and bureaucratic staff is to get them there. In other words, ends should be chosen democratically even though the means are chosen technocratically (Kweit and Kweit, 1987: 25).

Community-based participation is a programme developed by the government to ensure that people that are affected are part of the decision-making process. A study conducted by the DPLG in 2001 found that public participation in IDPs, especially amongst the poor, had a tendency to concentrate on needs and wish lists for infrastructure, which is expensive to construct, operate and maintain (DPLG, 2001). As a result, few communities are prepared to make their assets and time available. Genuine community-based planning breaks this pattern, and focuses not only on infrastructure or on service provision by the municipality, but also on their role in enabling development ([www.khanya-aicdd.org](http://www.khanya-aicdd.org)). It is believed that the only way to change the planning archetype is to plan in an outcomes-based manner and not on the basis of needs. Community involvement in planning has the potential to lead to changes in outcomes ([www.khanya-mrc.co.za](http://www.khanya-mrc.co.za)).

Based on the arguments noted above, this study argues that public participation is one of the instruments which can be used to decrease strain and conflicts over public policy decision-making. A number of methods do exist to successfully solicit public input. According to DPLG (2001) planners and participants can gain a variety of palpable benefits from an effective public participation process. However, the expectations of planners and the public must be comparable for the process to be effective (COGTA, 2000). It is crucial that any planning process incorporates public input in all its phases. Involving interested citizens will lead to better decisions. Community-based planning ensures that planning processes and public participation work together in the best interests of the community to promote development.

This study also argues that the nature of planning makes community/citizen participation a necessity rather than a matter of choice. Planning is therefore not a simple process of identifying problems and coming up with solutions, but one of balancing conflicting claims on scarce resources, deciding who is to benefit and who is to bear the costs of planning decisions, and of compromises between conflicting

interests (Matyumza,1998). It is for this reason that planning with communities rather than planning for communities is arguably the only way to go.

## **2.4 The Bottom-Up Approach**

The bottom-up approach focuses on people at the grassroots level; it allows the local community and local players to express their views and helps them to define the development course for their area in line with their own views, expectations and plans (Willies, 2005). It gives marginalised groups the power to influence decision-making processes since it values people as they are (Willies, 2005).

This approach ensures that local actors participate in decisions on strategy and in determining the priorities in their local area. Local actors include the community at large, economic and social interest groups and public and private representation of various institutions within the area (European Communities, 2006). One of the key aspects of the bottom-up approach is capacity building. In the first place, capacity building involves training, raising awareness of the need for participation and mobilising the local population to identify and analyse the strengths and weaknesses of the area. Secondly, it involves different interest groups in drawing up a local development strategy and, finally, the identification of clear criteria for the selection of appropriate actions (projects) to deliver the strategy at the local level (European Communities, 2006).

The other central feature of the bottom-up approach is that it aims to encourage local participation in every facet of development policy. Local players should ideally be involved at all stages of the process (viz. definition phase, implementation, evaluation and the revision of the programme) either through consultation or through partnerships (Willies, 2005). This participation can occur directly or indirectly through representatives of collective interests including professional organisations, women's groups, cultural associations etc (Willies, 2005).

The bottom-up approach is also associated with empowerment. According to Rowland (1997), empowerment entails active participation and full facilitation; people are empowered when they feel that they are capable of sustaining their lives (Rowland, 1997). Rowland (1997) defines empowerment at a rational level as a

person developing the ability to negotiate and influence the nature of a relationship and the decisions made within it; this is the level where people feel that they have gained the power to influence decisions that affect them.

The issue of empowerment is also central to community-based planning. A CBP empowers communities to interact and engage thoroughly on issues relating to their lives. It also ensures that communities' needs are taken into account in order to improve local government and service delivery. An effective CBP requires that all stakeholders are involved in the planning process from inception to implementation. These stakeholders include residents, CBOs, ward committees, municipal officials, traditional leaders, local interest groups and local businesses. Each has a particular role to play in all phases of the CBP.

## **2.5 Collaborative Planning Theory**

Habermans (1990) notes that collaborative planning theory was built on the idea of public involvement in planning (Habermans, 1990). It is based on the assumption that different preferences can be accommodated through open discussions to come up with shared goals and principles. Margerum (2002) states that collaborative planning seeks to bring major stakeholders together to address controversial issues in order to come up with more innovative solutions (Margerum, 2002). Margerum (2002) believes that an important factor influencing the effectiveness of collaborative planning is the quality of the process. He identifies criteria to assess collaborative practices. These include ensuring that the full range of stakeholders is involved, including public participation and involvement; establishing a common problem definition or shared tasks by engaging participants (jointly searching for information and coming up with new options); and reaching agreement through consensus (Margerum, 2002).

Gaffikin and Brand (2007) argues that collaborative planning is representative of public policy decision-making that is all encompassing and based on discourse among all stakeholders, which in turn produces consensual outcomes (Brand and Gaffikin, 2007). According to Gaffikin, collaborative planning implies a complementary relationship between traditional representative electoral politics and participatory democracy and it renounces the claim that the optimal decision-making is best achieved by professional experts within a bureaucratic and technical

mindset+(Brand and Gaffikin, 2007). The theory underpinning collaborative planning clinches other related terms such as communicative, argumentative or deliberative planning (Brand and Gaffikin, 2007). Tewdwr-Jones (1997) outlines three advantages of collaborative planning. Firstly, the participants are able to interact with planners; their indigenous knowledge is not simply taken for granted, which means that there is a mutual learning process where knowledge passes from the expert to the local people and from the people to the expert. Secondly, collaborative planning adopts more open styles of communication between the expert and the stakeholders. Thirdly, collaborative planning empowers people because they become part of the planning process; they are able to question and reason throughout the process (Tewdwr-Jones, 1997).

According to Healey (1997), collaborative planning has identified the significance of engaging with the all stakeholders. Healey highlights that it is preferable that this is not undertaken in separate sessions for each individual interest, but rather in situations that offer the potential of a conversational engagement (Healey, 1997). This study agrees with this formulation and further argues that community-based planning as a form of participatory planning is designed to promote community action and access to information and skills transfer. As such, a CBP does not happen on its own and planning is not something an expert does, but it is based on participation and the principles of political democracy (Khanya & DPLG, 2004). All stakeholders are invited to participate, including government, the community, business, labour and other sectors of civil society.

## **2.6 The Importance of Integrated Development Planning**

The White Paper on Local Government of 1998 points out that there is a need to change the manner in which municipalities operate, in order for them to achieve developmental local government. The DPLG (2000:19) introduced the concept of the IDP as a vehicle to achieve this mandate. According to the White Paper on Local Government of 1998, there are many reasons why it is important for municipalities to develop an IDP. These include the fact that communities confront numerous challenges that integrated development planning would help municipalities to overcome, firstly, by ensuring prioritisation and appropriate allocation of resources; secondly, by helping municipalities to develop a clear vision and strategies to deal with problems in their areas, and finally, by enabling municipalities to better

understand the dynamics that exist in their areas, thereby enabling them to meet the needs of communities and improve their quality of life (White Paper on Local Government of 1998).

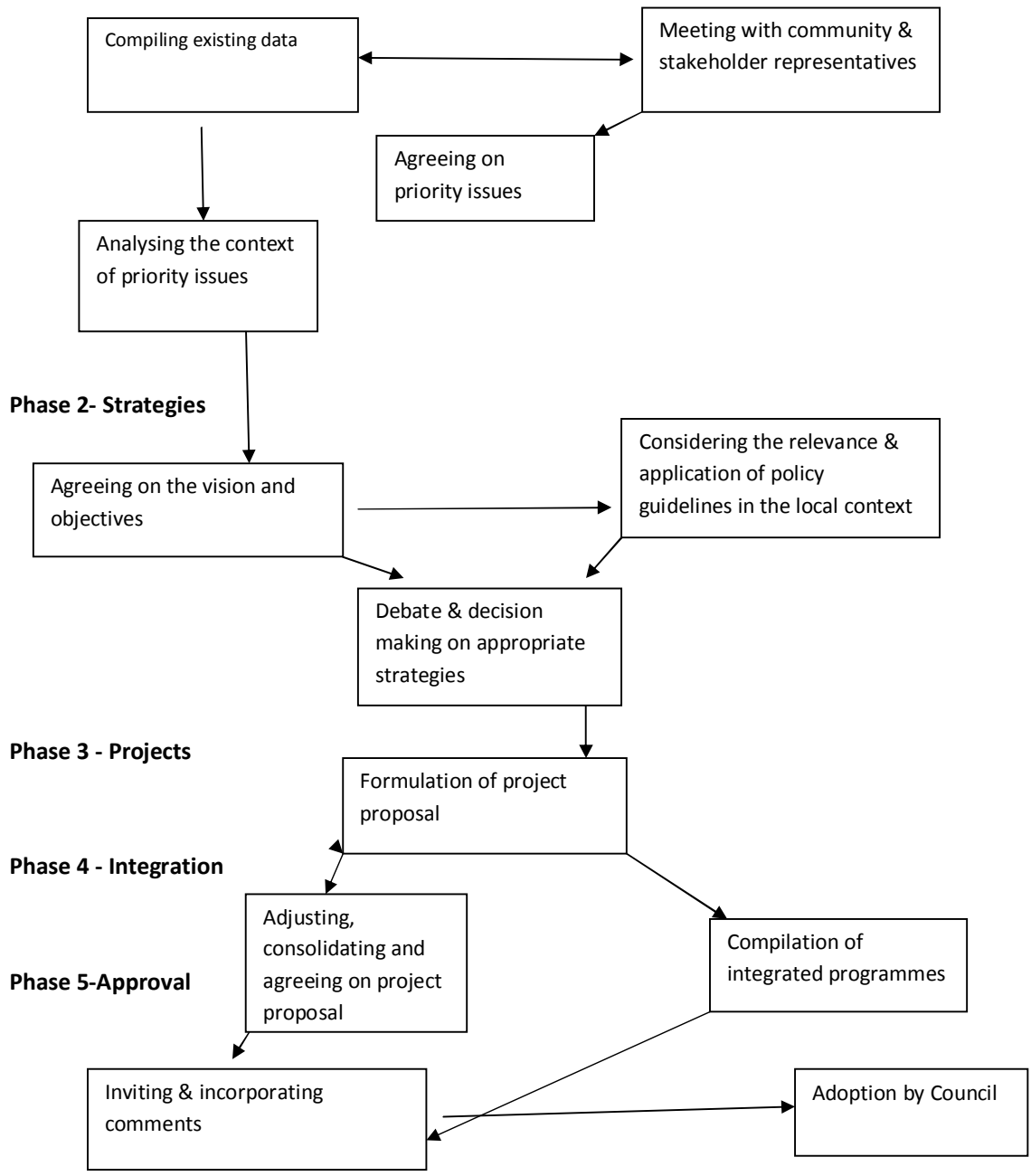
Geyer (2006) points out that, communities cannot be developed in isolation. The IDP is a process by means of which the planning attempts of different spheres of government and other institutions are co-ordinated at local government level. It is therefore important for municipalities to have an IDP since it will help to bring together various economic, social, environmental, legal, infrastructural and spatial aspects of a problem or a plan+ (Geyer, 2006). The IDP serves as an instrument for planning and the management of urban and rural areas.

### **2.6.1 Integrated Development Plan Process**

The IDP is an initiative spearheaded by the Department of Provincial Local Government. District and Local Municipalities are required to develop an IDP that sets out their development vision and the projects to be undertaken in line with this vision over a period of five years. The IDP process consists of five phases which are analysis, strategies, projects, integration and approval ([www.kzncogta.gov.za](http://www.kzncogta.gov.za)). Figure 4 below shows the linkages between these phases.

**Figure: 4 A Diagrammatic Overview of the IDP Process**

**Phase 1- Analysis**



Source: [www.kzncogta.gov.za](http://www.kzncogta.gov.za)

The IDP institutional arrangement comprises of different role players with different responsibilities. These are shown in the table below.

**Table: 1.The roles and responsibilities of different actors in the IDP process**

ROLEPLAYERS	ROLE AND RESPONSIBILITIES
Municipal Council	<ul style="list-style-type: none"> <li>• Deals with approval of IDP</li> <li>• Monitoring</li> </ul>
Councillors	<ul style="list-style-type: none"> <li>• Assisit in ensuring that the integrated development planning process is linked to their constituencies/wards</li> <li>• Organising public participation</li> </ul>
Executive Committee/Executive Mayor/Municipal Manager	<ul style="list-style-type: none"> <li>• Makes decision on the planning process: monitor planning process</li> <li>• Provides an overall management &amp; co-ordination - responsibility to make sure that all actors are involved</li> </ul>
IDP Manager	<ul style="list-style-type: none"> <li>• Deals with the day to day management of the drafting of the IDP on behalf of the Municipal Manager (to ensure a properly managed and organised planning process)</li> </ul>
IDP (Steering) Committee/Task Team	<p>Discuss and deals specifically with the contents of the IDP</p> <ul style="list-style-type: none"> <li>• By providing inputs related to the various planning steps;</li> <li>• Summarising/processing inputs from the participation process;</li> <li>• By determine applicable mechanisms &amp; procedures for alignment relevant to local context;</li> <li>• Further discuss or comment on the inputs from other specialists</li> </ul>
IDP Technical Committee	<p>Monitor implementation and measure against key performance indicators (meets only at mid-year review)</p> <p>Reports to Council as a Section 79 committee</p>

Source: [www.kzncogta.gov.za](http://www.kzncogta.gov.za)

### 2.6.2 The Role of the Community in the Integrated Development Plan

The Municipal Systems Act No 32 of 2000 compels municipalities to prepare an IDP. The Act sets out the core components of the IDP and states that members of the public must participate in its drafting, review and adoption. Chapter 4 of the Act requires that a municipalities %develop a culture of municipal governance that

complements formal representative government with participatory governance+ (Municipal Systems Act No.32 of 2000). Furthermore, chapter 5 notes that a municipality should foster and establish favourable conditions to enable the participation of the local community in municipal affairs. This includes the formulation, implementation and review of its IDP (Municipal Systems Act, No.32 of 2000). The community may be consulted or required to participate in any programme of project that could have an impact (either negative or positive) on their lives. For example, if one of the projects identified in the IDP is the installation of water reticulation pipes that might require the relocation of some for the public good, the municipality must involve and communicate with the community before implementing the project, due to the fact that some households will be affected by it.

Community members that can play a role in the IDP are not restricted to those that reside in that particular area, but include neighbouring businesses and labour. The private sector has certain resources like capital which gives them an advantage over other groups participating in the IDP. The sector's ability to create jobs or move capital elsewhere if they are not happy with government policies, gives business the power to influence government decisions in their favour (Howlett and Ramesh, 2003: 71). In contrast, labour uses its collective organisation through trade unions to influence policy making (Howlett and Ramesh, 2003: 73). Community involvement in the IDP yields benefits for both government and other participants through creating opportunities for the IDP to respond to the needs of the beneficiaries and community ownership of government decisions and policies (Glover, 2003). It also empowers communities; access to information is seen as a key factor in promoting empowerment. Empowered citizens can validate local knowledge and offer alternatives to the problems at hand (Fischer 1993, cited in Sejane 2002: 20).



## **2.7 Community-Based Planning Process**

The community-based planning process comprises of five phases, namely, preparation; gathering information; consolidating information; planning the future; preparation for implementation; and implementation and monitoring. The sub-phases are outlined below.

### **2.7.1 Phases of the Community-Based Plan**

#### **2.7.1.1 Phase 0: Preparation**

This phase comprises of a pre-planning meeting and the launch of the community participation element. The pre-planning meeting is held one or two weeks before the main planning week. The facilitator identifies social groups, vulnerable groups and service providers. A discussion is held with community representatives, including the councillor, ward committee, traditional leaders and other relevant stakeholders. The objective is to brief these representatives on the planning process to be undertaken and to identify key persons in the ward that can be interviewed concerning ward development.

The community launch also takes the form of a group discussion; participants are drawn from the community, including representatives of social groups.

#### **2.7.1.2 Phase 1: Gathering information**

The information that is gathered during this phase is secondary information relating to the ward; it is collected by facilitators and community representatives from community members. This phase also involves interviewing key resource persons in the ward. The objective is to understand the overall municipal priorities as well as the community and the issues in the ward (GTZ & DPLG, 2001).

#### **2.7.1.3 Phase 2: Consolidating information**

This phase builds on the data collected in the first phase by analysing and consolidating the data. Committee members and key resource people conduct a strengths, weaknesses, opportunities and threats (SWOT) analysis. The objective is to summarise the spatial and environmental SWOT of the area (GTZ & DPLG, 2001). Once the SWOT is complete, a larger meeting with other community members is held and the consolidated data is presented so as to review, cross check

and verify the information. The community is then asked to prioritise five outcomes that will form part of the ward development plan (GTZ & DPLG, 2001).

#### **2.7.1.4 Phase 3: Planning the Future**

This phase concerns the reconciliation of the prioritised outcomes. The CBP facilitators; ward committee members and working group focus on the formulation of the ward plan. Community members are also part of this process. The consolidated information is synthesised into a vision, statement of objectives, strategies, and projects and activities to improve the community's standard of living; this constitutes the ward plan (GTZ & DPLG, 2001).

#### **2.7.1.5 Phase 4: Preparing for Implementation**

In this phase, proposals are developed based on the projects identified by the community for submission to the IDP. By the end of this phase, the ward committee and the working group should have prepared a summary of projects/activities in the form of a plan that they submit for funding to the municipality or other service providers and to be included in the IDP. The ward committee also develops a project concept sheet for each project which serves as the motivation for each project (GTZ & DPLG, 2001). Finally, the project plan needs to be translated into an action plan for implementation; this is the ward action plan that includes the vision, objectives and strategies for the municipality. The action plan spans three months and outlines what needs to happen at local level to take the plan forward. This is done by the ward committee with the assistance of other community representatives. The broader community group meets after the plan has been developed to review and understand the plan before it is submitted to the municipality (GTZ & DPLG, 2001).

#### **2.7.1.6 Phase 5: Implementation and Monitoring**

Ward committee members monitor the implementation of the ward action plan and other municipal projects at their regular ward committee meetings (GTZ & DPLG, 2001). The plan should also be reviewed at a public meeting attended by representatives of the district and local municipality.

### **2.8 Linkages between the Integrated Development Plan and the Community-Based Plan**

The integrated development planning process is coordinated by the municipality, while community-based planning is an initiative of the ward and the municipality.

Community-based planning is owned by the ward and is facilitated through the ward committee (DPLG Work Book & Guide, 2006). The link between the community-based planning exercise and the IDP lies in prioritising needs; the municipality and other stakeholders should make budgets available to ensure the implementation of local projects identified by the community.

The CBP seeks to address the challenges of the past through planning, coordinating, and monitoring all local ward plans. The government uses IDPs to address inequality and ensure that development responds to the needs of the community. The CBP is therefore a process that facilitates community responses to the IDP (DPLG Work Book & Guide, 2006). The IDP assesses existing conditions and available resources in order to find suitable solutions that address the needs of the community. Linking the CBP with the IDP ensures that the latter is grounded in the local environment and gives meaning to the requisites of the Municipal Systems Act No 32 of 2000. According to a DPLG Work book (2006), community involvement in the IDP process facilitates a shift from citizens being passive consumers of services, to active citizens that are able to participate in meeting their own development priorities+ (DPLG Work Book & Guide, 2006). The CBP encompasses processes that make municipal plans more relevant to local conditions. These processes are outlined in the following section.

## **2.9 Advantages of Community Participation**

The definition of community participation was set out in the previous chapter. Since community-based planning relies heavily on participation by different stakeholders, including community members, it is important to note the advantages of community participation in a programme or project.

Oakley *et al.* (1991: 17) note that community participation increases people's sense of control over issues that affect their lives and promotes self-confidence and self-awareness+ (Oakley *et al.*, 1991). This enables people to become aware of the circumstances around them and their own ability and potential to transform it (Gran, 1983). Community participation empowers community members by creating a platform that encourages the exchange of ideas (Theron, 2005b). It encourages community members to actively participate in planning and decision-making as it

aims to dismantle the constraints that limit the participation of marginalised citizens (Theron, 2005b).

Another advantage of community participation is that it ensures that projects are developed in accordance with people's needs. This improves the outcomes of projects through the sharing of costs, and increased efficiency and effectiveness (Theron, 2005). Through community participation, people themselves are responsible for the project and there is equality in decision-making, resource mobilisation and benefits regardless of race, gender, income and age (Oakley *et al.*, 1991). If the projects are developed on the basis of the needs of the people, community responsibility is encouraged. As such people are more likely to be dedicated to plans if they have involved in preparing them (Kok and Gelderbloem, 1994).

Furthermore, Baum (1999) observes that community participation illustrates to communities how to resolve conflicts and to be open to different perspectives to be heard. This promotes awareness and the ability for people to help themselves (Baum, 1999: 187). Communities are able to analyse their own situation, organise themselves as a strong group and work in a creative manner towards changing society and building a new reality (Oakley *et al.*, 1991). Community members acquire the relevant skills to identify local resources, mobilise and become less dependent on the state. This is typical of the bottom-up approach (Midgley *et al.*, 1986). However, disadvantages are also associated with community participation. These are discussed below.

## **2.10 Disadvantages of Community Participation**

Certain factors can hamper the community participation process in several ways. Firstly, community participation is costly in terms of time, money and skills (Taylor, 1994), and it is often difficult to determine the degree to which projects are participatory (Garcia-Zamor, 1985:25). In most cases, government is motivated by a sense of urgency in achieving their pre-determined objectives and timeframes. In working with communities, government officials are most probably going to experience a level of frustration by what could be perceived as a lack of progress. On the other hand, community members can become irritable and/or confused by expectations of the facilitator (Garcia-Zamor, 1985).

Many government, development practitioners, political and legal structures do not necessarily make space for community participation (Kajembe *et al.*, 2002). Most community development programmes are generally identified by government or NGOs and the involvement of communities is limited to the implementation level. This results in these programmes not meeting expectations and real community needs (Kajembe *et al.*, 2002). From the perspective of practitioners and legal structures, community participation can bring dormant conflicts to the surface that can delay project initiation while increasing demands on personnel involved in a project together with the managers (Kok and Gelderblom, 1994).

Illiteracy is another factor that inhibits community participation. Illiterate people may be at a disadvantage during professional and technical communication during the community participation process (Theron, 2002). Simultaneously, particular groups within the broader community who have important insight into economic development may be marginalised or ignored due to culture and class (Theron, 2002).

The advantages and disadvantages of community participation should always be borne in mind during any community development programme or project. Government departments, NGOs and the private sector need to be aware of these issues as this will enable them to plan accordingly and minimise disadvantages in future programmes. This study takes some of these concerns into account and further argues that community participation should be a collective effort rather than the obligation of a specific group of stakeholders. The community should be encouraged to take collective action aimed at sustainable development and be empowered to take the reins and exert a level of control of how things are done (Theron, 2005). Community participation should empower people's engagement to the point where they are involved in the identification and endorsement of decisions either directly or by recognised representatives (Theron, 2005). This study emphasises the need for transparency; even if people disagree with the outcome of the process, there is a need for them to understand how decisions were reached and the reasons behind these decisions (Theron, 2005). Conditions should be created to foster collaborative dialogue on issues that are imperative to the community. Everybody should be given an equal chance to contribute in decision-making (Hibbard and Lurie, 2000).

## **2.11 Disadvantages of the absence of Community Participation**

Community participation is important no matter the size of the community, as without community agreement, a project may never be implemented or might not be accepted once it is complete (Kumar, 2002). Community participation can be used not only to generate ideas for a project but also to improve an existing project (Kumar, 2002). If there is no community participation, the community will not take responsibility for or ownership of the project. Community members who participate will better understand the process and are more likely to support a development they had made input into.

Many municipalities are faced with vandalism of properties or assets and service delivery protests. In most cases, the reason is the lack of communication between municipal officials, development practitioners and the community. Furthermore, many community development programmes are identified by the government or NGOs and community involvement occur only at the implementation level. As a result, they do not meet community needs and expectations, which leads to vandalism and protests (Taylor, 2003).

According to Smith (2003), community participation provides a platform for residents to be advised about civic affairs and to be involved in making decisions that have an impact on their community (Smith, 2003). If there is no meaningful community involvement, there will be no flow of important information, the community will distrust the system and the policy or project process will be marred by conflict (Smith, 2003).

The other disadvantage of the absence of community participation is that the community will not be empowered as people will feel that they were not involved in the identification and endorsement of decisions made by the municipality or professionals (Taylor, 2003). As such the decision-making process will not be supported and endorsed by everybody as they were not involved in the process. Transparency will also be affected if there is no community participation. Transparency promotes community participation because even if people disagree with the outcome of the process, they will have an understand of how these decisions were reached and the reasons behind each decision made (Stoker, 1997).

## **2.12. Legislation and Policy Framework on Community-Based Planning**

### **2.12.1 Introduction**

This section examines the policy and legislative framework that guides the community-based planning approach. In South Africa, community participation is shaped by the Constitution and supported by other relevant legislation. The legislative framework on CBP comprises of four main documents: the South African Constitution (1996), the White Paper on Local Government of 1998, the Municipal Structures Act (No. 117 of 1998), and the Municipal Systems Act (No.32 of 2000). The laws outline the manner in which local government should ideally be operating and sets out the mandate pertaining to how municipalities should be interacting with the communities they serve.

### **2.12.2 Constitution of South Africa (1996)**

Section 152 of the Constitution states that, the objectives of local government are to promote the participation of communities and community organisations in matters pertaining to local government. This means a cooperative approach, which indicates an effective partnership between the local authority and their communities (Section 152, Constitution). According to Mogale (2005), the Constitution states that, the institution of local government should encourage prospects for participation by allocating additional power and resources at a more easily persuasive level of government (Mogale 2005). In Section 195 (e), it is stated that in terms of the principles of basic values and principles that govern public administration, people's needs must be responded to, and the public must be encouraged to become involved in policy making (Constitution of South Africa, 1996). Community-based planning is one of the mechanisms to comply with the requirements of the Constitution by embedding participation in planning processes and management at ward level.

### **2.12.3 White Paper on Local Government of 1998**

Section 3.3 of the White Paper states that as municipalities as participants in the policy process should develop processes to ensure community participation in the initiation of policy formulation and the monitoring and evaluation of decision-making and implementation. The following methods may assist in achieving this:

- Forums to permit organised formations to instigate policies and/or impel policy formulation as well as participate in the Monitoring and Evaluation; and
- Participatory budgeting exercises aimed at linking the community priorities to capital investment projects.

The White Paper defines developmental local government as government that is committed to working with individuals and groups within the community to establish sustainable ways to meet their social, economic and material needs and to in turn improve the quality of their lives (White Paper on Local Government of 1998). Bekker (1996) argues that this requires high level interaction between local authorities and their communities to ensure that all stakeholders are at the very least advised about the expectations of the community and the ability of the municipality to deliver services (Bekker, 1996: 32).

The IDP is one of the developmental local government tools outlined in the White Paper. The aim of the IDP is to harmonize the work of the local government and other spheres of government in a coherent plan which is aimed at improving the quality of life of all through service delivery (DPLG, 2000). It is based on community needs and priorities; through the IDP the community has the opportunity to participate in identifying their needs. The CBP is one of the tools that feed into the content of the IDP.

#### **2.12.4 Municipal Systems Act No. 32 of 2000**

The Municipal Systems Act No 32 of 2000 states, that, municipalities must include local communities in the development, implementation and review of their performance management systems. It goes on to say that municipalities should allow communities to participate in establishing suitable key performance indicators and targets (Municipal Systems Act, No 32 of 2000). The Act makes provision for community involvement in local government planning and budgeting processes as well as monitoring and performance review activities. It requires municipalities to build the capability of local communities to effectively participate in the affairs of the municipality, interact with councillors and staff in order to promote community participation (Municipal Systems Act, No 32 of 2000). The Act identifies several ways in which this can be achieved, including the preparation, implementation and review of IDPs. This requires a method and systematic approach to ensure that the



community's voice is heard. Participatory or community-based planning empowers communities to interact and engage with appropriate poverty reduction interventions in their communities, resulting in improved local authorities and other agencies' plans.

With regards to public participation, the Municipal Systems Act, No 32 of 2000 highlights that municipalities must adopt a preplanned programme that specifies timeframes for the different stages in the public participation process (Municipal Systems Act, No 32 of 2000).

Section 17 of the Act talks to the creation of conditions that can enable participation by the disabled, illiterate and other disadvantaged sections of communities. The Municipal Systems Act makes many references to participation, including Section 29 (b) of the Act that states that the process to be followed in developing an IDP must through appropriate mechanisms, processes, and procedures allow for:

- The local community to be consulted on its development needs and priorities
- The local community to participate in the drafting of the IDP.

(Municipal Systems Act No.32 of 2000).

The methodology for community-based participation provides municipalities with the means to reinforce the participatory nature of their IDP, thereby meaningfully meeting the requirements of the White Paper and the Municipal Systems Act. It also helps to promote ward level plans and community action (Khanya & DPLG, 2000).

The White Paper for Local Government of 1998 and the Municipal Systems Act no 32 of 2000 recognise that participation is one of the cornerstones of democracy and that it has equal benefit for all at municipal level, that is, civil society, politicians and officials. It is based on the understanding that, consultation plays an important role in ensuring that more appropriate decisions are made based on the real needs of the community; the more informed people are the more they will commit to making the IDP and other council plans work; continual interaction with the community through feedback and reporting promotes accountability; and development and improved

access to services requires a partnership with all the stakeholders (Municipal Systems Act, No 32 of 2000).

Participation is viewed as a two-way process; the local municipality is responsible for establishing the necessary processes to enable consultation and participation to take place while, at the same time, Section 5 of the Municipal Systems Act no 32 of 2000 outlines the rights and responsibilities of members of the community. The rights of community members include:

- The right to contribute to decision-making in the municipality;
- The right to be informed of the municipality's decisions; and
- The right to receive a prompt response.

The responsibilities of members of the community include:

- Observe the municipality's procedures;
- Pay service fees and rates promptly; and
- Comply with municipal by-laws (Section 5 of the Municipal Systems Act No 32 of 2000).

#### **2.12.5. Municipal Structures Act, No 117 of 1998**

This Act outlines the structures of local government. It defines a ward as a unit for participation in the municipal area. Each ward will be represented by a ward committee. Chapter 4 (part 4) of the Act requires that municipalities establish ward committees with the objective in mind to enhance participatory democracy in local government by encouraging community participation through the ward committees in municipal affairs (Municipal Structures Act no 117 of 1998).

Section 19 of the Act requires a municipality to endeavor to achieve the objectives set out in section 152 of the Constitution, namely, to develop a mechanism to engage with the community and community organisations as part of performing its functions and exercising its powers (Municipal Structures Act, No 117 of 1998).

Thus far, this chapter has discussed the different theories relating to the study as well as the legislation pertaining to community-based planning. The processes and

the concepts linked to both the CBP and IDP were discussed at length. It is clear that community participation is central to both IDP and CBP processes.

## **2.14 SOUTH AFRICAN CASE STUDIES**

### **2.14.1 Relationship between the Community-Based Plan and the Integrated Development Plan**

The relationship between the CBP and the IDP emanates from the fact that community-based planning is a planning approach based from a ward level that seeks to deconstruct the municipal IDP at ward level (DPLG, 2000). Community-based planning results in municipal plans becoming more significant to local conditions (DPLG, 2000). The IDP has its origins in the impact of the social inequalities that led to disparities in development and service delivery. Government uses the IDP to address these inequalities and ensure that development responds to the needs of the community (DPLG, 2000). Community-based planning facilitates a community response to the IDP.

Mangaung Local Municipality is located in the Free State province, in the central interior of South Africa. Community-based planning was implemented by Khanya and DPLG in all 43 municipal wards, ranging from rural areas to central business districts (CBDs), informal settlements, commercial farming areas and predominantly white affluent areas. According to the Speaker of Mangaung Municipality, the aim was to strengthen the municipal planning process, since they had recently created ward committees. Community-based planning bridged the gap between the IDP and the community and improved the relationship between the community and local government. Extensive community action resulted from the CBP and feedback was provided on the integration of the community plan into the IDP and overall municipal planning. A two-day situational analysis was conducted using participatory tools and techniques with various groups within the community (Khanya & DPLG, 2004). These sessions progressed into the prioritisation of the outcomes derived from various groups, and thereafter planning for the top five outcomes. The plans highlighted community engagement and actions, and a community action plan for implementation (Khanya & DPLG, 2004). Project proposals were developed for inclusion into the IDP. Prior to the CBP there were no ward plans; ward planning changed the course of the municipality's IDP. The CBP furthered the thought behind

the development programmes and some particular projects to be included in the IDP (Khanya & DPLG, 2004). According to the Executive Mayor of Mangaung Local Municipality, Cllr Itumeleng Mokoena, *“Community-based planning has resulted in a changed direction for Mangaung in their Integrated Development Plan and a release of tremendous community energy to address priorities of their wards”* (Mokoena, November, 2002).

#### **2.14.2 The Role of Ward Committees in the Community-Based Plan**

The CBP is prepared by local people for their ward. It is owned by the community and ensures active community participation in its implementation (AICDD, August, 2005). The ward committee plays a vital role in ensuring and guaranteeing community participation. The ward committee is the means to communicate any matter pertaining to the ward to the ward councillor and to the municipality (AICDD, August, 2005). The ward committee facilitates formal, impartial communication networks as well as a co-operative collaboration between the community and the council (AICDD, August, 2005).

In the case of Mangaung Municipality, ward committees played a vital role in promoting community involvement to ensure that community priorities and needs were taken into account in municipal planning. This was done through the ward planning process where ward committees, with the assistance of other community members, helped to develop new strategic priorities for the municipality, which were then included in the IDP (Khanya & DPLG, 2002). Ward committees also helped to compile the IDP by providing community input and a needs assessment through the CBP (Khanya & DPLG, 2002).

At Ingwe Local Municipality, in Harry Gwala District Municipality, in KwaZulu-Natal province, the CBP was facilitated by Rasmoo Development Consultants in ward 9. This was the first pilot project for DPLG. The ward committee played a central role in the formulation of the CBP. Ward committee members helped facilitate meetings with community members during the CBP process and assisted the participants when they were given tasks in their groups to report their findings back to the plenary (Rasmoo Development Consultants, 2009).

## **2.15 INTERNATIONAL CASE STUDIES**

### **2.15.1 Role players in Community-Based Planning**

Community-based planning does not happen on its own, but requires that all stakeholders participate, including government, community, business, labour and other sectors of civil society.

In Ghana on the West Coast of Africa, CBP was conducted by Khanya in October 2004, as a pilot project with the aim of using the first generic CBP Manual developed by the DPLG with few adaptations to suit local conditions. The DPLG reported that, through the CBP process, Ghana had for the first time in the history of decentralisation, had developed their own development plans through Area/Town Councils (Khanya & DPLG, 2004). This furthered a sense of ownership of the plans and the development being undertaken in the area; and increased their commitment to the development of communities within the area (Khanya & DPLG, 2004). The CBP process together with the involvement of parastatal organisations, NGOs, CBOs and private organisations made the plan all-inclusive and gave the stakeholders a comprehensive understanding of the vision and their obligations towards its achievement (Khanya & DPLG, 2004). There was a high level of collaboration among the stakeholders in implementing the plan, demonstrated by the fact that a number of activities have taken place since the plan was developed (DPLG & Khanya, October, 2004). Representation of the whole community as reflected in the plan was achieved through a very careful identification and selection of representatives from the economic, social, political sectors, and representatives of vulnerable and marginalised groups (DPLG & Khanya, October, 2004). As a result of the involvement of different stakeholders, there were some improvements in services like education, electricity, telecommunications, roads and sanitation. According to the report by Khanya & DPLG, the participatory element of the CBP process created significant community action and members of the community welcomed the Plan (Khanya & DPLG, October 2004). The lesson learnt by the community was that CBP enabled them to become actively involved in planning for themselves as opposed to having plans imposed on them as in the past. The community was more aware of their strengths and weaknesses and thus better equipped to structure appropriate plans on the basis of their knowledge of the

resources at their disposal (Khanya & DPLG, October 2004). CBP also has also served to enhance a sense of unity amongst communities and those in the Town/Area Council (Khanya & DPLG, October 2004).

### **2.15.2 Community Participation in the Community-Based Plan**

The CBP methodology provides municipalities with the appropriate channels to strengthen the participatory elements of their IDP. Participation takes place through specific structures, including the representative forum, project task teams and strategy events (DPLG, 2000).

In Uganda which is located in Eastern Africa, west of Kenya, CBP was undertaken by DPLG & Khanya in November 2002 with the aim of placing communities at the heart of local development planning processes. The local government structure in Uganda is very different from South Africa, with district local government providing all developmental services. There are no provinces, but there is a lower level local government called subcounty, which is much like the old Town Regional Council (TRC) and TLC (DPLG & Khanya in November 2002). The level below the subcounty is known as the parish with a population of between 3000 to 5000 people, was chosen as the appropriate level for CBP (Khanya, SALGA & DPLG, 2002). Responsibility for producing a Manual for Parish Development Planning (*similar to the IDP in South Africa*) was restricted to the parish chiefs and local council executives, but with the introduction of the CBP by Khanya & DPLG, a participatory process was utilised to develop a manual to guide intensive planning at parish level. Ten members of each village were invited by the parish chief to represent their village at the parish planning forum. Disadvantaged and other interest groups were specifically encouraged to participate (DPLG & Khanya, November 2002). This demonstrates a change in the planning mind-set. The strength of the CBP approach lies in broad participation of disadvantaged and other interest groups in the parish planning process (Ibid). This has led to the formulation of realistic visions and goals, and the directed identification of priority issues that require attention through utilising available opportunities and resources (Ibid). In addition, as the perception of ownership of the plan prevails and gains popularity, participation in implementation is heightened, and provides a foundation for the sustainability of projects and programmes (DPLG & Khanya, November 2002).

Based on the above, this study will argue that linking the CBP and IDP creates the opportunity for concretising the IDP in the local context (IDP Guide Pack). Two basic methods can be applied to link the CBP and IDP processes. The first refers to utilising the outputs of either process (i.e. the ward plan and the IDP) to add value the planning activities occurring in the other process, while the second ensures that participants in the CBP process are represented and streamlined into the IDP process through its structures and processes that currently exist as per the methodology contained in the IDP Guide Pack, specifically the IDP Representative Forum and the project task teams (DPLG etc., 2005).

The implications of the above case studies and theories for Vulamehlo Municipality are as follows. In some of the case studies, facilitators were used in the CBP process. While ideal, given the short timeframe, using facilitators for this study of Vulamehlo Municipality would have been impractical. This is due to the fact that they would have required training prior to the study. The CBP will be integrated into the Vulamehlo IDP and the municipal budget. This plan can also be used to lobby for funds for other projects. Feedback to the community and stakeholders is crucial. Clear lines of communication should be developed between local government and the community and communities must be kept informed on progress in implementing the plan.

In concluding this chapter stated clearly that planning is a joint initiative between stakeholders, community and other sectors of the civil society. This chapter further touches on the community participation as a key to the community based plan. Case studies from Ghana and Uganda clearly indicated the above mentioned points. This chapter concluded by pointing out that it critical to link the CBP and the IDP.

## **CHAPTER THREE: HISTORICAL BACKGROUND TO THE CASE STUDY**

### **3.1 Introduction**

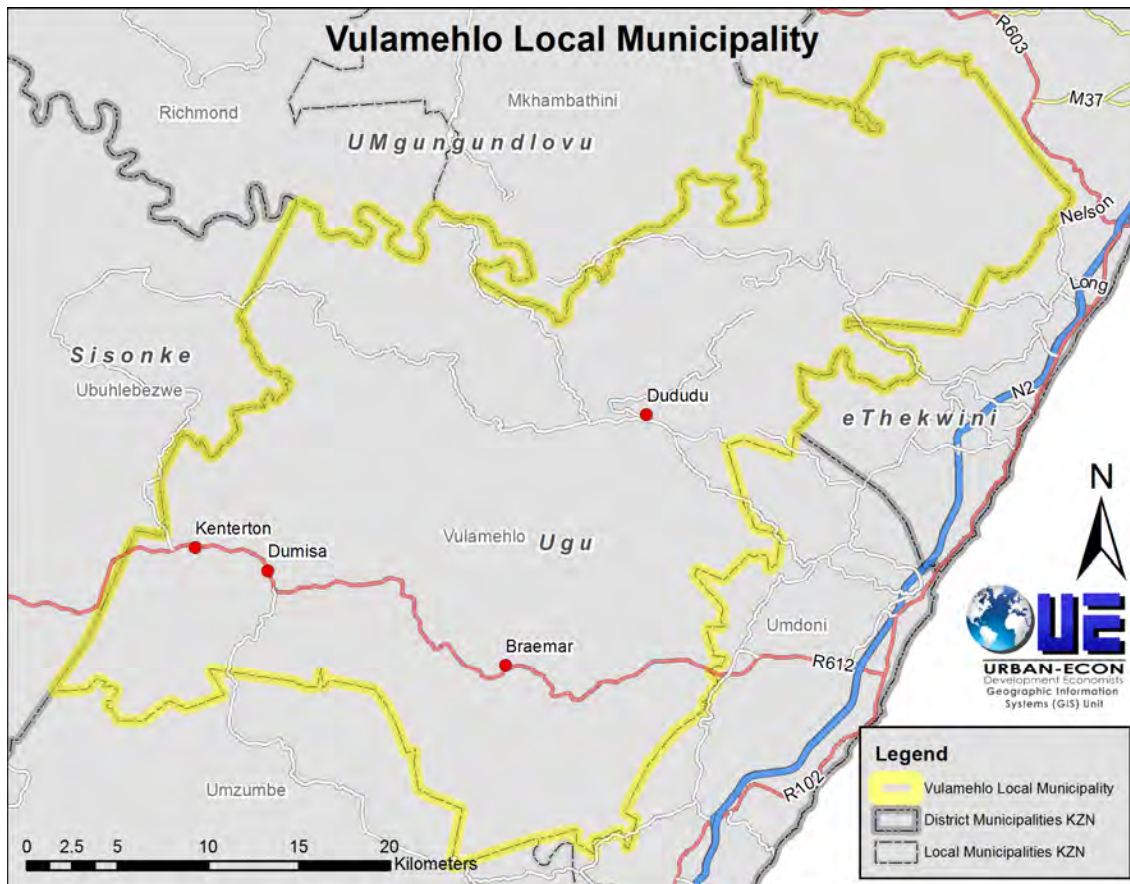
This chapter highlights the historical background of the study area. It examines the geographical location, socio-economic issues including the amenities and facilities located in the area, community profile.

### **3.2. Background of the Case Study**

Vulamehlo Municipality is situated on the South Coast of the province of KwaZulu-Natal under Ugu District Municipality. It is one of six local municipalities that fall under Ugu District which are Umzumbe, Eziqoleni, Hibiscus, Umuziwabantu, Vulamehlo and Umdoni. It is surrounded by Umdoni to the east, Mkhambathini and Richmond to the north and Ubuhlebezwe to the west. Vulamehlo Municipality was formed in year 2000 and has ten wards (Vulamehlo IDP, 2013/2014). The municipality consists of eight traditional areas that falls under the Vulamehlo House of Traditional Leadership. These areas comprised of Izimpethu Zendlovu, KwaLembe, Mandleni, AmaNyuswa, Qiko, Zembeni, KwaCele and Ukuthula (Vulamehlo IDP, 2013/2014). The other three traditional houses which form part of the Umbumbulu Traditional House namely Thoyana, Maphumulo and Isimahla traditional houses that are also part of Vulamehlo Municipality (Vulamehlo IDP, 2013/2014). Three nodal areas have been identified in Vulamehlo. The main nodal are is Dududu that serves as the administrative centre for municipal and government services. The second order nodes are Kenterton and Imfume situated in the south and north of the municipality. Imfume is one of the oldest mission stations on the South Coast and is accessible via the P728 and the R102 and close to the N2. Kenterton is located on the west of the municipality and adjoins commercial agriculture land. The third order nodes are Braemar and Odidini. Braemar is located along the R612 and has a small cluster of essential services like a petrol station, a clinic and taxi stop that service surrounding farms and farmworkers (Vulamehlo IDP, 2013/2014).



**Map 1: Spatial Location of Vulamehlo**



**Source: Urban Econ: GIS**

The area is characterised by commercial agriculture and traditional settlements. According to the Vulamehlo IDP, approximately 48% of the land is falls under communal ownership through traditional authorities and is administered together with the Ingonyama Trust Board. The rest of the land is privately owned with the exception of Vernon Crookes Nature Reserve that is managed by KZN Ezemvelo Wildlife (Vulamehlo IDP 2013/2014).

In 2011, Vulamehlo Municipality had a population of 77 403, representing 10.7% of Ugu's population and 8.5% of KwaZulu-Natal's population (Vulamehlo IDP, 2013/14). Vulamehlo's population is lower than the other five local municipalities under Ugu District. The municipality's population is dominated by Black Africans, comprising 98.90% of the total population (Vulamehlo, IDP 2013/14). The 2011 Census found that the majority of the population in the municipality are females making up (53%), with 47% males (Stats SA, 2011). In terms of age, the majority of population falls into

the 10-19 years category. This shows that the majority of the population (49.1%) are still of school-going age. There are only 57.6% of the population that falls under the working age (16-65 years) (Stats SA, 2011). The youth (16-35) make up 32% of the population, while the second largest group (26%) is between the ages of five and 15. It should be noted that this category is the dependent group. Thirteen per cent of the population is 0-4 years old, while 12% falls into the 36-49 age category; 12% into the 50-69 category; 4% are 70-89 years old and 189 people (0.2%) are 90-120 years old (Stats SA 2011). The majority of the population (1 062) within the municipality is found in Ward 5 (14%) which is Mkhunya Ward. Mkhunya is a Traditional Authority area situated in the north-west corner of the municipality. The Ward 3, which is Mfume area, and ward 7 have the smallest percentage of the population at 8% (Stats, SA, 2011).

While 16% of the population in Vulamehlo Municipality has had no schooling, 68% has education levels between grades 0 and 11. There are only 14% of the population that has reached Grade 12 (matric). Only 2% of the population has a post-matric qualification, either a diploma, bachelors degree or diploma or honours degree (Vulamehlo IDP, 2013/2014). The low levels of education have a huge impact on the skills levels of the working age population and have contributed negatively on the economic growth and development of the municipality (Vulamehlo, IDP 2013/2014). The other factor contributing to the low levels of education is that there are no tertiary institutions within the municipality. However, there are FET colleges that offer technical training.

Only 8% (5 895) of the economically active group are employed, while 6 551(8%) of the total population is unemployed. The other 5 165 (7%) people are discouraged work seekers while 26 447 (34%) people are not economically active. The 43% in terms of Stats SA 2001 is not applicable (Vulamehlo, IDP 2013/2014). The table below indicates employment profile by age group.

**Table: 1 Employment Profile by Age Group**

<b>Profile</b>	<b>0-10</b>	<b>11-19</b>	<b>20-34</b>	<b>35-49</b>	<b>50-69</b>	<b>70-120</b>
<b>Employed</b>	-	228	2,423	2,186	1,057	-
<b>Unemployed</b>	-	811	3,673	1,484	583	-
<b>Discouraged workseekers</b>	-	521	2,813	1,320	512	-
<b>Not Economically Active</b>	-	7,945	7,706	4,999	5,797	-
<b>Not Applicable</b>	21,208	7,323	-	-	1,619	3,195

Source: Stats SA 2011

The table shows that a high percentage of people ranging between the ages of 20 and 34 are not economically active. This is not good for the economy of the area. This age group should be employed or self-employed. In terms of income levels, it is indicated in the IDP that the total number of households with no income is 31 766 while on the other side the number falling into the lowest three categories, R 0-R1 600 per annum, is at 34 219. These individuals fall into the indigent category (Stats, SA 2011).

Facilities available within the municipality range from community halls built by the municipality to health facilities provided by the Department of Health. All ten municipal wards have a hall that caters for community needs. The municipality is in the process of ensuring that sports facilities are also available in all wards; not all wards have a fully functional sports complex or field. The Department of Arts and Culture is currently constructing a public library in the municipal building that will be completed before the end of 2015 (Vulamehlo IDP, 2013/2014). It is believed that this will have a positive impact regarding the skills development and the lives of the youth within the area. It is indicated in the municipality IDP for 2013/2014 that there is no hospital within the municipality and the only referral district hospital is the GJ

Crookes Hospital in Scottsburg. According to the municipality IDP, the Department of Health has made 26 mobile points available for four existing fixed clinics, two of which operate seven days a week with the other two are only in operation five days a week (Vulamehlo IDP, 2013/2014). The department plans to have all four clinics operational 24 hours a day, seven days a week. The municipal IDP notes that the HIV/AIDS pandemic possess a huge challenge and is having a negative impact on productivity as many young people are affected (Vulamehlo, IDP, 2013/2014). The municipality has developed an HIV/AIDS policy and has launched an HIV/AIDS Council to mainstream HIV/AIDS programmes.

The municipality has 25 crèches that received funds from the Department of Social Welfare and are monitored based on the number of children that attend each month (Vulamehlo, IDP 2013/2014). In terms of other services provided by government, the municipality makes use of the Dududu Thusong Service Centre (formerly known as the Multi-Purpose Community Centre - MPCC). The centre is located at the municipal offices and provides different services and information from different government departments like the Department of Home Affairs which is also located on these premises (Vulamehlo IDP, 2013/2014).

### **Economic Sectors**

The main source of income and economic activities in the municipality come from subsistence farming and commercial agriculture, which include sugar cane and timber plantations. Other members of the community obtain their income from taxi and bus operations as drivers and operators (Vulamehlo LED Plan, 2013). It should be pointed out that these only offer limited employment opportunities. The government institutions such as schools, clinics, and magistrates offices are the major sources of income in Vulamehlo. People in the area migrate due to the lack of economic activity and facilities in the municipal area. The majority of the people migrate to the nearest larger towns and cities like Durban, Port Shepstone and Pietermaritzburg (Vulamehlo LED Plan, 2013).

There are two major agricultural products which are sugar cane and timber that form part of the local economy. Small-scale sugar cane farms are grouped around Dududu, Kenterton and Mfume (Vulamehlo Agricultural Sector Plan, 2012). Agricultural practices are evident in the form of traditional farming. Maize, potatoes,

*amadumbe*, and other vegetables are grown in these gardens. The majority of the population within the municipality practises subsistence farming. Many are affected by poverty and depend largely on social grants for their survival (Vulamehlo Agricultural Sector Plan: 2012).

Vulamehlo Municipality has tourism potential, particularly cultural and heritage tourism. The municipality also boasts sites of natural beauty. However tourists are not drawn to the area in the same way as its neighbouring towns. The South Coast area is a well-known tourist attraction. The limited understanding of tourism by community has resulted in no formal tourism activities in Vulamehlo (Ugu LED Plan, 2013). The only way that the municipality can draw tourists to the area is by developing its historical and cultural assets. This would boost the local economy. These assets include KwaQiko Execution Rock, Nungwane and Ngqubushini-Berea Kwandaya.

The area is home to many small-scale business operations, which provide service to the existing population and are situated within settlements and along roads. These services include taxi and bus services, spaza shops and informal trading. Informal traders tend to be located at points of high traffic flow (Vulamehlo SDF Plan, 2012). However, there is limited physical infrastructure to support economic development in the rural areas. Without reliable functional infrastructure in these hinterland areas, it is difficult to support employment creation through business development (Vulamehlo SDF Plan, 2012). There is a lack of formal manufacturing (industrial) sector (Ibid). However, if local economic development initiatives could be developed there is a high possibility that this sector could increase and make significant input to the municipality's economic growth. Mining activities exist in the form of sand mining, but these are illegal operations.

### **3.3. Conclusion**

Vulamehlo Municipality is not well-known due to the fact that it is not well marketed and was only established in the year 2000. Furthermore, the municipality is 100% rural and 100% dependent on grants, as not much revenue is generated by the municipality. While there are farmers that pay rates, the remainder of the population does not do so.

Despite this situation, there is much that could be done to boost the economy of the area. Agriculture is a key sector in Ugu District and in KwaZulu-Natal and the municipality needs to build on its strengths. According to the Provincial Growth and Development Strategy for KZN developed by Department of Economic Development and Tourism, agriculture is the main economic driver in employment creation and economic growth and development within the province (KZN PGDS). For the municipality to ensure the sustainable growth of this sector, it needs to manage its natural resource base and the environment appropriately in order to ensure sustainability.

Furthermore, although many households rely on subsistence farming, very little of the surplus is traded. Community gardens are due to failure . especially those that does not have irrigation schemes (Vulamehlo Agriculture Sector Plan, 2012). The municipality needs to invest in this sector so as to change the lives of people in the area. Communities should be encouraged to form co-operatives in order to qualify for funds provided by government departments. The municipality's Local Economic Development Unit should work closely with the Department of Agriculture and other government departments to package viable agriculture projects that can benefit the community and find markets for the produce.

The area has a high unemployment rate and those that are employed commute long distances to Durban, Port Shepstone, Ixopo and Pietermaritzburg. There is a need to develop Dududu as a formal town; at the moment, local people travel to the town of Umzinto to buy groceries as there are no formal shops around the municipality. The formalisation of Dududu as town would attract chain stores like Spar or Boxer Cash and Carry. This would create job opportunities for local people, increase income and decrease the out-migration of young people.

While the municipality has a youth desk, it needs to develop a proper youth strategy that speaks specifically to the needs and development of the youth. The IDP is silent on whether there is an existing strategy. The Department of Economic Development and Tourism recently developed a Provincial Youth Economic Strategy (2013-2030) which talks to programmes pertaining to the youth and identifies five pillars that directly target youth development in the province. The municipality should work

closely with this department as well as the Office of the Premier that has launched a youth unit.

In conclusion, the municipality, together with the involvement of community at large, has a key role to play in the development of the economy. Forward and backward linkages between sectors are crucial to economic growth and development. The municipality must ensure that new economic activities are placed in areas where there is sufficient economic and social infrastructure; that market facilities are constructed at major transport nodes and that there is consultation with key developers and landowners on the inputs they can make to the agri-business sector (Vulamehlo LED Plan, 2013).

## **CHAPTER FOUR: RESEARCH FINDINGS, DATA ANALYSIS AND INTERPRETATION**

### **4.1 Introduction**

This study examined the influence of the CBP on the IDP of Vulamehlo Municipality. This chapter presents the research findings; data analysis and interpretation. This chapter is structured according to the following themes: (a) Understanding of the CBP and IDP; (b) Linkage between the IDP and the CBP; (c) Tools/ structures the municipality uses to enhance community participation; (d) The role of the ward committee in the IDP and CBP; (e) Challenges of the CBP; and (f) Improvements that could be made to the CBP.

### **4.2 Linkage between the Integrated Development Plan and the Community-Based Plan**

The linkage between the IDP and the CBP was well articulated in both the focus group discussions and the interview sessions. All the participants stressed the importance of this link. The focus groups believed that the CBP and the IDP should be linked since the CBP involves the collection of information on issues such as projects and programmes that are happening at ward level. The focus groups further indicated that the link between the two plans will assist in improving the process of identifying the community's needs.

The focus groups added that the needs that are mainly identified in the IDP are broad issues like the provision of water, electricity and education. Participants indicated that, while they need basic services, they would prefer to have programmes and projects that will have economic impact and address unemployment and poverty in the area. The focus groups felt that residents should have a say in drafting the IDP so that their participation could be more informed rather than it being presented during *Izimbizo* (community meetings).

The municipal officials' responses varied. The Public Participation official felt that the CBP can have great influence in ensuring that the IDP is credible and responds to the developmental needs of the community. However, concern was raised about the lack of full co-operation from the planning side during the compilation of the CBP. The officials agreed that the CBP can play a role in the IDP; however, capacity constraints challenge this process. The IDP manager pointed out that the IDP is the



foundation for setting budget priorities, while the Public Participation official felt that the CBP should influence the budget. Both agreed that the CBP should be integrated in the IDP from phase four onwards, which is the project phase followed by integration and implementation. It can thus be concluded that community members agree that there is a linkage between the IDP and the CBP, while the municipal officials believe that the CBP has an influence on the IDP.

#### **4.3 The role players in both the Community Based Plan and the Integrated Development Plan**

The respondents indicated that the key role players in the community based plan are NGOs, community based organization, ward committee and any other community representative selected by the community. They further mentioned that municipal officials should also play a facilitating role during the development of the community based plan. On the side of the integrated development plan, the participants pointed out that the main role player is the municipal official with Manager IDP leading the process. Other main role players are provincial government department representing different departments. According to the respondents community members must not be left out during the IDP process, since the IDP is about their developmental needs.

#### **4.4 Understanding of the Community-Based Plan and the Integrated Development Plan**

All the respondents that form part of the study had a clear understanding of the concepts of the IDP and CBP. The focus groups referred to the CBP as a ward-based plan where the community participates in identifying key projects that can assist the community. They stated that the IDP helps to plan certain services. On the other hand, the municipal officials were fully aware of the concepts of CBP and IDP. They indicated that the CBP ensures that community needs are well captured in the IDP. The study revealed that, not only are the officials aware of the importance of the CBP, but they are fully aware of the processes to be followed when the CBP is compiled and the five stages of the compilation of the IDP.

Both officials indicated that it is crucial for the municipality to develop the CBP, since it helps them obtain a clear picture of how the IDP is likely to shape up. It is therefore concluded that both community members and municipal officials understand the CBP and IDP.

#### **4.5 Improvements in the Community-Based Plan**

The findings of this study reveal that both community members and municipal officials see the need to improve the manner in which the CBP process is undertaken. Focus groups participants felt that the municipality should not view the CBP in isolation or as something only for the Public Participation Unit. They felt that the municipality does not take the CBP seriously as no budget was allocated for the compilation of the CBP. Therefore, they felt that the CBP is just another wish list. Focus group participants expressed the view that, buy-in is required on the part of municipal officials in terms of full participation and ensuring that a budget is available. According to the official from the Public Participation Unit, the Development Planning Unit should lead the process. This is because the CBP is one of the planning tools that ensures that the IDP is credible and talks to the needs of the community on the ground. The official felt that the Public Participation Unit should only play a supporting role. However, the official from Development Planning stated that, when COGTA introduced the CBP concept they involved Public Participation; the initiative should therefore be driven by this unit. While the Development Planning section does not have a problem participating, they are unable to do so due to capacity constraints. Dedicated staff is required to deal solely with the CBP since it is a lengthy and full time task. Provision would be made for this in the following financial year. Based on the above discussion, it is concluded that both the municipal officials and the participants see the need to improve the manner in which the CBP is undertaken in the municipality.

#### **4.6 Challenges hindering the implementation of the Community-Based Plan**

##### **4.6.1 Stakeholders' Involvement**

In order for the CBP to be credible, there is need to involve a range of stakeholders from the community. The interviews revealed that there is no involvement of the private sector and that the involvement of government departments was not satisfactory. The only department that availed itself was COGTA. This poses a challenge during the development of a ward plan, especially when it identifies projects that might require funding from a provincial department. According to the municipal officials, input and advice from different government departments is crucial especially during the project phase.

Besides provincial government, the official from the Public Participation Unit pointed out that the municipality's development planning section was not part of the CBP process from its inception to the final development of the ward plan. This posed a challenge in ensuring that the CBP is incorporated into the IDP. The IDP manager stated that this was due to a lack of staff capacity. Only two employees within the development planning section deal with IDP, PMS and LED matters.

#### **4.6.2. Feedback**

Another challenge identified in the focus group discussions was the sustainability of the projects identified in ward plans. The participants stated that they did not receive proper feedback from the IDP office on the implementation of the CBP and the extent to which it influenced the IDP. The official from the Public Participation Unit responsible for the CBP stated that no budget allocation was made for the implementation of the plan. The plan was introduced by COGTA through the Public Participation Unit, with funding only for travelling and catering during the development of the plan. However when the plan was finalised, it became clear that no budget was available from either the municipality or COGTA to implement it.

Participants in the focus groups discussions stated that, when the CBP process started, ward committee members were excited that they were included. However, grave concerns were raised about implementation and the lack of regular feedback about the integration of the ward committees' inputs and views and the municipality's plans. Furthermore, there was limited support from the municipality's IDP section.

The issue of feedback also came out strongly in relation to the community members selected to serve on various municipal forums. Focus group participants stated that they receive very little feedback from these members on the issues or programmes discussed in the meetings. The IDP manager also raised concerns regarding feedback/input from sector departments, especially on programmes or projects at municipal level. It is clear that the community is not receiving feedback from municipal officials on matters relating to the CBP. Nor are sector departments providing feedback to the municipality on programmes that they are implementing within the municipality. It is therefore concluded that this has affected the implementation of the CBP and its influence on the IDP.

## **4.7 Community Participation**

Masango (2002) argues that one of the manner to promote public participation in the policy process is putting structures and forums in place to address local government issues (Masango, 2002: 62). The interviews revealed that besides the CBP, the municipality uses other tools to enhance community participation. These include youth, senior citizens, HIV/AIDS, gender and disabled peoples forums. The respondents indicated that they also make use of the IDP forum, IDP roadshows and *Izimbizo*.

### **4.7.1 Special Programmes Forum**

The municipality uses youth, senior citizens, disability, HIV/AIDS, and gender forums as platforms to engage with the community on issues pertaining to development and to enhance community participation. The municipal officials stated that each forum comprises of about ten to 12 members representing different wards and sectors within the municipality. According to the municipal officials, representatives are selected by community members with the assistance of the ward councillor. These forums sit on quarterly basis, but if there is an urgent matter they sit once a month.

Some participants in the focus groups were not aware of these forums. Those that were aware were not happy with the selection process. They felt that the wards are not fully represented in these forums. In some wards, participants were not aware of any person from their wards sitting in these forums. The participants thus felt that these forums need to be reviewed and used effectively to disseminate information on the programmes offered by the municipality. Furthermore, they indicated that representation in these forums would enhance effective participation in the preparation of the IDP.

### **4.7.2 Integrated Development Plan (IDP) Forum**

The other tool that the municipality uses to enhance community participation is the IDP forum. The study found that the IDP forum is only attended by the ward councillor; community members are not invited. A question was posed to the municipal officials on how the municipality identifies representatives for this forum. The response was that they make use of the sector departments that normally provide them with services and that the ward councillor for each ward also attends. The focus group participants said that they would prefer that at least one or two

members of the ward committee are invited to the IDP forum because they do not receive feedback on discussions at the forum. However, the DPLG (2001) notes that councillors, especially ward councillors participation in the IDP forums is important, as these elected officials participate in the IDP process on behalf of their communities (DPLG, 2001: 7). Their participation ensures that the needs of their communities feature in the municipality's IDP. The focus groups pointed out that the ward councillors' capacity to participate in the IDP process is important, both regarding their understanding the process and in terms of resources to participate. The findings of the study reveal that focus groups participants felt that some councillors lack capacity to participate in the IDP process which limits their ability to contribute meaningfully to the IDP process; they fail to consult with the community on the IDP process especially on the issues affecting them. It is therefore concluded that, while the municipality has other structures in place to enhance community participation, there is a need to review their effectiveness.

#### **4.7.3 Integrated Development Plan Roadshows/*Izimbizo***

The IDP Manager develops the IDP and do a presentation to the council for adoption. IDP roadshows and *Izimbizo* are used to promote community participation. However, the official from the Public Participation Unit noted that there had been a disappointing response to these gatherings. The focus group participants indicated that they were not happy with the *Izimbizo*/IDP roadshows. Some stated that they were afraid that community leaders like the local councillor would dislike them if they raised their voices on matters affecting them, especially pertaining to service delivery. Others stated that they were not happy with the manner in which the IDP roadshows are conducted. For example, they indicated that are told how much the municipality will spend on operating expenditure and the municipality presents the list of projects and programs that will be implemented. The participants noted that they are not part of the decision-making process. The majority of programmes presented are not the same projects identified in the CBP. They added that, while they are given the opportunity to comment on what is presented during the IDP roadshows, there is little chance of those changes being incorporated in the final IDP document. This type of participation is defined by the DPLG & GTZ as passive participation, meaning that people participate by being told what has already been

decided upon or has already happened (DPLG, GTZ, LGSETA in WENT, 2006). It takes the form of unilateral announcements by the administration

The IDP is a key strategic document for the municipality and it requires input not only from the community but from other stakeholders. Input should not be restricted to the preparation stage but should be part of all stages of the IDP processes (DPLG, 2006). The researcher had an opportunity to attend some of the *Izimbizo* held in one of the wards during the month of November. Most of the questions raised by community members were around the issues of water, electricity and roads. It was difficult for the municipality to provide answers since some of the questions needed direct responses from stakeholders that were not part of the process; for example, Eskom as the custodian of electricity. A generic answer was provided and the municipality promised to follow up and report back. Based on the above findings, as much as it is a requirement that the municipality should hold IDP Roadshows/*Izimbizo* to promote community participation, it is therefore concluded that the municipality needs to strengthen community participation during the compilation and development of the IDP before its final approval.

#### **4.7.4 Community Participation Plan and Communication Policy**

The other tools to ensure community participation in municipal affairs are the communication policy and community participation plan. The municipality has developed a communication policy and community participation plan. The communication policy was developed internally and is posted on the municipality's website. Municipal staff and councillors have attended workshops on this policy. The community participation plan targets ward committees and the community of Vulamehlo. Workshops were held with ward committee members. Both these plans are driven by the Public Participation Unit.

According to the public participation official, these policies seek to ensure that Vulamehlo Municipality considers the importance of communication as a key strategic management function and as an integral part of its daily functioning (Manager Public Participation). They also indicate that the municipality is fully aware of its mandate to continuously inform its internal and external stakeholders of the issues identified, progress made and results achieved in addressing its mandate.

#### **4.8. The Role of the Ward Committee in the Integrated Development Plan & Community-Based Plan**

Ward committees were established in South Africa in 2001, with the aim of ensuring participatory democracy and to function as a link between government and civil society (DPLG and GTZ, 2005). The purpose of the establishment of the ward committee is to ensure that the relationship between the residents of a ward, the ward councillor, the community and the municipality is harmonious. It is therefore crucial that these committees facilitate participation in the development, review and implementation of the IDP (DPLG and GTZ, 2005). The legislation specifies that ward committees should be the main structures for public participation in local government. Ward committees should play a special function in enabling communities in the geographical areas to participate in IDP processes (DPLG, 2001a: 38).

The findings of this study reveal that the ward committees are fully aware of the role they need to play during the CBP process and are fully involved from the preparation stage to the final stage. Turning to the IDP, they indicated that their role is to ensure that it accommodates community needs and the CBP informs the IDP. The participants in the focus groups indicated that during the CBP process, they are able to play their roles effectively since they represent different sectors of the community. However, in the IDP process, they only participate during the IDP roadshows, which they believe it is not sufficient for them to raise their concerns as members of the community. According to the participants this is due to time constraints and the nature of the settings of IDP roadshows. They believe that they should be included in the IDP process from inception to implementation.

Problems arise when they do not receive feedback on whether or not the CBP was approved by the council. Based on the above findings, it is clear that the ward committees play a more effective role in the CBP process than in the IDP process. It is therefore concluded that the municipality is not ensuring that ward committees are the main structures as prescribed by the legislation, especially during the IDP process.

#### **4.9 Community Empowerment and Ownership**

The focus group participants indicated that before the CBP was undertaken by municipal officials, there was no ward plan. The ward committees held regular ward committee meetings in each ward that simply generated a list of problems. With the development of the CBP, which includes a vision, development objectives and community activities and projects, they felt that they were empowered since they were part of the process. They also pointed out that they own the plan, are making a contribution to the community and have gained a much better understanding of planning. Based on this it is concluded that for planners they need to ensure that in any programme they are undertaking in the municipality, community empowerment is critical so that people are able to participate with understanding in any decision that affect them.

In concluding the chapter has presented the findings revealed by the study during the focus groups discussions and interviews with the municipal officials. The chapter further presented the interpretation of these findings.



## **CHAPTER FIVE: SUMMARY OF FINDINGS, RECOMMENDATIONS AND CONCLUSION**

### **5.1. Introduction**

This chapter summarises the findings in relation to the aims and objectives of the research and the research questions and offers recommendations arising from these findings. Previous chapters discussed various theories of community participation including the collaborative theory, bottom-up approach, the theory of citizen participation, and Arnstein's ladder of participation in order to understand the importance of community participation in the CBP and IDP process. South African and African case studies were also presented.

### **5.2 Summary of findings**

The summary of the findings is based on the main objective of this study that aimed to determine the influence of the CBP on the Vulamehlo Municipality's IDP. The main research question was the extent to which community-based planning as a tool to enhance community participation has been used to influence the compilation of the municipality's IDP. This empirical study revealed that, while the CBP does influence the municipality's IDP, its effectiveness would be enhanced by proper planning and giving it the attention that it deserves especially since it is one of the tools to promote community participation in the affairs of the municipality. The summary of the findings below is presented by revisiting the objectives set out in the first chapter.

#### **5.2.1 The linkage between the IDP and the CBP**

The findings showed that there is a link between the CBP and the IDP and that the participants are fully aware of the importance of this link. The findings also showed that the IDP needs to be strengthened by not only focusing on delivering services such as water, electricity and sanitation, but must also talk to the programmes and projects that will have a positive impact on the lives of the community and decrease unemployment and poverty in the area.

### **5.2.2 Tools the municipality used to enhance community participation**

This study found that the municipality used other tools/structures besides the CBP to enhance community participation. These include forums formed by community members for the youth, senior citizens, and the disabled, and HIV/AIDS and gender forums. However the study revealed that these forums needs to be reviewed as some wards are not fully represented. The IDP forum and the IDP roadshows/*Izimbizo* are other tools that promote community participation. However, the community was not satisfied with the manner in which these were conducted. This study endorses the bottom-up approach which confers power on marginalised groups to influence decision-making processes because it values people as they are; it values their skills, knowledge and resources (Willies, 2005). The level of participation in the *Izimbizo*/IDP roadshows can be termed a stage of non-participation on Arnstein's ladder of participation, where experts design the development process and those affected merely rubber-stamp them. Communities were expected to contribute and make comments on a draft budget and projects that had been prepared elsewhere.

### **5.2.3 Challenges hindering the implementation of the Community-Based Plan**

It emerged from the study that the challenges that affect the implementation of the CBP include stakeholders' involvement and feedback on the CBP. Only one department made itself available during the development of the CBP; this was a challenge in terms of funding and support for the projects and programmes identified in the CBP. Furthermore, neither the municipality nor COGTA allocated a budget for the implementation of the CBP. The only money available was the stipend paid to ward committee members for catering and travel. There was no regular feedback on the integration of the community's inputs and views in the IDP, which diluted the influence of the CBP on the IDP. The study also revealed that no feedback was provided by ward representatives on programmes and projects discussed during the special programme forums, which the municipality used to enhance community involvement. The study found that the municipality and the community are willing to confront the challenges relating to the CBP so that it can exert more on the IDP. One of the improvements was ensuring that a budget is allocated for the implementation of the CBP in the following financial year.

## **5.2.4 The role of the Ward Committee in the Integrated Development Plan and Community-Based Plan**

Ward committees are the main structures for public participation in local governance (RSA, 1998a). The study found that ward committees were unable to play their role effectively during the IDP process. They only participate during the IDP roadshows/*izimbizo* and are not involved from inception to implementation. Peter (1998: 25) argues that government tends to employ mechanisms that minimise public participation by limiting the time allowed for consultation. However, the study found that ward committees are fully involved from the inception stage to the implementation of the CBP.

## **5.3 RECOMMENDATIONS**

### **5.3.1 The Importance of Stakeholder Involvement**

Stakeholders are defined by Mayo as persons or groups that are directly or indirectly affected by a project, as well as those who may have an interest in a project and/or the ability to influence its outcome either positively or negatively (Mayo, 1997). In the case of a municipality, the key stakeholders may include local communities or individuals, national or provincial government, religious leaders, civil society organisations and groups with special interests, and businesses (Mayo, 1997). Mayo 1997 argues that engaging with stakeholders from the beginning enables the proactive cultivation of relationships that can serve as capital during challenging times (Mayo, 1997). According to the IFC, 2007 the initiator of the project (in this case, the municipality) should make it clear from the start that there are still many uncertainties and unknowns and use interaction with the stakeholders as a predictor of potential risks, and to help generate ideas and alternatives solutions on early design questions (IFC, 2007). For example, the study has found out that in Vulamehlo Municipality, as noted in chapter three, the municipality is highly dependent on grant funds as it collects very little in the way of rates. The study has also found that one of the challenges raised during the focus group discussions was the sustainability of the projects identified in the CBP in terms of the availability funds. Being clear upfront with stakeholders and engaging with them at an early stage would have helped the municipality during challenging times.

It is therefore recommended that a rural municipality like Vulamehlo that is highly dependent on grant funds, should consider engaging with stakeholders at an early stage. For any programme or project, the municipality should identify stakeholders from the outset, including key groupings and sub-groupings; group interests, in terms of how they will be affected and to what degree, and regarding the influence they could have on the project.

Rifkin (1980) argues that other government departments should be included as key stakeholders in the project and be kept informed about project activities and anticipated impacts. Support from other government departments is to the success of the project (Rifkin 1980). The study has found that during the CBP process only one Department was available, which is the Co-operative Governance and Traditional Affairs. It is therefore recommended that the municipality involves the Departments of Economic Development and Tourism, Agriculture and Rural Development and the GCIS as key stakeholders in the CBP process. As agriculture is the key economic sector in the municipality, many of the projects identified in the CBP might relate to agriculture and require support from the Department of Agriculture. If the department is not part of the process from the start, it will be difficult for it to support or fund projects identified in the CBP. The GCIS could help the municipality to communicate information about the CBP to the local population through the local newspaper. The Department of Economic Development has funded most of the LED plan and projects in the province and could ensure that projects that are identified during the CBP process are incorporated in the municipality's LED Plan and set aside funds for implementation.

### **5.3.2 Monitoring Tool**

If the CBP is to be effective and convincing, it is important that the ward committee and citizens effectively monitor its implementation by the municipality. The study has found out that the roll out of the CBP in Vulamehlo Municipality showed weakness in the monitoring system. The study also found that there has been no regular reporting based on the action plan. It is therefore recommended that there is a need for management and monitoring of the CBP process. It is further recommended that the municipality appoint a dedicated official or community support officer to receive any reports from the wards, including minutes of meetings relating to the CBP and monitor progress. Such a person would hold regular public meetings with the

assistance of the ward councillor to report on projects approved by the municipality, progress made and the way forward. At the moment the study found that this is one of the functions of the Public Participation Officer who is also involved in other activities relating to public participation. The CBP is not one of his priorities. A community support officer would be able to develop monitoring tool, such as plans of action and reporting formats and ensure that proper support is available to the wards with the help of community development workers.

Community-based planning is about empowerment; part of empowerment is ensuring that there is a regular feedback on the integration of the inputs and views of ward committees in the municipality's plans. Concerns were expressed during the focus groups discussions about the lack of on-going feedback on community-based planning inputs and what has been approved by the municipality. A monitoring tool/system would help to ensure that the community receives feedback on a regular basis. It is therefore recommended that the municipality allocate a budget and employ dedicated personnel for the CBP to develop a monitoring tool so as to ensure regular feedback and implementation of the CBP and that it is well-managed by the municipality.

### **5.3.3 Mobile - Participation as a tool for transforming local government**

The South African Constitution highlights the importance of public participation as an essential element of successful local government. Effective public participation in municipalities is required in terms of various pieces of legislation as well as policy documents. Some of this legislation was outlined in chapter two of this study. Since local government is one of the sphere of government that is closest to people, it is expected to engage with its citizens on any matters affecting the development of their localities (DPLG, 2008). While there are legislative procedures in place to ensure that local government does business in a democratic and accountable manner, one needs to consider the issues of time, space and resources that can affect the effectiveness of public participation (SALGA, 2009). It is crucial that municipalities explore other innovative measures that can enhance and complement what already exists in order to maximise citizens' participation in local government matters; hence mobile participation (m- participation). Mobile Participation refers to the use of mobile devices such as phones and tablet computers as tools to engage

citizens. The major technologies used include mobile applications, sms and unstructured supplementary services (USSD). During the focus groups discussions the study has found that there is not enough time to ask questions during the *Izimbizo*/IDP roadshows. It is recommended that mobile participation could help the community and the municipality to maximise participation in issues relating to service delivery.

According to the Mobile Insights Study conducted in 2011, more South Africans have access to mobile phones than clean water. More than 89% of South Africans owned cell phones, while only 21% of households owned computers (SA, Census, 2011). The ownership of cell phones is irrespective of employment status and low income levels and most people can access the internet via their phones. This suggests that m-participation could be a useful tool to enable and enhance public participation in municipal affairs and allow municipalities to become more responsive and inclusive. The advantage of this approach is that citizens can participate anywhere, anytime, addressing inequitable access. According to the CEO of South African Local Government Association (SALGA), Xolile George, the organisation encourages municipalities to explore m-participation as a complementary measure to enhance public participation. It will also promote transparent and accountable governance, which in turn can address the information gaps that cause public protests (Xolile George, SALGA CEO, in his Foreword, Municipal Toolkit).

SALGA (2013) notes, that, M-participation is not new in South Africa. It has been used by both rural and urban municipalities as a two-way channel of communication with citizens and stakeholders. For instance, the predominantly rural municipality of eMkhazeni in Mpumalanga province, with a population of 59 000, more than a third of whom reside on farms, started using m-participation in 2009 with the aim of improving communication with their community (eMakhazeni IDP). Some South African municipalities also use bulk sms notices to inform citizens of power outages. This study has found that community participation in *Izimbizos* has declined and that stakeholders were not fully participating in IDP forums or providing feedback. It is therefore recommended that the municipality use mobile participation as it will enable the municipality to reach many more citizens and stakeholders to participate in municipal processes. While it should not replace traditional means of public

participation and legally, cannot replace many public participation mechanisms such as ward committees or IDP forums, it can greatly improve municipalities work and participation levels (SALGA & GIZ, 2013).

The key benefits of m-participation for key stakeholders at municipal level are outlined in the table below.

**Table 3: Benefits of m-participation**

CITIZENS	MUNICIPAL COUNCIL & COUNCILLORS
<b>The total cost of participation is reduced - no need to take time off or to travel to participate</b>	Costs associated with venue hire and running public participation events are reduced
Access is potentially enabled anywhere and anytime, regardless of location and time of day	Better understanding of community/ business/citizens needs/ concerns
<b>Direct channels of communication with councilors / the municipality</b>	Direct channel of communication with citizens / stakeholders
<b>Increases access and enables more citizen and business transactions and involvement</b>	Promotes greater responsiveness and transparency on the part of the municipality
<b>More robust democracy</b>	More active citizenship

**Source: SALGA, Municipal Toolkit, m-participation.**

The interviews conducted with municipal officials revealed that the municipality is currently making use of *Izimbizos*/IDP Roadshows, and ward committees to enhance public participation. A vehicle with a loud hailer travels through the area inviting

community members to attend. The disadvantage of this approach is the cost of fuel since the municipality's wards are vast. It is also time consuming due to the terrain and sometimes the municipality ends up paying for overtime. Thirdly, not all citizens become aware of *Izimbizos* or Roadshows, especially those working outside the municipal boundaries. It was noted in chapter three that people living in the municipality move to neighbouring towns due to the lack of employment opportunities. It is therefore recommended that the municipality consider using m-participation to inform communities about their activities. This would enable community members employed in other areas to contribute their views and ideas on service delivery or development, without having to attend *Izimbizos*.

South African municipalities have acknowledged the need to transform and diversify communication. The challenge is that most have not progressed beyond the need to set up a web-site and some electronic presence. A national review of municipalities' websites conducted by SALGA in 2013 found that of the 278 municipalities, 90% had websites, 8% did not and 2% had non-operating websites (SALGA, 2013). However, the information on some of the websites was out-dated, and no regular updates were provided on service delivery (SALGA, 2013). Given advances in mobile communication technologies and mobile penetration, m-participation tools could be an important mechanism to transform local government and citizen participation.

## **5.4 CONCLUSION**

Community involvement is a critical aspect of the IDP. The Municipal Structures Act in defining a municipality states that it consists of the political structures and administration of the municipality, and the community of the municipality (Municipal Structures Act No 117 of 1998). The Act does not separate legal personality which excludes liability on the part of its community. In terms of the Municipal Structures Act, the IDP must undergo proper mechanisms, processes and procedures mechanisms, so as to allow for the local community to be regularly consulted in its and priorities and development needs (Municipal Structures Act, No 117 of 1998). However, the finding of the study that was done by DPLG is that in most municipalities the community is not always consulted when it comes to their development needs and during the process of IDP compilation.



One of the objectives of this study was to identify challenges which are associated with the use of the community based plan. The key challenge that was identified by the study was deficiency of feedback, the study reveal that there is no constant feedback provided to the community regarding the community based plan. In analysing the data, the study used qualitative method. The types of sources of data that the study used were primary and secondary data sources. Interviews and focus groups were tools that were used by the study to collect data. Interviews were conducted with the Manager Public Participation Unit and the Manager IDP.

This study was undertaken at Vulamehlo municipality. Vulamehlo municipality is situated on the South Coast of the province of KwaZulu-Natal under Ugu District Municipality. It forms part of the six local municipalities that fall under Ugu District which are Umzumbe, Ezinqoleni, Hibiscus, Umuziwabantu, Vulamehlo and Umdoni. The study further discuss and explore the following theories : the Arnstein's ladder of participation, theory of citizen participation, collaborative theory and bottom up approach theory as a means of enhancing and understanding of community participation structures and practises. The study also review literature on community based plan in a form of cases studies from local and African countries. The study concluded by suggesting on how these theories can be applied in South Africa especially in our local government which is the municipality.

Based on the objectives and the key questions of the study, this study can conclude that the CBP does have an influence towards the IDP of the municipality, but its effectiveness lies in the proper planning and giving it the attention that it deserves as one of the tools to be used to promote community participation in the affairs of the municipality.

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### **INTERNET SOURCES**

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[www.khanya-aicdd.org](http://www.khanya-aicdd.org)

<http://www.dplg.gov.za/documents/publications/IDP/guide>

[www.salga.org.za](http://www.salga.org.za)

[www.devplan.kzntl.gov.za](http://www.devplan.kzntl.gov.za)

# **APPENDIX A:**

## **FOCUS GROUPS QUESTIONNAIRES & INTERVIEWS QUESTIONNAIRES**

## **FOCUS GROUP QUESTIONNAIRE**

1. What is your understanding of the Community Based Plan?
2. What is your understanding of the Integrated Development Plan?
3. Which role should the Community Based Plan play during the compilation of the Integrated Development Plan?
4. Do you think that this role has been well integrated in the process of Integrated Development Plan?
5. If not, where or what is the problem?
6. What role do you think ward committees can play during the Community Based Plan process?
7. What role do you think ward committees can play in the Integrated Development Plan process?
8. Are you able to play these roles during the above processes?
9. What is your experience regarding the Integrated Development Plan process?
10. Do you believe in the importance of the link between the Community Based Plan and Integrated Development Plan?
11. Currently what do you think are the challenges regarding the Community Based Plan?
12. How can the process of the Community Based Plan be improved?
13. Do you think Community Based Plan can be used as a tool to improve community participation during the Integrated Development Plan review?
14. Do you think Community Based Plan assists in ensuring that the community as the client served, owns the IDP contents?

## **INTERVIEW QUESTIONS FOR MUNICIPAL OFFICIALS OF VULAMEHLO**

1. What is the importance of the Community Based Plan?
2. Has it been considered for use by the municipality before?
3. If yes, why?
4. If not, why?
5. How can it be used to influence the Integrated Development Plan?
6. Why should there be a link between the Community Based Plan and Integrated Development Plan?
7. What are the challenges of the Community Based Plan?
8. How best can they be dealt with?
9. How can the process of the community based plan be improved?
10. What happens during the process of the Community Based Plan?
11. What are processes involved during the compilation of the IDP?
12. How do you ensure that ward committees participate fully and contribute meaningfully in the compilation of both Integrated Development Plan and Community Based Plan?
13. Besides the Community Based Plan, what other tools does the municipality use to enhance community participation?
14. The Community Based Plan is an in depth development document. The Integrated Development Plan cannot include all Community Based Plan contents. What should inform the budget more between the Community Based Plan and the Integrated Development Plan?
15. In your own opinion at which stage of the Integrated Development Plan development process can Community Based Plan be integrated?

**APPENDIX TWO**

**Informed Consent Form**

*(To be read out by researcher before the beginning of the interview. One copy of the form to be left with the respondent; one copy to be signed by the respondent and kept by the researcher.)*

My name is Zandile Majola (student number 962076810). I am doing research on a project entitled: Assessment of the influence of the Community Based Plan to the Integrated Development Plan of Vulamehlo Local Municipality. The case study of Vulamehlo is in Dududu, under the Ugu District Municipality. This project is supervised by Mr Vincent Myeni at the School of Built Environment and Development Studies, University of KwaZulu-Natal. He is managing the project and should you have any questions his contact details are:

School of Built Environment and Development Studies,  
University of KwaZulu-Natal  
8<sup>th</sup> Floor Denis Shepstone Building, Howard College Campus, ,  
Durban 4001  
Tel: 031 206 2128. Email: [Myeniv@ukzn.ac.za](mailto:Myeniv@ukzn.ac.za)

Thank you for agreeing to take part in the project. Before we start I would like to emphasize that:

- your participation is entirely voluntary;
- you are free to refuse to answer any question;
- you are free to withdraw at any time.

The interview will be kept strictly confidential and will be available only to members of the research team. Excerpts from the interview may be made part of the final research report. Do you give your consent for: *(please tick one of the options below)* to be used in the report

Your name, position and organisation, or	
Your position and organisation, or	
Your organisation or type of organisation <i>(please specify)</i> , or	
None of the above	

Please sign this form to show that I have read the contents to you.

----- (signed)      ----- (date)

----- (print name)

Write your address below if you wish to receive a copy of the research report: